Corporate risk register

Generated on: 21 August 2015

Rows are sorted by Risk Score

Code & Title: CR Corporate Risk Register 9

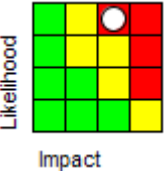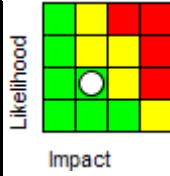| Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CR11 Hampstead Heath Ponds – overtopping leading to dam failure	**Cause:** The earth dams on Hampstead Heath are vulnerable to erosion caused by overtopping **Event:** Severe rainfall event which causes erosion which results in breach, leading to failure of one or more dams **Impact:** Loss of life within the downstream community and disruption to property and infrastructure – including Kings Cross station and the Royal Free Hospital. A major emergency response would need to be initiated by Camden Council and the police at a time when they are likely to already be dealing with significant surface water flooding. Damage to downstream buildings and infrastructure would result in	Sue Ireland	16	The "Ponds Project" has been initiated to address the vulnerability of the dams to overtopping and the associated erosion. As this project is the ultimate mitigation of this risk and all other feasible mitigations are already in place, the issues reported related principally to the successful and timely completion of the Ponds Project. **Potential for land ownership issues to cause delays**– The various adjoining landowners have been engaged with and there is no concern currently that this will impact on project progression.	8	31–Oct–2016	

significant re-build costs. The City's reputation would be damaged. An inquiry and legal action could be launched against the City. The Ponds Project has been initiated to mitigate this risk as the current interim mitigations of telemetry, weather monitoring, an on-site emergency action plan do not address the issue of the dam's vulnerability to overtopping			**Potential for protest** – Officers have engaged with Met Police, Camden and specialist contractors to ensure that we are in a position to respond to any protest which occurs. A "Gold Strategic Intent" document has been drafted. This sets out the principles of accommodating protest which is safe, peaceful and non-disruptive. **Health & Safety** – The Heath is a public open space and therefore the interaction between people, dogs and construction plant must be managed. All construction vehicles will be escorted and move at walking pace. **Cost increases** – The budget is managed by the Project Board. A separate risk contingency has been established. **Further challenge** – Although much reduced following the JR and planning decision, some local groups are continuing to lobby government to	

				prevent the project.			

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR11 a Project Director to review budget monthly with Project Board – specific consideration of use of risk contingency	Regular monitoring of budget and risk provisions	Paul Monaghan	31-Mar-2016	Project Director continues to monitor the budget closely with the project officer.
CR11 b Agreement of methods of working with utilities	Agreement of methods of working with utilities	Paul Monaghan	31-Aug-2015	Engineers and Contractor have been meeting regularly with utilities
CR11 c Site supervision by DBE and OS to ensure appropriate H&S procedures	Regular review of H&S and working practices – in particular movement of vehicles	Paul Monaghan	31-Mar-2016	Weekly meetings to review practices being undertaken
CR11 d Liaison Officer to engage proactively through site notices, media, electronic	Liaison officer role defined by planning conditions in respect of CWG, but will undertake broader community engagement role as previously	Paul Monaghan	31-Mar-2016	CWG continues to meet regularly alongside a programme of walks

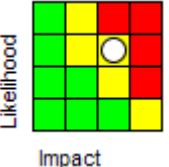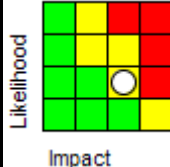|				
communications, PPSG and CWG				
CR11 e New on-site plan to be agreed by Core Group and Project Board	A revised on-site plan is required for the construction period.	Paul Monaghan	31-Aug-2015	New plan was agreed by the core group subject to approval by the panel engineer. Project officer to follow up with Atkins on this approval
CR11 f Daily ecological monitoring by BAM and Heath staff to check for nesting birds	As per planning consent and conditions	Paul Monaghan	31-Oct-2016	Daily monitoring will take place until the conclusion of the works.
CR11 g Weekly site meetings to secure clear communication between OS, DBE and BAM	To secure clear understand of impact on the Heath, resolution of any issues, discussion of complaints	Paul Monaghan	31-Oct-2016	Meeting continue to progress well
CR11 h Resolution of issues with adjoining land owners	There are 4 different adjoining landowners who the City is engaging with. The land ownership will be resolved according to the specifics of each case – via transfer, access agreements or registration as co-undertakers with the EA .	Paul Monaghan	31-Aug-2015	Negotiations ongoing

