

Corporate Risk Register - Detailed Report

Report Author: Paul Dudley



Rows are sorted by Risk Score

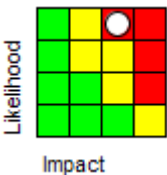
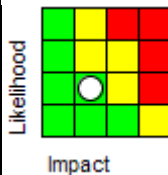
Code & Title: CR Corporate Risk Register 11

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
CR11 Hampstead Heath Ponds - overtopping leading to dam failure	<p>Cause: The earth dams on Hampstead Heath are vulnerable to erosion caused by overtopping</p> <p>Event: Severe rainfall event which causes erosion which results in breach, leading to failure of one or more dams</p> <p>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 significant re-build costs. The City's reputation would be damaged. An inquiry and legal action could be launched against the City.</p> <p>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</p>	<p>Likelihood</p> <p>Impact</p>	16	<p>The "Ponds Project" was initiated and is being implemented to address the Risk.</p> <p>The issues reported relate principally to the successful and timely completion of the Ponds Project.</p> <p>Potential for land ownership issues to cause delays- Most of the adjoining land owner issues have been resolved and there are no current concerns.</p> <p>Potential for protest – This risk has significantly reduced as the project is well underway.</p> <p>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 are being escorted at walking pace.</p>	<p>Likelihood</p> <p>Impact</p>	8	31-Oct-2016	↔

05-Feb-2015 Sue Ireland; Paul Monaghan				<p>Cost increases - The budget is overseen by the Project Director and Project Board. A specific risk provision has been included in the approved budget.</p> <p>Further challenge – Initial challenge has fallen away. Ongoing extensive consultation and communication with all stakeholders, updating them on progress of the Ponds Project.</p> <p>Technical Challenge – As works progress on site technical issues are being uncovered e.g. silt and clay suitability. Mitigation methods will be developed as technical issues arise.</p> <p>25 November 2015</p>				
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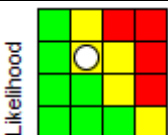
Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR11 a	Regular monitoring of budget and risk provisions	Project Director continues to monitor the budget closely with the project officer.	Paul Monaghan	25 Nov 2015	31-Mar-2016
CR11 b	Agreement of methods of working with utilities	Methods of working agreed around utilities. Ongoing joint working concerning a number of diversions that are happening as a result of the works.	Paul Monaghan	25-Nov-2015	31-Aug-2015
CR11 c	Regular review of H&S and working practices - in particular movement of vehicles	Weekly meetings to review practices being undertaken	Paul Monaghan	25-Nov-2015	31-Mar-2016
CR11 d	Liaison officer role defined by planning conditions in respect of CWG, but will undertake broader community engagement role as previously	CWG continues to meet regularly. Liaison officer issues 818 weekly email newsletters, updates blog regularly (1000 blog visits per month). Website regularly updated, time-lapse camera established and 1336 students participated in Ponds Project Education Programme.	Paul Monaghan	25-Nov-2015	31-Mar-2016
CR11 e	A revised on-site plan is required for the construction period.	Completed	Paul Monaghan	25 Nov-2015	31-Aug-2015
CR11 f	As per planning consent and conditions	Daily water quality and dust monitoring undertaken. Data published and issued monthly to CWG.	Paul Monaghan	25-Nov-2015	31-Oct-2016

CR11 g	To secure clear understand of impact on the Heath, resolution of any issues, discussion of complaints	Continuing consultation with all stakeholders. Complaints log discussed at CWG	Paul Monaghan	25-Nov-2015	31-Oct-2016
CR11 h	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.	Two of four landowners do not impact on progression of the Ponds Project. Orchard Trust Transfers agreed. Fourth landowner see action below. Col will continue to liaise with landowners.	Paul Monaghan	25-Nov-2015	31-Aug-2015
CR11 i	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.	Millfield cottage - design is being changed to suit landowner. Alternative designs completed and awaiting agreement with landowner prior to applying for planning permission	Paul Monaghan	25-Nov-2015	31-Aug-2015

