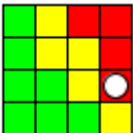
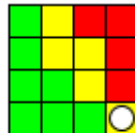



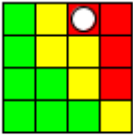

Report Author: Paul Dudley
Generated on: 26 May 2016

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Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS PE 002a Tripartite meetings	Tripartite meetings take place between the Sir John Cass Foundation, Sir John Cass Foundation School Board of Governors and the City of London has taken place but no further meetings have been scheduled.	Tripartite meeting have reconvened and the first meeting will take place on 19 April 2016	Chris Pelham	23-May-2016	19-Apr-2017
DCCS PE 002b Discussions with Comptroller and City Solicitor and others regarding the expansion	Efforts to engage with parties to the negotiation continue	Although agreement has now been reached to operate a bulge class in September 2016, the City Corporation is still seeking a permanent expansion to a 2 form entry. The risk remains at RED as negotiations are continuing and the target date for the resolution to this risk has been amended to September 2017. City Corporation representatives will be attending the Sir John Cass's Foundation Board meeting on 8 June to discuss this issue further. The risk rating will be reviewed in the light of the outcome of the meeting.	Chris Pelham	23-May-2016	31-Aug-2016

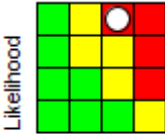
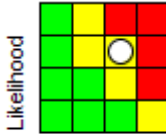

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DBE-TP-01 Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business 13-Mar-2015 Steve Presland	Cause: A member of staff/contractor who is unfit or unqualified to drive causes ... Event: a road traffic collision which results in ... Impact: death or injury; financial claim	 Likelihood	16	The roadshows are underway and should be completed by the end of May. Despite this slight slippage we are still on target to achieve the implementation of the Corporate Transport Policy by the end of June. 29 Apr 2016	 Likelihood	8	01-Sep-2016	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-01a Approve Corporate Transport Policy	Approve Corporate Transport Policy [NB this depends on HR and Chief Officers]	ACTION COMPLETED 16 Jul 15	Oliver Sanandres	29-Apr-2016	31-Aug-2015
DBE-TP-01b Implement Corporate Transport Policy	Implement Corporate Transport Policy (including establishing monitoring regimen)	The roadshows are underway and should be completed by the end of May. Despite this slight slippage we are still on target to achieve the implementation of the Corporate Transport Policy by the end of June.	Steve Presland	29-Apr-2016	30-Jun-2016
DBE-TP-01c Driver safeguards in future City contracts	Work with the Corporate Procurement Service to embed driver safeguards in future City contracts	Following comments from CLPS we will be reporting to Committee in the summer regarding potential impact on contract costs.	Steve Presland	29-Apr-2016	31-Dec-2016

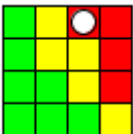


Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DCCS HS 002 Failure to carry out and review effective Fire Risk Assessments for more than 5000 units of residential accommodation and a number of commercial units 14-Jan-2016	Cause Fire Risk Assessments for managed properties not carried out effectively Event Fires do occur from time to time. Effective Assessments reduce the risk and identify if any changes to procedures or maintenance regimes that need to be reviewed or introduced Effect Fires can lead to significant property damage and potential loss of life	 Likelihood	16 Impact	Consultants to undertake the Fire Risk Assessments have been appointed subject to procurement checks. It is anticipated that a work plan will be agreed by the end of April 2016. The assessments will be quality assured by the Corporate Fire Safety Advisor. Action identified as a result of the assessments will be tracked and monitored 18 Apr 2016	 Likelihood	8 Impact	31-Mar-2017	↔ No change