CR11 i Approval of designs for Highgate 1	The design approved for Highgate 1 impacts on another landowner. Discussions as to an acceptable alternative have been progressing. Any change will require planning permission.	Paul Monaghan	31-Aug-2015	Further discussions with landowner required

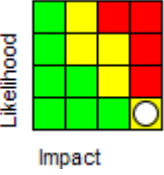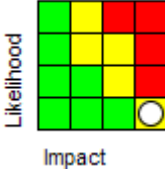| Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CR19 IT Service Provision	**Cause**: The whole Police IT Estate and parts of the Corporation are in need of further investment. **Event**: For the Corporation, poor performance of IT Service and for the Police critical failure of the Police IT Service. **Effect**: Loss of communications or operational effectiveness (including service performance, reliability and weakening DR capabilities). reputational damage. Possible failure of critical Corporation and Policing activities.	Graham Bell	16	The Agilisys Service take on from Dec 2014 has 8 mandatory projects design to improve the Police IT Infrastructure. A Joint Network Refresh has also been initiated to update and renew the Police network both between and within Buildings. Taken together these two projects will greatly improve the IT service and reduce the risk to an acceptable level.	4	31-Dec-2015	⬌

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR19a COLP Agilisys managed	Agilisys managed services contract will bring additional resource and a resilient data centre solution to the	Graham Bell	31-Dec-2015	ACTION COMPLETED. The Agilisys service take-on commenced in December 2014. With the exception of the major storage, failure in late June the service take-on has been smooth,

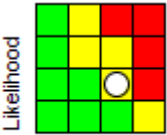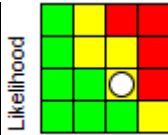|				
services contract.	Police IT estate.			improved service reliability and there are significantly improved resources, process and procedure in place. The 8 mandatory projects are progressing well and to plan and Agilisys are considering further actions which may mitigate the risks in the short-term pending completion of the projects.
CR19b JOINT Network refresh programme.	Joint network refresh programme to resolve issues around network resilience and ensure we have diverse routes for network traffic, avoiding single points of failure.	Graham Bell	31-Dec-2015	A Gateway 3 has been approved by Force Change Board and Capital Programme Board within CoLP, and will be presented to Project Sub Committee for approval. GYE is now operating with a new local area network and the Police Telephony system has completed an upgrade to improve resiliency, there is provision within the Gateway 3 Paper to return for urgent items which need to be resolved quickly while the longer term solution is implemented for other Police Buildings For the Corporation the existing LAN is supported by an IBM Support contract and is operating satisfactorily, however equipment is end of life there is a risk of failure and must be replaced under the JNRP.
CR19c JOINT End User Device Renewal	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure.	Graham Bell	31-Mar-2016	For the Police this work has already been completed and the end user device estate has been renewed. For the Corporation a Gateway 2 Report has been prepared to replace the 60% of devices now more than 4 years old, as well as making improvements to supporting infrastructure and systems. If approved this should be completed by Mar 2016
CR19d CoLP Investment in any retained IT infrastructure	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure	Graham Bell	31-Dec-2015	A gateway 1/ 2; has been approved for the refreshment of the retained IL4 infrastructure for CoLP.

CR19e CoLP Progress review scheduled for May 2015.	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure.	Graham Bell	31-May-2015	ACTION COMPLETED. Review has been completed and although projects are progressing to plan. We are working with Agilisys to seek early mitigation of some areas of risk.
CR19f JOINT Migration of servers to dual data centre.	Staff available out of hours to cover any issues.	Graham Bell	31-May-2015	ACTION COMPLETED. IAAS Project – Migration of servers to dual data centre.
CR19g CoLP Staff availability.	Staff available out of hours to cover any issues.	Graham Bell	12-Mar-2015	ACTION COMPLETED. Agilisys now have a resourced team in place to support the Police and ensure support is available 24 / 7.
CR19h DR Capabilities	There are DR capabilities which mean any critical failures can be recovered from, although should be noted that limitations within these capabilities might mean that systems may not be restored within recovery time objectives.		12-Mar-2015	ACTION COMPLETED. Improved procedure and processes are now in place and there is capability available to recovery from problems as quickly as the current infrastructure allows.
CR19i CoLP Recovery activity documentation.	Documentation in place to support recovery activity.	Graham Bell	12-Mar-2015	ACTION COMPLETED. Improved procedure and processes are now in place and there is capability available to recovery from problems as quickly as the current infrastructure allows. Additionally, as new IaaS infrastructure is deployed procedures will be enhanced.
CR19j CoLP Transition plan.	Transition plan in place to deliver sustainable and resilient DR capabilities.	Graham Bell	12-Mar-2015	ACTION COMPLETED. The 8 Mandatory Agilisys projects are planned, resourced and managed

