

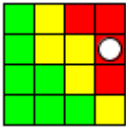
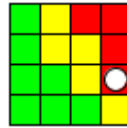

Corporate risks - detailed report EXCLUDING COMPLETED ACTIONS

Report Author: Paul Dudley

Generated on: 01 July 2019





Rows are sorted by Risk Score

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR24 Operational Security 07-Jun-2017 John Barradell	Cause: Inadequate, poorly maintained or time expired security infrastructure; lack of security culture within the organisation; poor training or organisation of staff; insufficient staff. Event: Security of an operational property is breached. Effect: Unauthorised access to building by criminals/protestors/terrorists; disruption of business/ high profile events; reputational damage; injury or potential loss of life amongst staff or members of the general public	Likelihood  Impact	24	* Mitigation works for CR24 location B now due to start 22nd July 2019. • CR24 location A: 7 areas now complete and final design sign off for the last mitigation in hand, detailed design in process 02 Jul 2019	Likelihood  Impact	16	31-Jan-2020	 Constant

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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR24a	Deliver a programme of security infrastructure enhancements	<p>Out of the three key strands, one now fully complete.</p> <p>Second strand:</p> <p>CR24 location B now due to start 22nd July 2019.</p> <p>CR24 location A: 7 areas now complete and final design sign off for the last mitigation in hand, detailed design in process.</p> <p>Third strand, has now been tendered and the contractor is waiting start work. The works are programmed for completion at the end of the year.</p>	Paul Wilkinson	02-Jul-2019	31-Jan-2020
CR24b	Mitigating risk of vehicle borne attacks across Corporation estate.	Target hardening to six high risk sites is now complete since the last deep dive, three areas have temporary mitigation in place whilst permanent solutions are in design and construction. There are three in detailed design and three under construction.	Carolyn Dwyer; Paul Wilkinson	02-Jul-2019	31-Jan-2020
CR24e	Protecting CR24 location A for major events by installing HVM.	CR24 location A: 7 areas now complete and final design sign off for the last mitigation in hand, detailed design in process.	Carolyn Dwyer; Richard Woolford	02-Jul-2019	30-Sep-2019

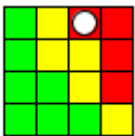
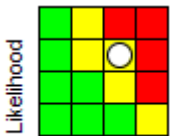

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR20 Road Safety	<p>Cause: Limited space on the City's medieval street network to cope with the increased use of the highway by vehicles, pedestrians and cyclists within the City of London. Interventions and legal processes take time to deliver SAFELY AND EFFECTIVELY</p> <p>Event: The City Corporation's statutory duties and the measures outlined in the Transport Strategy are not fully and effectively implemented.</p> <p>Effect:</p> <ul style="list-style-type: none"> The number of casualties occurring on the City's streets rises or remains unchanged instead of reducing 	 <p>Likelihood</p> <p>Impact</p>	16	<p>Following the revision of the risk description the risk rating has been updated. Impact has increased from 4 Major to 8 Extreme. This reflects the potential for death or serious injury from road traffic collisions and associated impacts. Likelihood has reduced from 3 Possible to 2 Unlikely. This reflects the Corporation's commitment to delivering Vision Zero as set out in the Transport Strategy, the current</p>	 <p>Likelihood</p> <p>Impact</p>	16	31-Mar-2022	↑

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23-Oct-2015 Carolyn Dwyer	<ul style="list-style-type: none"> •The safety and feeling of safety of the City's communities is adversely affected (Corporate Plan Outcome 1) •Physical or mental harm suffered by those involved in collisions and their associates •Economic costs of collisions impact on INDIVIDUALS, City businesses and wider society •The City Corporation's ABILITY TO IMPROVE ROAD SAFETY is adversely impacted with businesses and/or the public BY VIRTUE OF A LOSS OF CREDIBILITY AND/OR AUTHORITY <p>(revised risk description 27/6/19)</p>			and planned programme of investment and activities, and TfL's proposed changes to Ludgate Circus. 27 Jun 2019				Increasing
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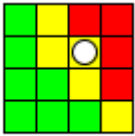
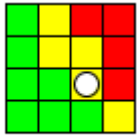