Paul Murtagh							
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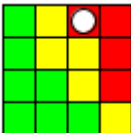
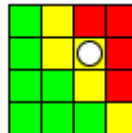
Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS HS 002a Consultant to carry out new fire risk assessments to all managed properties.	Consultants will be employed to carry out risk assessments to all residential and commercial properties managed by the Department. To be appointed and schedule of works to be agreed by end of March 2016	Consultants to undertake the Fire Risk Assessments have been appointed subject to procurement checks. It is anticipated that a work plan will be agreed by the end of April 2016. The assessments will be quality assured by the Corporate Fire Safety Advisor. Actions identified as a result of the assessments will be tracked and monitored.	Paul Murtagh	19-Apr-2016	30-Apr-2016
DCCS HS 002b Training to be provided to Housing staff to carry out and review effective fire risk assessments	Training provider for Fire Risk Assessments to be identified. Appropriate staff will be nominated to attend.	Training to be provided to staff. This will be carried out by a training provider yet to be identified.	David Padfield	22-Jan-2016	31-Dec-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
DCCS HS 003 Lone Working 14-Jan-2016 Sharon McLaughlin	Cause Staff working on their own in isolated locations or visiting residents or clients homes Event Staff suffer verbal abuse, physical attack or are an accident victim Effect Harm or serious injury to staff	 Likelihood Impact	16	Development and implementation of a DCCS Lone Working Policy has commenced. 21 Apr 2016	 Likelihood Impact	12	31-Mar-2017	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS HS 003a Sky Guard Review	A review of the current Lone worker protection device is in progress. Some staff report connectivity problems. At the finish of the review a decision will be taken to continue or to investigate a different solution	It is likely that an APP will replace the sky guard system and this is being assessed at the moment. Presentations to staff on the APP will take place by the end of April. If the APP proposal is agreed by the Departmental Leadership Team it may be implemented by the end of July 2016	Paul Murtagh	18-Apr-2016	31-Jul-2016
DCCS HS 003b Lone Working Procedures	Not all staff are working in compliance with the departmental lone working procedures. These will be reviewed to check why they are not being implemented by all staff and reviewed if appropriate. Compliance with new procedures will be monitored by managers and the quarterly Health and Safety Committee. It is anticipated that monitoring information will be available from Skyguard or the replacement system.	Development and implementation of a DCCS Lone Working Policy has commenced	Paul Murtagh	21-Apr-2016	30-Sep-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
DCCS PE 004 Pupil funding - introduction of new formulae may reduce levels of funding from 2017/18 22-Mar-2016 NEW RISK	Cause: Change in government policy Effect: Introduction of new national pupil funding formulae may lead to up to 50% reduction in pupil funding for Sir John Cass Foundation Primary School Event: Potential financial viability issues for the school	 Likelihood	16	The response to the Government on the new pupil funding formulae has been drafted 18 Apr 2016	 Likelihood	8	31-Mar-2017	 No change

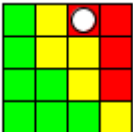


Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS PE 004a Brief Members of the Committee and Sir John Cass Foundation	Members of the Community and Children's Services Committee and the Sir John Cass Foundation will be briefed on the possible impact of the new funding formulae and the proposed response to the consultation by end of March 2016	The City of London response to the new national funding formulae has been drafted. Members of the Community and Children's Services Committee and the Sir John Cass Foundation will be briefed on the possible impact by the end of April 2016	Chris Pelham	21-Apr-2016	30-Apr-2016
DCCS PE 004b Financial Modelling Exercise	A Financial Modelling Exercise will be undertaken regarding Sir John Cass finances.	A financial modelling exercise will be undertaken into Sir John Cass finances. It is anticipated that this will be completed by 31 July 2016 and will provide a framework to plan mitigation in respect of the possible reduction in funding	Chris Pelham	21-Apr-2016	31-Jul-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
GSMD EFI 001 Failure to Secure Lease Renewal of Sundial Court in 2020	<p>Cause: Sundial Court, (the School's student accommodation), is owned by a private landlord, who currently leases the building to the School. Lease expires in 2020.</p> <p>Event: Landlord may not want to renew the lease to the School as there may be better development potential elsewhere. Alternative specialist music student accommodation might not be found.</p> <p>Impact: Loss of on-campus student accommodation for 177 students. Loss of student services and offices. Loss of student union facility and rehearsal room. Risk of reduced interest in students choosing GSMD if there is no onsite accommodation available.</p>	<p>Likelihood</p>  <p>Impact</p>	16	<p>On 9 May 2016 at the GSMD Board of Governors it was resolved that Governors:-</p> <ul style="list-style-type: none"> . note the risk to the School's current accommodation provision presented by the lease expiry at Sundial Court; . instruct the City Surveyor to prepare a summary of options relating to Sundial Court for the Board's consideration following an early discussion with the landlord to understand their position, explore renewal of the lease and update the Board at its next meeting; . endorse the recommended approach that the Principal, working together with the City Surveyor and Chamberlain, produce an accommodation strategy exploring the medium-long term accommodation 	<p>Likelihood</p>  <p>Impact</p>	12	05-Apr-2017	↔