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CR09 Health and Safety Risk	**Cause** – Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management **Event** – Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with. **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	Chrissie Morgan	12	The risk was reviewed by the SMT on 20/08/15, no change to the assessment at this time External accreditation of the CoL Health and Safety Management System is due to take place in November The Top X risk assessment approach is being repackage to bring the process in line with the Covalent risk management software	8	31-Mar-2016	↔

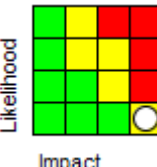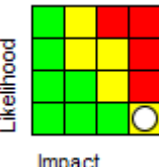| Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR09A External Verification	External verification of the CoL's safety management system	Oliver Sanandres	30-Nov-2015	Action added 240615, currently selecting appropriate review organisation
CR09B Compliance Audits	Rolling programme of departmental compliance audits conducted by the Corporate Health and Safety Unit	Oliver Sanandres	31-Mar-2016	Work for this financial year started April 1 2015, 2 audits currently completed, programme for the rest of the year has been set and is on target

Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CR01 Resilience Risk	**Cause** – Lack of appropriate planning, leadership and coordination **Event** – Emergency situation related to terrorism or other serious event/major incident is not managed effectively **Effect** – Major disruption to City business, failure to support the community, assist in business recovery	John Barradell	8	This risk was review by the SMT and the assessment score is rated as unchanged Exercise Allovus was conducted on June 11 successfully. The exercise included the emergency services. The findings from the exercise will be reported to the Summit Group on July 13	8	31–Mar–2016	↔

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR01A Emergency Exercise	Full exercise (Allovus) to test the emergency and business continuity plans across the organisation. The exercise will involve the emergency services	Gary Locker	11–Jun–2015	The exercise was completed as planned
CR01B Exercise Allovus – review report to Senior Management	Prepare and complete a review report for the Summit Group, actions leading from Exercise Allovus	Gary Locker	31–Oct–2015	Report was originally planned to be complete in July 2015, but further work was required and the report will now be submitted to Senior Management by the end of October 2015

Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CR02 Supporting the Business 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 **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.	John Barradell	8	Following review the risk assessment/scoring is unchanged The Corporation and the International Regulatory Strategy Group ensure we engage on the key regulatory issues that affect the financial and professional services industry, informing our engagement with policy makers, regulators and the media. ED office is engaged in a programme of work to support, defend and enhance the business city, in accordance with ED Business Plan.	8	31-Mar-2016	↔
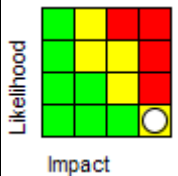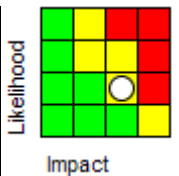
Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR02A Special Representative of the City to the EU	Appointment of former Foreign Office Minister, Jeremy Browne, to new position to enhance our engagement with EU policy makers.	Giles French	01-Sep-2015	Appointment Commences on 1 September 2015 – 3 year appointment

CR02B Restructure of the team working on financial and professional services	City, EU and International Affairs teams have been restructured into City Competitiveness and Regulatory Affairs teams to remove geographical boundaries and provide greater policy focus to work. Job descriptions have been reviewed for same purpose.	Giles French	01-Sep-2015	New structure and roles go live on 1 September 2015

Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CR10 Adverse Political Developments	**Cause:** Financial services issues that make the City Corporation vulnerable to political criticism; local government devolution proposals that call into question the justification for the separate administration of the Square Mile. **Event:** Functions of City Corporation and boundaries of the City adversely affected. **Impact:** The future of the City of London Corporation as an independent body could be undermined.	Paul Double	8	There has been close engagement with those responsible for developing proposals to enable the devolution of responsibilities while safeguarding the City. Constant attention is given to the form of legislation affecting the City. Continued promotion of the good work of the City Corporation among opinion-formers particularly in Parliament and Central Government so that the City Corporation is seen to remain relevant and "doing a good job" for	8		↔

				London and the nation .			