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CR19 IT Service Provision 14-Jul-2015 Graham Bell	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.		16	This risk remains red but is expected to reduce as infrastructure changes are implemented. Progress against the transition plan is measured regularly to ensure the risk continues to reduce towards the target status of Green by 31 December 2016 30 Nov 2015		4	31-Dec-2016	↔

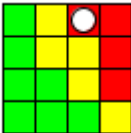
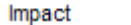
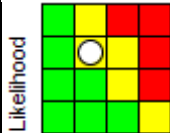
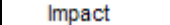
Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR19b	Joint network refresh programme to resolve issues around network resilience and ensure we have diverse routes for network traffic, avoiding single points of failure.	A Gateway 4/5 report will be presented for approval in December 2015.	Graham Bell	16 Nov 2015	31-Dec-2016
CR19c	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure.	A Gateway 4/5 report will be presented for approval in December 2015.	Graham Bell	16 Nov 2015	31-Dec-2016
CR19d	Investment in any retained IT infrastructure to ensure that	Report to Gateway Projects Sub-Committee in October, 4/5 report for approval in December	Graham Bell	16 Nov	31-Dec-

	this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure	2015.		2015	2015
CR19k	Replacement of desktop phones with soft phones and improved teleconferencing facilities.	Gateway 2 report for approval in December 2015.	Graham Bell	16 Nov 2015	31-Dec-2015
CR19L	CoLP: Infrastructure as a Service	Underway and as at the end of Nov the 1st migration have been accomplished	Graham Bell	30-Nov-2015	31-Dec-2015

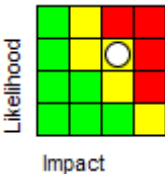
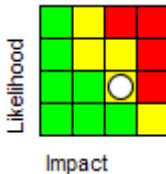
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CR20 Road Safety 23-Oct-2015 Carolyn Dwyer	<p>Cause: Limited space on the City's medieval road network to cope with the increased use of the highway by vehicles and pedestrians / cyclists within the City of London. Interventions & legal processes take time to deliver</p> <p>Event: The number of casualties occurring in the City rises instead of reducing.</p> <p>Effect: The City's reputation and credibility is adversely impacted with businesses and/or the public considering that the Corporation is not taking sufficient action to protect vulnerable road users; adverse coverage on national and local media</p>	 <p>Likelihood</p> <p>Impact</p>	16	<p>Bank Junction report combining both the long term project (Gateway3) and interim safety scheme for delivery December 2016 (Gateway2) drafted for Streets & Walkways Committee and Projects Sub Committee (Nov/December respectively). Communications Strategy commences December 2015</p> <p>17 Nov 2015</p>	 <p>Likelihood</p> <p>Impact</p>	6	21-Dec-2016	↔

Action no, Action owner	Description	Latest Note			Managed By	Latest Note Date	Due Date
CR20a	Implement a joint City of London Corporation & City of London Police Road Safety/Safer Transport Team	Awaiting final City Police numbers for colocation and confirmation of IT needs.			Steve Presland	17-Nov-2015	15-Jan-2016
CR20b	Permanent Bank Junction redesign	Same target date. Gateway 3 Report for Committees drafted and submitted			Steve Presland	17-Nov-2015	30-Nov-2018
CR20c	Working with TfL to explore and, where practicable, deliver short term design/operational improvements to Bank Junction	Gateway 2 committee report submitted to Members			Steve Presland	17-Nov-2015	21-Dec-2016

CR20d	Work with the Corporation's Public Relations Office to deliver a Road Safety Communications Strategy	Communications to commence December	Steve Presland	17-Nov-2015	30-Nov-2015
CR20e	Explore embedding vehicle and driver safety in all City of London Corporation contracts	TfL have now issued guidance on best practice for inclusion of Work related road risk into new contracts and meeting scheduled November 2015 to discuss implementation with Corporate procurement Unit	Steve Presland	17-Nov-2015	30-Apr-2016