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR20l	<p>A programme of projects to reduce road danger on the City's streets including:</p> <ul style="list-style-type: none"> • Bank on Safety and All Change at Bank • RDR engineering programme • 15mph traffic limit • Ludgate Circus (lead by TfL) 	Interim improvements to Bank Junction are expected to be delivered immediately following the Lord Mayor's Show. Funding has been identified to allow All Change at Bank to progress while the Fundamental Review is ongoing. A programme of minor schemes, such as raised tables, will be delivered throughout the year. Work is underway to prepare the submission to DfT requesting permission to implement the 15mph speed limit, including baseline speed monitoring in the autumn and establishing a CoL/CoL Police working group. TfL have confirmed that they aim to delivering changes to Ludgate Circus by the autumn.	Zahur Khan	27-Jun-2019	31-Mar-2022
CR20m	<p>Campaigns and engagement activities to encourage safe behaviours and promote safe vehicles, including:</p> <ul style="list-style-type: none"> • Active City Network • User and stakeholder liaison • Schools programme 	The Active City Network website has been updated. A joint campaign with the CoL Police will target powered two-wheeler riders will be delivered in late June. Continuing programme of roadshows in partnership with employers. Continuing to engage with insurance industry representatives to explore opportunities to collaborate on approaches to improving van driver behaviour .	Zahur Khan	27-Jun-2019	31-Mar-2022

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Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR23 Police Funding 21-Nov-2016 Ian Dyson; Peter Kane	Cause: Reduction in government funding, workforce costs and growing demand in Policing services leading to pressures for the City Fund -Police. Event: Reduction in government funding. Failure to deliver VfM savings. Budget deficit forecast for next 5 years requiring action to balance the budget Effect: Potential impact on security and safety in the City as need to make savings, prioritise activity, review funding City of London Police will be unable to maintain a balanced budget and current service levels as reflected in their Medium Term Financial Plan.	 Likelihood	16 Impact	While a balanced budget has been achieved for 2019/20, there remains considerable uncertainty over the medium term. 23 May 2019	 Likelihood	12 Impact	31-Mar-2020	 Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR23g	Implement plan for sustainable settlement	An implementation plan has been developed, further actions to mitigate this risk will be identified and added as implementation progresses.	Alistair Cook	28-May-2019	31-Mar-2020

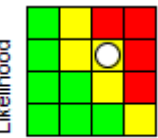
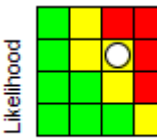
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CR16 Information Security (formerly CHB IT 030) 10-May-2019 Peter Kane	Cause: Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information. Event: Cybersecurity attack - unauthorised access to COL IT systems. Loss or mishandling of personal or commercial information. Effect: Failure of all or part of the IT Infrastructure, with associated business systems failures. Harm to individuals, a breach of legislation such as the Data Protection Act 2018. Incur a monetary penalty of up to €20M. Compliance enforcement action. Corruption of data. Reputational damage to Corporation as effective body.	 Likelihood	12	Following review with A&R committee and DSSC it was agreed that further steps were required to achieve maturity level that could bring the score to its target 01 Jul 2019	 Likelihood	8	31-Oct-2019	 Increasing

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR16k	Final stages of completing information security projects which will mean that we can assure Members that the City of London Corporation has implemented all the national government recommended security practices and technology achieving a maturity level of 4.	Information Security projects are being delivered as planned. The Information Security team recommended to the Audit and Risk Committee that this risk is reduced to Amber. Move towards a continuous improvement model is being adopted to ensure the controls in place are embedded, mature and reflective of emergent threats and risks.	Gary Brailsford-Hart	23-May-2019	30-Sep-2019
CR16l	New toolkit for monitoring and managing the security risk being discussed with the Digital Services Sub-Committee at their meeting on the 30th May 2019.	Risk is now Amber Recommending that the Digital Services Sub Committee adopts an additional tracking tool called the Cyber Security Board Toolkit This was agreed at last DSSC and a member's workshop is being arranged.	Gary Brailsford-Hart	01-Jul-2019	30-Aug-2019