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR10a Government and stakeholder engagement	Monitoring of Government legislation and proposed regulatory changes. Provision of information to Parliament and Government on issues of importance to the City. 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.	Paul Double	31-Mar-2016	Relevant Bills in the Government's legislative programme have been identified and City Corporation departments alerted to issues of potential significance. Briefing has been provided for Parliamentary debates on air quality, immigration, the creative industry, trade and investment, Fintech and broadband. There has been 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.

Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CR17 Safeguarding	Cause: Not providing appropriate training to staff, not providing effective management and supervision, poor case management Event: Failure to deliver actions under the City of London' safeguarding policy. Social workers and other staff not taking appropriate action if notified of a safeguarding issue	Ade Adetosoye	8	Work is ongoing to raise awareness of safeguarding, through e-learning, briefing sessions and working with partners. Good progress has been made on implementing the actions to mitigate this risk.	8	31-Mar-2016	⬌

	Effect: Physical or mental harm suffered by a child or adult at risk, damage to the City of London's reputation, possible legal action, investigation by CQC and or Ofsted					

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR17b Work with HR to develop training and programmes to support staff	Develop safeguarding e-learning modules and enable staff to access advice and assistance	Chris Pelham	30-Sep-2015	The majority of staff have undertaken the e-learning modules. Outstanding training will be completed by end of August
CR17c Safeguarding Awareness Sessions for DCCS Staff	3 raising awareness sessions will be delivered to Community and Children's Services staff. These sessions will cover updated Child Sexual Exploitation and Children Missing from home, Education and or Care protocols and referral process which have been updated and circulated to all professionals. A Multi Agency Sexual Exploitation group is now fully functioning.	Chris Pelham	31-Jul-2015	Completed - All sessions have now been delivered to staff.

CR17d Raising awareness of Private Fostering, role of Local Authority Designated Officer (LADO)	A Multi Agency Briefing Event will be held with over 60 partners attending to launch the new referral process, to highlight the role of the Local Authority Designated Officer and raise awareness Private Fostering and the City of London Thresholds document.	Chris Pelham	30–Sep–2015	Completed – the briefing session took place on 6 July 2015. Partners welcomed the event and feedback was positive.
CR17e Prevent agenda – new guidance	New guidance on the Prevent agenda is being circulated to the City family of schools including the City of London Academies. A leaflet has been produced for parents and carers regarding the Prevent agenda.	Chris Pelham	10–Jul–2015	Completed – this work has now been completed and the new guidance on the Prevent agenda has been sent to the City of London Family of Schools and the new leaflet has been circulated to parents and carers.
CR17f Review of City of London Safeguarding Policy	A review of the City of London Safeguarding Policy will be undertaken with the involvement of the Departmental Safeguarding Champions	Chris Pelham	31–Dec–2015	Target date for completion 31 December 2015
CR17g Preparation for Inspection of Children's Services and Ofsted Inspection Framework	Work is ongoing to prepare for an Ofsted Inspection of Children's Services. Concerns have been raised by The Society of Local Authority Chief Executives (SOLACE), Local Government Association (GLA) and Association of Directors of Children's Services (ADCS) about the current Ofsted inspection	Chris Pelham	31–Mar–2016	An update on the Corporate Safeguarding Policy will be presented to the Safeguarding sub committee on 25 September 2015

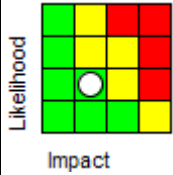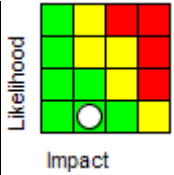|	framework regarding the lack of flexibility and understanding of local demographics and service needs. No Local Authority has been assessed as outstanding since the inspection framework was revised almost 2 years ago.						

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CR14 Funding Reduction	**Cause**: Reduced funding from Central Government. **Event**: Reduced funding available to the City Corporation. **Effect**: City Corporation will be unable to maintain a balanced budget and healthy reserves in City Fund, significantly impacting on service delivery levels.	Peter Kane	6	The financial strategy already addresses this risk for City Fund. Following the service based review and inclusion of these savings in budget estimates, the City Fund (non-Police) remains in balance or close to breakeven across the period. Savings begin to be reflected in the budget for 2015/16, approved by the Court, with full impact by or before 2017/18. There are risks around the implementation of the saving proposals and the achievement of savings will be monitored by the Efficiency and Performance	4	31-Mar-2018	⬌

				Sub Committee on a regular basis. As savings proposals are implemented, this risk will ultimately reduce further to GREEN. The MTFP currently anticipates the Revenue Support Grant will reduce to £2m by 2019/2020. In the summer budget, the Chancellor announced overall reductions that are less steep than forecast in the March budget. We do not yet know how this affects us until after the comprehensive spending review in the autumn, but we know the deficit reduction programme is over a longer period and the squeeze has eased a little. Further significant cuts are likely to Home Office Funding for Police services over the next four years as a result of the Spending Review. The separate review of Police Funding Formula may result in a further reduction. The medium			

				term financial strategy is being updated to address these likely reductions but cannot be finalised until the outcome of the SR and Formula Review is known in late November/December.			