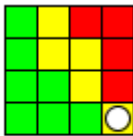
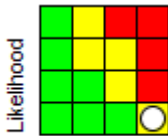
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CR21 Air Quality 07-Oct-2015 Jon Avern	<p>Cause: Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated 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.</p>	 <p>Likelihood</p>  <p>Impact</p>	16	Risk moved to Corporate Risk Register as requested by P. Dudley 28 Oct 2015	 <p>Likelihood</p>  <p>Impact</p>	6		↔

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
MCP-EH 001a	Implement the policies contained in the City of London Air Quality Strategy 2015-2020. The strategy contains 10 policy areas with 60 specific actions. An annual report will be produced demonstrating progress with each action.	The due date for this action is the end of April 2016 and each year after that – ongoing action, with progress reports produced in April each year. Actions are renewed and updated each April and reported on in subsequent years.	Jon Avern	07-Oct-2015	29-Apr-2016
MCP-EH 001b	Review and assess air quality in line with statutory obligations of the Environment Act 1995. Submit all relevant statutory reports. Approval of all reports by Defra and the GLA will demonstrate compliance with statutory obligations.	The due date for this action is the end of April 2016 and each year after that – Ongoing compliance reports submitted in April each year. These are subject to audit by both Defra and the Greater London Authority.	Jon Avern	08-Oct-2015	29-Apr-2016
MCP-EH 001c	Ensure the City Corporation becomes a Mayor of London Exemplar Borough for air quality.	To become a Cleaner Air for London Borough the authority will have to pledge (at cabinet level) to take significant action to improve local air quality and sign up for specific delivery targets. – this includes having an up-to-date air quality action plan, fully incorporated into LIP funding and core strategies.	Jon Avern	16-Nov-2015	29-Dec-2017
MCP-EH 001d	Develop and implement a robust communications strategy to ensure people have sufficient information to reduce their exposure on days of ‘high’ air pollution.	Days of ‘high’ air pollution occur on a few days throughout the year and are caused by changes in weather conditions. The City Corporation has very little influence over these high air pollution days but will notify the public when they occur so they can take any relevant action to avoid any impact on their health.	Jon Avern	16-Nov-2015	30-Jun-2016
MCP-EH 001e	Develop and implement a plan for reducing the impact of diesel vehicles on air pollution in the Square Mile. This is to complement the work being undertaken by the Mayor of London to reduce air pollution in the central zone through the implementation of the Ultra Low Emission Zone.	The development of this plan will involve following a complex process – obtaining funding, consultation with all stakeholders, integrated impact assessment, options and approval.	Jon Avern	16-Nov-2015	31-Dec-2018

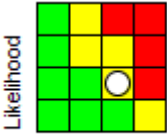
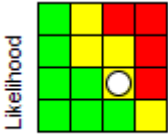
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CR09 Health and Safety Risk	<p>Cause – Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management</p> <p>Event – Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with.</p> <p>Effect – Possible enforcement action/ fine/prosecution by</p>	 <p>Likelihood</p> <p>Impact</p>	12	<p>The risk was reviewed by the SMT on 01/10/15, no change to the assessment at this time</p> <p>External accreditation of the CoL Health and Safety Management System is due to take place in November</p> <p>The Top X risk assessment approach</p>	 <p>Likelihood</p> <p>Impact</p>	8	31-Mar-2016	↔

22-Sep-2014 Chrissie Morgan	HSE, Employees/visitors/contractors may be harmed/injured, Possible civil insurance claim, Costs to the Corporation, Adverse publicity /damage to reputation, Rectification costs			is being repackage to bring the process in line with the Covalent risk management software 13 Oct 2015				
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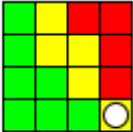
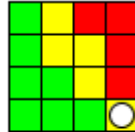
Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR09A	External verification of the CoL's safety management system	The selection process has been delayed, the delivery date is now likely to be 30-1-16	Oliver Sanandres	25-Nov-2015	30-Jan-2016
CR09B	Rolling programme of departmental compliance audits conducted by the Corporate Health and Safety Unit	Work for this financial year started April 1 2015, the next scheduled Audit is mansion House, which will commence on Dec-14. The rolling programme is on target	Oliver Sanandres	25-Nov-2015	31-Mar-2016