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CR16m	Review of how Cyber risk is identified, analysed and monitored – the expectation is we should be moving beyond compliance measuring (Ten Steps) and seeking to integrate cyber security into organisational risk management processes.	<p>Compliance and security are not the same thing. They may overlap, but compliance with common security standards can coexist with, and mask, very weak security practices. Good risk management should go beyond just compliance. Good risk management should give insight into the health of the City of London and identify opportunities and potential issues.</p> <p>Many of our organisational risks will have a cyber component to them. Cyber security risk should therefore be integrated with our organisational approach to risk management. Dealing with cyber security risk as a standalone topic (or considering it simply in terms of 'IT risk') will make it hard for us to recognise the wider implications of those cyber security risks, or to consider all the other organisational risks that will have an impact on cyber security</p>	Gary Brailsford-Hart	01-Jul-2019	31-Jul-2019
CR16n	Now in continuous improvement with monitoring and review at the DSSC	<p>Updates to be provided to DSSC committee every two months with a deep dive at the next A&R Committee.</p> <p>Report provided to A&R, monitoring agreed to continue at DSSC.</p>	Gary Brailsford-Hart	01-Jul-2019	31-Jul-2019

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR01 Resilience Risk	<p>Cause - Lack of appropriate planning, leadership and coordination</p> <p>Event - Emergency situation related to terrorism or other serious event/major incident is not managed effectively</p> <p>Effect - Major disruption to City business, failure to support the community, assist in business recovery. Reputational damage to the City as a place to do business.</p>		12	<ul style="list-style-type: none"> • Business Continuity training complete.action place now in place to implement key recommendations from the training and BIA process • BECC Training session complete, process and call out still to be finalised . Cycle of training to continue • Further staff awareness date planned 25/6/19 as part of cycle of training/awareness 		12	30-Apr-2020	<div style="width: 20px; height: 10px; background-color: blue;"></div>
20-Mar-2015 John Barradell				07 Jun 2019				Constant

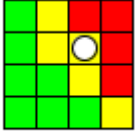
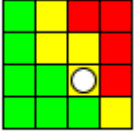
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR01D	Working with the IS division, remove potential single points of failure from business continuity processes.	Following the LAN and WiFi upgrade work across the City Corporation's sites, network resilience for the organisation has greatly improved. The annual IT DR Test has been delayed due to issues with BT to the COL datacentre and other technology incidents taking priority (including the website malware incident.) The IT DR test is now scheduled for completion by the end of June 2019 and a report on outcomes and Lessons Learned will be provided following the test.	Gary Locker	07-Jun-2019	30-Jun-2019
CR01L	Assurance process with Cabinet Office College Provide refresher and initial training for Col staff, this training intended to increase knowledge to ensure BC plans are able to support the Col maintain its business during a major incident, provide an in depth independent oversight of the Col business impact analysis, identifying its most critical business areas	Action place now in place to implement key recommendations from the training and BIA process	Gary Locker	01-May-2019	30-Apr-2020
CR01M	process, training, call out process to strengthen the City capability and resilience in responding to major incident and complying with the wider London boroughs standardisation programme	Training for this session complete , process and call out still to be finalised	Gary Locker	01-May-2019	31-Dec-2019
CR01N	to increase City capability and resilience in also supporting wider London boroughs during major incident response, Local Emergency Control Centres, Emergency centres as part of a wider humanitarian	BECC training as part of this process completed March 2019 , cycle of training to continue Further staff awareness date planned 25/6/19 as part of cycle of training/awareness	Gary Locker	01-May-2019	31-Dec-2019

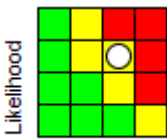
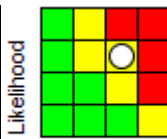

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CR02 Loss of Business Support for the City	Cause - The City Corporation's actions to promote and support the competitiveness of the business City do not succeed. Event - The City's position as the world leader in international financial services is adversely affected		12	A draft deal has been agreed between the UK and EU, which will now be voted on in Parliament. Whilst it isn't certain the Withdrawal Agreement will be approved, it is notable		8	30-Apr-2020	