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR14a Scrutiny by the Efficiency Board and Efficiency and Performance Sub-Committee.	Scrutiny of the achievement of savings by the Efficiency Board and Efficiency and Performance Sub-Committee.	Caroline Al-Beyerty	31-Mar-2016	First Departmental SBR Monitoring report provided to May 15 EPSC. Quarterly cycle of reporting agreed for remainder of 2015/16.
CR14b SBR implementation.	SBR implementation continues with cross departmental workstreams to identify further efficiencies in strategic asset management, income generation, and reviews of grants and hospitality.	Caroline Al-Beyerty	31-Mar-2016	Progress is monitored by EPSE in full. Grants renew is complete now more to implement. Recommendations made. Corporate Finance are liaising closely with Police finance team.
CR14c Police Savings proposals.	Police Savings proposals to be quantified and validated by September 2015.	Caroline Al-Beyerty	30-Sep-2015	

CR14d SBR – Savings proposals.	SBR implementation in progress– savings proposals identified that restore the budget to a balanced position across the medium term.	Caroline Al–Beyerty	12–Mar–2015	ACTION COMPLETED.
CR14e Robust financial planning.	Robust financial planning.	Caroline Al–Beyerty	12–Mar–2015	ACTION COMPLETED.
CR14f Monitoring of delivery of savings.	Robust monitoring of delivery of savings proposals – undertaken by Head of Finance, Projects.	Paul Nagle	31–Mar–2016	First round of monitoring complete, 2nd round to commence by end of June 2015.
CR14g Scrutiny by the Efficiency Board and Efficiency and Performance Sub– Committee.	Scrutiny by the Efficiency Board and Efficiency and Performance Sub– Committee.	Caroline Al–Beyerty	12–Mar–2015	ACTION COMPLETED.

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CR16 Information Security	**Cause**: Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information.	Graham Bell	4	Mandatory training programme now complete. Structure of policies and guidelines due to be signed off by the IT Steering Group on 1 September 2015.	2	31–Jan–2016	↔

Event: Cyber security 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 1988. Incur a monetary penalty of up to £500,000. Compliance enforcement action. Corruption of data. Significant reputational damage.	

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR16a Review and refresh policy	Review and refresh existing policy around cybersecurity and technology infrastructure risk in partnership with Agilisys.	Christine Brown	30–Sep–2015	Final version to be agreed at IT Steering group on 1 September 2015, and then Summit Group.
CR16b Promote Data Security training	Actively promote Data Security training and Responsible for Information training plan to be developed and deployed.	Christine Brown; Daniel Mckee	30–Sep–2015	Campaign to ensure colleagues complete mandatory Data Protection Act 1998 and responsible for information courses by end of April 2015. Next steps: Ensure HR inform managers that these courses are mandatory for all new joiners, and that completion should be monitored.
CR16c Central monitoring and guidance.	Ensuring departments comply with the DPA and FOIA, within a corporate policy and compliance	Michael Gasson	12–Mar–2015	ACTION COMPLETED. Draft Internal Audit report states compliance level 'Substantial'.

	framework, via an Access to Information Network (AIN); that guidance is provided, and compliance is monitored.			
CR16d Data Protection awareness raising.	Biannual awareness raising campaigns, including posters, screensavers, tables talkers, and key guidance emails to all staff. (May and November)	Daniel Mckee	12-Mar-2015	ACTION COMPLETED.
CR16e Mandatory online training and Data Protection presentations to staff	Mandatory online training for all staff and rolling program of tailored DPA training presentations for all staff, and to Members on request.	Daniel Mckee	12-Jul-2015	ACTION COMPLETED.
CR16f Technical Solutions Officer.	Appointment of Technical Solutions Officer.	Gary Griffin	12-Mar-2015	ACTION CLOSED. There are currently no plans to recruit to this post.
CR16g Investigations process.	Investigations process in place.	Graham Bell	12-Mar-2015	ACTION COMPLETED.