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CR01 Resilience Risk 20-Mar-2015 John Barradell	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	 Likelihood Impact	8	This risk was reviewed by the DMT and the assessment score is rated as unchanged. Preparations are currently underway for the major, multi-agency exercise 'Unified Response' that is planned for next year, dates to be confirmed 20 Nov 2015	 Likelihood Impact	8	31-Mar-2016	↔

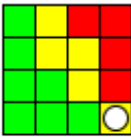
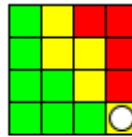
Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR01A	Full exercise (Allovus) to test the emergency and business continuity plans across the organisation. The exercise will involve the emergency services	The exercise was completed as planned	Gary Locker	24-Jun-2015	11-Jun-2015
CR01B	Prepare and complete a report for the Summit Group, based on the findings of a review of departmental business continuity planning	Produced	Gary Locker	19-Nov-2015	30-Nov-2015
CR01C	Large scale multi-agency exercise which will test the CoL's Borough Emergency Co-ordination Centre (BECC)	Work has started on arrangements for this large scale exercise	Gary Locker	08-Oct-2015	01-Jun-2016

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CR02 Loss of Business Support for the City 22-Sep-2014 John Barradell	<p>Cause – The City Corporation's actions to promote and support the competitiveness of the business City do not succeed.</p> <p>Event – The City's position as the world leader in international financial services is adversely affected</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.</p>	 <p>Likelihood</p> <p>Impact</p>	8	<p>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.</p> <p>08 Oct 2015</p>	 <p>Likelihood</p> <p>Impact</p>	8	31-Mar-2016	↔

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR02A	Appointment of former Foreign Office Minister, Jeremy Browne, to new position to enhance our engagement with EU policy makers.	Jeremy Browne is now appointed to this role	Giles French	08-Oct-2015	01-Sep-2015
CR02B	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.	This action is now complete	Giles French	08-Oct-2015	01-Sep-2015

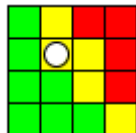
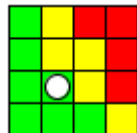
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CR10 Adverse Political Developments 22-Sep-2014 Paul Double	<p>Cause: Financial services issues that make the City Corporation vulnerable to political criticism; local government devolution proposals that call into question the justification for the separate administration of the Square Mile.</p> <p>Event: Functions of City Corporation and boundaries of the City adversely affected.</p> <p>Impact: The future of the City of London Corporation as an independent body could be undermined.</p>	<p>Likelihood</p>  <p>Impact</p>	8	<p>There has been close engagement with those responsible for formulating proposals to enable the devolution of responsibilities while safeguarding the City. The developing domestic political situation is being given close consideration. 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 London and the nation.</p> <p>07 Oct 2015</p>	<p>Likelihood</p>  <p>Impact</p>	8		↔

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR10a	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.	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.	Paul Double	25-Nov-2015	31-Mar-2016

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CR17 Safeguarding 22-Sep-2014 Ade Adetosoye	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's safeguarding policy. Social workers and other staff not taking appropriate action if notified of a safeguarding issue 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	 Likelihood Impact	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. The target risk rating has been re-evaluated by the People Division Management Team which has resulted in a reduced rating, 25 Nov 2015	 Likelihood Impact	8	31-Mar-2016	↔