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<p>22-Sep-2014</p> <p>Damian Nussbaum</p>	<p>Effect - The City loses its ability to attract and retain high value global business activity, both as a physical location and in mediating financial and trade flows; the City Corporation's business remit is damaged and its perceived relevance is diminished. Reputational damage to the City as a place to do business and to Corporation ability to govern effectively</p>	<p>Likelihood</p>  <p>Impact</p>	<p>progress a draft text has been produced. The deal was heavily defeated in Parliament, and following subsequent Parliamentary votes, the Prime Minister will be engaging with the EU27 to seek changes to the Backstop provisions of the Withdrawal Agreement. The second vote and third votes on the Prime Minister's deal was also heavily defeated.</p> <p>UK regulatory authorities have announced unilateral action to mitigate the disruption to financial services in the event of "No Deal". Whilst political statements for EU 27 are encouraging, reciprocal action needs to be taken by EU27 regulators. Progress has been made on this issue with ESMA and other Member State regulators taking appropriate action.</p> <p>Firms are making preparations to mitigate the impact of No deal.</p> <p>The UK Government has had a request to extend the Brexit deadline to 31 October 2019, approved by the EU27.</p> <p>07 Jun 2019</p>	<p>Likelihood</p>  <p>Impact</p>			<p>Constant</p>
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CR02H	Work on initiatives which ensure London is at the forefront of innovation in financial and professional services	<p>We have actively contributed to UK Government led initiatives with other markets on FinTech. A new Green Finance Institute will be established by the City Corporation in partnership with UK Government. A new Cyber strategy has been agreed with the City Police, and new work programmes on infrastructure and development finance are underway. Supporting the developing programme of work on digital skills through the Coalition for Digital Intelligence and the Financial Services Skills Taskforce. Have recently hosted the Innovate Finance Global Summit for FinTech.</p> <p>Engagement with policymakers and businesses at the recent World Economic Forum, has informed our ongoing work programme to increase bilateral trade and investment, as well as ensuring the UK economy is prepared for technological changes.</p> <p>Increased engagement with priority markets including Japan, US, Switzerland and China</p>	Damian Nussbaum	07-Jun-2019	30-Jun-2019

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CR09 Health and Safety Risk	<p>Cause - Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management</p> <p>Event - Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with.</p> <p>Effect - Possible enforcement action/ fine/prosecution by HSE, Employees/visitors/contractors may be harmed/injured, Possible civil insurance claim, Costs to the Corporation, Adverse publicity /damage to reputation, Rectification costs</p>	 <p>Likelihood</p> <p>Impact</p>	12	<ul style="list-style-type: none"> The new inspection programme initiated and now 45% progressed. H&S leadership workshop for Town Clerk's has been rearranged to 21/3/2019 COMPLETED A paper is being taken to the HS & Wellbeing committee as a proposal to refresh the H&S monitoring / KPIs. Agreed and being taken forward. Workshop arranged for mid-May with stakeholders Time to Talk MH campaign will start soon running 4 -15 Feb.COMPLETED Paper to HS&W committee on review of this CR09 (H&S) Risk Completed and also discussed at 	 <p>Likelihood</p> <p>Impact</p>	12	31-Dec-2019	

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22-Sep-2014 Chrissie Morgan				<p>CORMG where agreed to revise wording</p> <ul style="list-style-type: none"> • Safer Services collaborative seminar with conflict management partners on 15/4 Livery Hall (140 delegates expected) COMPLETED • Make Time for Mental Health event at Mansion House 14/5. • New Guidance on H&S responsibilities issued with supporting campaign. • New Guidance on H&S for Homeworking issued along with Event Safety Management Plan Template • London Work at Height Seminar 12 July Guildhall <p>12 Jun 2019</p>				Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR09J	Deliver a series of health and safety audits and compliance checks to provide corporate assurance that the organisation is being managed safely	The new inspection programme initiated and now 45% progressed.	Sarah Blogg; Nikki Jago; Justin Tyas	12-Jun-2019	31-Dec-2019

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CR21 Air Quality 07-Oct-2015 Jon Avern	<p>Cause: Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated with long term and short term exposure to nitrogen dioxide.</p> <p>Event: Under certain atmospheric conditions there is a higher probability of poor air quality within the City and it is more likely that residents, workers and visitors would suffer the acute consequences.</p> <p>Effect: The consequences both acute and chronic may include: An increase in hospital referrals placed upon both emergency services and the NHS for those already suffering from respiratory or cardiovascular conditions (it may also place a strain on City social services). An increase in deaths, particularly of those already suffering from respiratory or cardiovascular conditions (both residents and workers). Economic costs such as acting as a deterrent of businesses coming to London or staying and financial penalties for non-compliance with air quality limits. Persistent poor air quality may affect the longer term health of the City population. Persistent poor air quality may attract adverse media coverage making the City seem a less attractive place to live and work.</p>	<p>Likelihood</p> <p>Impact</p>	12	No change from previous assessment 13 May 2019	<p>Likelihood</p> <p>Impact</p>	6	31-Dec-2020	 Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR21 001i	Pilot an ultra-low emission street in the City of London.	Feasibility study complete. Consultation complete.	Jon Avern	13-May-2019	31-Dec-2019

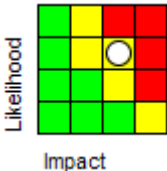
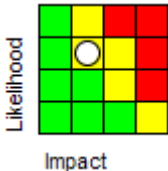

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CR26 Brexit - Organisational Impact	<p>Cause – The outcome of Brexit negotiations does not secure continuity of contracts, access to talent, ongoing grant funding and/or security of supply chains</p> <p>Event – The City Corporation services fail to prepare appropriately for the UK departure from the EU in March 2019</p> <p>Effect – There are a range of potential impacts.The City Corporation’s services are disrupted as supply chains and contracts are reassessed, potentially increasing cost and reprioritisation of resources. Uncertainty over multi-year grants may undermine the City Corporation’s ability to deliver or commit to services. The City Corporation may be unable to access the specialist talent and supply chains it needs to deliver some of its services.</p>	<p>Likelihood</p> <p>Impact</p>	12	<ul style="list-style-type: none"> • Corporation officers attending City of London Police Brexit Planning and Gold Command meetings. • The weekly and monthly submissions to MHCLG are now by exception only. • Town Clerk attending regular meetings with the GLA, LLAG and London Councils on Brexit Preparedness. • Simon Latham & Emma Lloyd have been nominated as the Corporation's point of contact for London Councils briefings and work on this. • A review of the various Brexit risks was undertaken by Summit and a number of changes to scores agreed. • The next Brexit Planning Meeting is due to take place at the end of May. • The Town Clerk is chairing the London Strategic Coordination Group. 	<p>Likelihood</p> <p>Impact</p>	6	31-Oct-2019	Constant
11-Oct-2018 John Barradell				05 Jun 2019				

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR26b	Progress on all departmental Brexit risks and their mitigations be reported monthly to Summit Group	<ul style="list-style-type: none"> Corporation officers attending City of London Police Brexit Planning and Gold Command meetings. 	Simon Latham	05-Jun-2019	31-Oct-2019

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		<ul style="list-style-type: none"> • The weekly and monthly submissions to MHCLG are now by exception only. • Town Clerk attending regular meetings with the GLA, LLAG and London Councils on Brexit Preparedness. • Simon Latham & Emma Lloyd have been nominated as the Corporation's point of contact for London Councils briefings and work on this. • A review of the various Brexit risks was undertaken by Summit and a number of changes to scores agreed. • The next Brexit Planning Meeting is due to take place at the end of May. • The Town Clerk is chairing the London Strategic Coordination Group. 			
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CR29 Information Management 08-Apr-2019	<p>Cause: Lack of officer commitment and investment of the right resources into organisational information management systems and culture.</p> <p>Event: The City Corporation's IM Strategy (2018-2023) is not fully and effectively implemented</p> <p>Effect:</p> <ul style="list-style-type: none"> • Not being able to use relevant information to draw insights and intelligence and support good decision-making • Vulnerability to personal data and other information rights breaches and non-compliance with possible ICO fines or other legal action • Waste of resources storing information beyond usefulness 	 <p>Likelihood</p> <p>Impact</p>	12	<p>The Information Management strategy has been agreed subject to a more detailed action plan and metrics to track performance.</p> <p>Progress is being made in developing a draft retention and disposal policy alongside reviewing roles to support good information management in the organisation and the business case for investment in tools required to help us manage and use our information more effectively.</p> <p>A draft Information Metrics model has been developed and discussed with the Information Management Board this now needs a final review with the Corporate Strategy and Performance team before being shared with SRG and Summit</p> <p>19 Jun 2019</p>	 <p>Likelihood</p> <p>Impact</p>	6	30-Jun-2020	

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John Barradell							Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR29a	Ensure that CoL has the necessary awareness, tools and skills to manage information effectively	<p>Work with the Head of Communications to communicate/raise awareness the IM Strategy and Policies. Provide training in SharePoint in preparation for migrating the Shared drives. Implement protective marking and information classification in CoL. Sharepoint to become the Corporate document management solution.</p> <p>Meeting being arranged with Communications to run campaign of awareness in October</p> <p>Training and communications on protective marking being developed</p>	Sean Green	14-Jun-2019	30-Sep-2019
CR29b	Start the culture change by Integrating good information management practice into the Leadership and Management stand of the City of London Learning Academy	<p>HR to work with the IT and the Corporate Strategy and Performance teams to identify the key skills required for good information management. HR to then develop the training to support this.</p> <p>HR to review where in HR policies and procedures this can be integrated. HR to Work with the senior leadership team to develop a plan and then deliver key messages and communications on the importance, relevance and benefits of good information management.</p> <p>Meeting held with HR who have agreed to support the development of training for the October launch</p>	Chrissie Morgan	14-Jun-2019	31-Mar-2020
CR29c	Ensure that CoL's information estate is safe, relevant, accurate, reliable, used and trusted.	<p>Implement and communicate relevant IM policies and IM Security.</p> <p>Develop and agree a Data Retention policy that links in with departmental retention schedules taking advice from the LMA.</p>	Sean Green	14-Jun-2019	30-Jun-2019