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR17b	Develop safeguarding e-learning modules and enable staff to access advice and assistance	The majority of staff have undertaken the e-learning modules. Outstanding training will be completed by end of December to include new staff who have joined the Department. This training has been added to the list of Mandatory training for DCCS staff	Chris Pelham	25-Nov-2015	31-Dec-2015
CR17c	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.	Completed – All sessions have now been delivered to staff.	Chris Pelham	20-Aug-2015	31-Jul-2015
CR17d	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.	Completed – the briefing session took place on 6 July 2015. Partners welcomed the event and feedback was positive.	Chris Pelham	20-Aug-2015	30-Sep-2015
CR17e	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.	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.	Chris Pelham	20-Aug-2015	10-Jul-2015
CR17f	A review of the City of London Safeguarding Policy will be undertaken with the involvement of the Departmental Safeguarding Champions	Target date for completion 31 December 2015	Chris Pelham	25-Nov-2015	31-Dec-2015
CR17g	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 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.	An update on the Corporate Safeguarding Policy was presented to the Safeguarding sub-committee on 25 September 2015. New guidance on the Thresholds of Need has been promoted and issued to staff and partners, Training sessions for DCCS staff are on-going.	Chris Pelham	25-Nov-2015	31-Mar-2016

CR17h	Evaluation of Notice the Signs – awareness raising campaign	Completed. An evaluation of the Notice the Signs campaign was presented to the City of London Safeguarding sub-committee of the Community and Children's Services Committee stating the campaign's impact has been significant and resulted in increased numbers of safeguarding alerts	Chris Pelham	25-Nov-2015	31-Oct-2015
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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
CR14 Funding Reduction	<p>Cause: Reduced funding from Central Government.</p> <p>Event: Reduced funding available to the City Corporation including Police Services.</p> <p>Effect: City Corporation will be unable to maintain a balanced budget and healthy reserves in City Fund, significantly impacting on service delivery levels.</p>	 <p>Likelihood</p> <p>Impact</p>	6	<p>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.</p> <p>There are risks around the implementation of the saving proposals and the achievement of savings will be monitored by the Efficiency and Performance 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.</p> <p>Further significant cuts are likely to</p>	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2018	↔

22-Jun-2015 Peter Kane				<p>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.</p> <p>16 Nov 2015</p>				
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Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR14a	Scrutiny of the achievement of savings by the Officer SBR Steering Group and Efficiency and Performance Sub-Committee.	Second SBR Monitoring report to be provided to 15 September ESPC. Quarterly cycle of reporting agreed for remainder of 2015/16.	Caroline Al-Beyerty	16 Nov 2015	31-Mar-2016
CR14b	SBR implementation continues with cross departmental work streams to identify further efficiencies in strategic asset management, income generation, and reviews of grants and hospitality.	Progress is monitored by EPSC in full. Grants review is complete, now moving to implement recommendations made. Corporate Finance is liaising closely with Police finance team.	Caroline Al-Beyerty	16 Nov 2015	31-Mar-2016
CR14f	Robust monitoring of delivery of savings proposals – undertaken by Head of Finance, Projects.	Second round of monitoring complete, third round to commence October 2015.	Paul Nagle	16 Nov 2015	31-Mar-2016

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
CR16 Information Security 22-Sep-2014 Graham Bell	Cause: Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information. 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.	 Likelihood Impact	4	Staff across the Corporation have been through data protection training during 2015. Draft policies and guidance will be published on the intranet in early October for consultation and final sign off by 31 December 2015. Additionally a Cyber Security & Risk Management development workshop for Members is planned for February 2016. However, further work is required to strengthen data retention and ownership procedures in line with Data Protection requirements 30 Nov 2015	 Likelihood Impact	2	28-Feb-2016	↔

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR16a	Review and refresh existing policy around cybersecurity and technology infrastructure risk in partnership with Agilisys.	Consultation in October with final sign off by 31 December 2015.	Christine Brown	16 Nov 2015	31-Dec-2015
CR16b	Review and strengthen Data Retention, Management and Ownership.	Recent staff training builds a foundation, now specific actions and information owners need to be defined.	Christine Brown	30-Nov-2015	31-Dec-2016