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		<p>Draft Policy being reviewed by LMA to take back to SRG and Summit</p> <p>Draft records Mgt policy being presented to Info Gov Group at the end of June</p>			
CR29d	Ensure that CoL's derives real value and benefits from the use of information, data, analysis and modelling	<p>IT to deliver the Business Intelligence Infrastructure to ensure that the Corporate Strategy and Performance team have the tools to develop business intelligence reports and analytics to support better decision making across CoL.</p> <p>Scope has been developed and is out for approval.</p>	Sean Green; Kate Smith	14-Jun-2019	30-Aug-2019
CR29e	Ensure that CoL has the necessary checks, balances and oversight to ensure successful implementation of the IM Strategy	<p>The Digital Services Task and Finish group to be established to provide governance and assurance that the strategy is being delivered. New IM Policies and compliance are already governed via the IM Governance Board.</p> <p>Meeting of this group booked in early July 2019</p>	Sean Green	22-May-2019	30-Jul-2019
CR29f	Ensure officers can implement the data retention policy and data discovery requirements from GDPR	<p>Put in place a new Data retention and discovery toolset to ensure we only retain and archive information in line with the agreed policy and retention schedule.</p> <p>Plan to use readily available MS tools and pilot the move of shared drives to MS Teams</p>	Sean Green	14-Jun-2019	30-Nov-2019

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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR10a	Monitoring of Government legislation and proposed regulatory changes.	Relevant Bills in the Government's legislative programme will be identified and City Corporation departments alerted to issues of potential significance as the measures are introduced in the new Session. Action taken through negotiation with departmental officials or amendments tabled in Parliament as required. The legislative consequences of Britain leaving the EU as they may affect the Corporation and the City more generally as an international financial centre is a key priority.	Paul Double	01-Jul-2019	31-Mar-2020

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CR10b	Provision of information to Parliament and Government on issues of importance to the City.	Briefing has been provided for parliamentary debates including on Brexit, air quality, immigration, housing, planning, the creative industry, trade and investment, apprenticeships, economic crime, Fintech and broadband.	Paul Double	01-Jul-2019	31-Mar-2020
CR10c	Engagement with key opinion informers in Parliament and elsewhere. Programme of work to monitor and respond to issues affecting the reputation of the City Corporation.	Liaison with the City's MP and other MPs, Peers and Select Committee of both Houses on matters of importance to the City, including increased engagement on Brexit-related issues. Working with other organisations, including the Financial Markets Law Committee, to analyse the legal framework when an outcome on Brexit is agreed or if it is not. Continuing engagement on devolution in London and liaison with London Councils and Central London Forward on the application of devolution to the London boroughs and the City, either directly from Central Government or the Mayor.	Paul Double	01-Jul-2019	31-Mar-2020

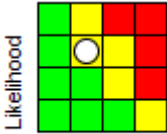
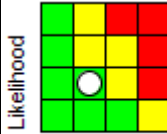

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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR17q	A review is being carried out into the business continuity arrangements for the staff providing the out of hours social care service. Following the review, a detailed and clear protocol for addressing issues regarding connectivity to the City of London Social Care system issues will be developed.	There have been some issues with the Out of Hours Social Care service being able to connect to the City of London Social Care System and work is being undertaken to address the issue. A full diagnosis of the issues has been completed and an action plan is being monitored by the Mosaic Advisory Board to ensure a permanent solution is in place. A preferred option to address the issues is under discussion with London Borough of Hackney and the software provider. Ongoing monitoring and maintenance of the arrangement with Hackney will be subject to review at the People Senior Management Team meetings.	Hasna Begum; Sharon McLaughlin	23-May-2019	30-Jun-2019
CR17r	A raising awareness campaign is being planned and will be launched shortly. This will cover education and early years settings and will include the role of the Local Authority Designated Officer and safeguarding enquiries.	A raising awareness campaign around Safeguarding and the role of the LADO within the Education Sector in the City of London will take place during the current academic year. A training gap analysis has been carried out and training to address this will be delivered during the summer term. A conference for staff from the sector is being planned for September 2019.	Theresa Shortland	23-May-2019	30-Sep-2019
CR17S	A review of safeguarding arrangements within the City of London family of schools, including the CoL academies has been commissioned by the Education Division. It is anticipated that the review will be completed by 31 March 2019	A review of the Safeguarding arrangements in the City of London family of schools has been completed and a draft report is being prepared. The report will be presented to the Education Board in July 2019.	Anne Bamford	23-May-2019	31-Jul-2019
CR17T	The Children Act 2004 as amended by the Children and Social Care Act 2017 places new duties on key agencies in a local area. Local Safeguarding Children Boards will be replaced by new local safeguarding partnership arrangements. These arrangements place statutory responsibilities upon 3 agencies to develop and implement a new partnership, these are Local Authorities, Health and Police.	The City and Hackney Safeguarding Children Board will be replaced by the City and Hackney Safeguarding Children Partnership (CHSCP). The new governance arrangements need to be approved by the Department for Education by end of June 2019 and in place and operational by September 2019. The final decision regarding the CHSCP governance arrangements will be made by the Chief Officers of the City of London Corporation Department of Community and Children Services, Hackney Children Services, the City and Hackney Clinical Commissioning Group, the City of London Police and the Metropolitan Police Service in Hackney. A report was presented to the Community and Children Services Committee in April 2019 setting out the details of the arrangements and the options currently being considered.	Sharon McLaughlin; Chris Pelham	23-May-2019	30-Sep-2019
CR17U	DCCS will be working with Town Clerks Department to deliver a Member briefing programme in 2019 that will enhance member knowledge and understanding of key safeguarding areas across children and adults.	<p>The aim of the sessions is to raise awareness of Member responsibilities in respect of safeguarding. The briefings will include;</p> <ul style="list-style-type: none"> • The Mental Capacity Act and Making Safeguarding Personal. • Adult Social Care • Rough Sleepers 	Chris Pelham	23-May-2019	31-Dec-2019

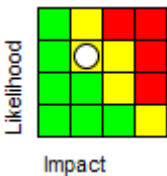
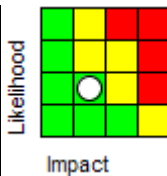

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		<ul style="list-style-type: none"> • SEND/Safeguarding- Education and Safeguarding • The role of Corporate Parent- Children's Social Care 			
CR17V	The City of London Safeguarding Policy was implemented in 2014. It is subject to review on an annual basis. A corporate safeguarding audit was undertaken in 2018/19.	<p>The Corporate safeguarding audit focused on:</p> <ul style="list-style-type: none"> • The safeguarding responsibilities of each of the City of London's departments • Departmental heads' understanding of these responsibilities • Governance structures for monitoring and reporting safeguarding issues • Responses to safeguarding incidents and how these were reported to the relevant committee(s) <p>The final audit report and recommendations will be presented to summit, Chief Officers Group and Audit and Risk Management Committee.</p>	Chris Pelham	23-May-2019	31-Oct-2019

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR25 General Data Protection Regulation Compliance 01-Dec-2017 Michael Cogher	<p>Cause: Inadequate departmental systems and procedures are in place which meet the additional requirements of GDPR legislation.</p> <p>Event: CoL is unable to comply with GDPR requirements - poor, non-secure and non-compliant processing of personal data.</p> <p>Effect: CoL exposed to adverse publicity, reputational damage, financial penalties imposed by the Information Commissioners Office. Increased volume of Subject Access Requests.</p>	 <p>Likelihood</p> <p>Impact</p>	6	<p>1. C&CS Information Compliance Team continues to advise departments on GDPR compliance issues and on embedding GDPR generally.</p> <p>2. The Mazars GDPR compliance audit is awaited which will provide an assessment of the level of compliance.</p> <p>27 Jun 2019</p>	 <p>Likelihood</p> <p>Impact</p>	4	30-Sep-2019	 Constant

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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR25h	<ul style="list-style-type: none"> Departments to supply existing records retention schedules to supplement the CoLC corporate retention schedule. GDPR compliance team to advise and review departmental retention schedules and liaise with departmental AIN representatives on required improvements. 	Retention schedules for 5 departments are nearing completion	Michael Cogher	26-Jun-2019	30-Jun-2019
CR25l	<ul style="list-style-type: none"> Paper to summit group on deletion of W drive data. Data discovery tool procurement 	<p>1. IS to deliver a business case to secure funding for a data discovery tool.</p> <p>2. Deputy IT Director & Head of Business Change and Engagement are developing a proposal for the management of the W:Drive.</p>	Matt Gosden; Sean Green	26-Jun-2019	30-Sep-2019

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR27 Change Management	<p>Cause: Failure to appreciate the scale, complexity and impact of change and take the necessary steps to ensure the organisation has the capability and capacity to change (to stay relevant)</p> <p>Event: poorly managed and ineffective change</p> <p>Effect:</p> <ul style="list-style-type: none"> Disruption to service, poor performance and damage to reputation Outcomes not achieved, reduction in benefits (financial and non-financial) Failure to change or keep up with change, organisational paralysis and reduction in ability to remain relevant 	 <p>Likelihood</p> <p>Impact</p>	6	<ul style="list-style-type: none"> Corporate Strategy & Performance's Corporate Engagement Lead role 12m pilot in place Dec 2018. PMO's Programme Management Review running concurrently Plan is to bring these capabilities together as part of a single, streamlined officer governance system in 2020-21. Departmental workforce plans are being embedded in Business Plans with a forward look to show full upcoming requirements 	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2020	

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05-Dec-2018	<ul style="list-style-type: none"> • Adverse impacts on external stakeholders including businesses and residents. • Loss of valued staff and / or negative mental health impacts for staff. 		<ul style="list-style-type: none"> • Corporate Engagement Lead and Internal Communications delivering a corporate change campaign starting by feeding back and communicating actions in response to the Staff Survey results and cascading information about the fundamental review. 8 of 12 Fundamental Review / staff survey sessions now completed • A change team is being put together for specific support for the anticipated changes due to fundamental review, monitoring of redundancies for the notification to BEIS (Business, Energy and Industrial Strategy) is already established. Although the changes as a direct result of FR will be some way off, departments are obviously preparing for this and there are 5 restructures in JE at the moment. A Change Took Kit is also available. • The L&OD team are building support for Managers, Teams and Individuals to manage the review period and the subsequent changes in the most effective way possible. Team support will include interventions and individual support will include information advice and guidance. The L&OD team are also working with IT on training for staff to adopt and make best use of available technologies to both drive and support change. • The Policy Team are reviewing the policies and procedures around change and change management. 				
			01 Jul 2019				

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John Barradell							Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR27a	To build the capability to look across existing and proposed programmes of work and assess their comparative benefits, risks and resource requirements and understand their interdependencies	<ul style="list-style-type: none"> • Corporate Strategy & Performance's Corporate Engagement Lead role 12m pilot in place Dec 2018. PMO's Programme Management Review running concurrently. Plan to bring these capabilities together as part of a single, streamlined officer governance system • Departmental workforce plans are being embedded in Business Plans with a forward look to show full upcoming requirements 	Kate Smith	01-Jul-2019	31-Mar-2020
CR27b	To help staff understand why, how and what we're changing to increase engagement and take-up and deliver benefits	Corporate Engagement Lead and Internal Communications delivering a corporate change campaign starting by feeding back and communicating actions in response to the Staff Survey results and cascading information about the fundamental review. 8 of 12 Fundamental Review / staff survey sessions now completed	Kate Smith	01-Jul-2019	31-Jan-2020
CR27c	To build capacity and develop and grow our in-house capability and skills to manage change	<p>A change team is being put together for specific support for the anticipated changes due to fundamental review, monitoring of redundancies for the notification to BEIS (Business, Energy and Industrial Strategy) is already established. Although the changes as a direct result of FR will be some way off, departments are obviously preparing for this and there are 5 restructures in JE at the moment. A Change Took Kit is also available.</p> <p>The L&OD team are building support for Managers, Teams and Individuals to manage the review period and the subsequent changes in the most effective way possible. Team support will include interventions and individual support will include information advice and guidance. The L&OD team are also working with IT on training for staff to adopt and make best use of available technologies to both drive and support change.</p> <p>The Policy Team are reviewing the policies and procedures around change and change management.</p>	Chrissie Morgan	01-Jul-2019	31-Jul-2019