09-Jul-2015 Michael Dick				<p>needs of the School for the Board's September meeting; and endorse that the strategy contain a series of recommendations for the Board regarding its accommodation needs.</p> <p>The City Surveyor is currently in negotiations with the landlord on lease renewal options.</p> <p>25 May 2016</p>				No change
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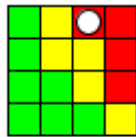
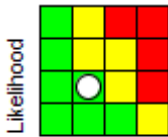
Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
GSMD EFI 001a Dilapidations Survey	Commissioning of specialist dilapidations survey	In progress.	Michael Dick	25-May-2016	31-Aug-2016
GSMD EFI 001b Accommodation Alternative	Search for availability of alternative student accommodation	Active and in progress.	Michael Dick	25-May-2016	09-Jul-2016
GSMD EFI 001c City Surveyor Liaison	Engagement with City Surveyor on action plan	Ongoing.	Michael Dick	25-May-2016	31-Jul-2016

GSMD EFI 001d Student Accommodation Strategy	Develop longterm student accommodation strategy	Draft has been completed for review by stakeholders.	Michael Dick	25-May-2016	09-Jul-2016
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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
OSD 005 Animal, Plant and Tree Diseases 10-Mar-2015 Sue Ireland	Causes: Inadequate biosecurity; purchase or transfer of infected trees, plants, soil and/or animals; 'natural' spread of pests and diseases from neighbouring areas. Event: Sites become infected by animal, plant or tree diseases e.g. Oak Processionary Moth (OPM), foot and mouth, Massaria, Ash Die Back, <i>Salmonella</i> (DT 191a), Leaf Miner Moth Impact: Service capability disrupted, public access to sites restricted, animal culls, tree decline, reputational damage, increased cost of monitoring and control of invasive species, risk to human health from OPM or other invasives, loss of key native species, threat to existing conservation status of sites particularly those with woodland habitats. invasives	 Likelihood	16	This remains a serious risk due to the ongoing spread of OPM and other diseases, although impact on sites is being actively managed by staff within the department. 20 May 2016	 Likelihood	6	01-Apr-2017	 No change

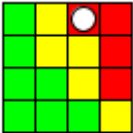
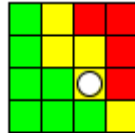
Action no, Title,	Description	Latest Note		Managed By	Latest Note Date	Due Date
OSD5 a Monitoring Programmes	Lackey/Brown Tail/Oak Processionary/Gypsy Moth monitoring programmes in place. Pilot treatments of Horse Chestnut infected with Leaf Miner Moth at EF.	Actions ongoing.		Andy Barnard; Gary Burks; Martin Rodman; Paul Thomson; Bob Warnock	20-Jan-2016	01-Apr-2017
OSD5 b Treatment of any OPM sites	Treatment will be depend on lifestyle of the OPM but to be undertaken as early as possible. Pheromone traps in place for OPM.	Ongoing reactive action.		Andy Barnard; Gary Burks; Martin Rodman; Paul Thomson; Bob	14-Mar-2016	01-Apr-2017

			Warnock		
OSD5 c Cattle biosecurity	Movement of cattle to be controlled to reduce risk of disease	protocols still in place	Andy Barnard; Paul Thomson	20-Jan-2016	31-Mar-2017
OSD5 d Plant and tree procurement	Sourcing to be controlled to minimise spread of disease	Hampstead Heath have engaged with Ponds Project contractors about controls required for trees and plants brought to site	Andy Barnard; Gary Burks; Martin Rodman; Paul Thomson; Bob Warnock	20-Jan-2016	31-Mar-2017
OSD5 e Engagement with leading partners	Active involvement with leading partners such as Forestry Commission and Natural England. Membership of relevant forums to keep knowledge updated	Ongoing liaison with partners, attendance at meetings etc. Oak Processionary moth report presented to Open Spaces and Management committees in April, May and June	Andy Barnard; Martin Rodman; Paul Thomson; Bob Warnock	19-Apr-2016	31-Mar-2017
OSD5 f Relevant training	Staff trained and have specialist subject knowledge. Biosecurity measures are in place across the Division for staff, volunteers and contractors	Training needs identified through PDR process where there has been changes to staffing	Andy Barnard; Gary Burks; Martin Rodman; Paul Thomson; Bob Warnock	19-Apr-2016	31-Mar-2017

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
SUR SMT 005 Recruitment and retention of property professionals	Cause: A strong property and construction market Event: Increasingly attractive remuneration packages offered elsewhere Impact: Increased vacancies, objectives unachieved or delivered late, reduced customer satisfaction	 Likelihood Impact	16	<p>This risk details the impact of a strong property and construction market driving increasingly attractive remuneration packages which has resulted in increased vacancies, objectives unachieved or delivered late, reduced customer satisfaction.</p> <p>The department is developing strategies specific to the department that have a particular focus on talent management, reward and retention. There is also a focus on identifying projects or work where value can be</p>	 Likelihood Impact	4	30-Jun-2016	↔

17-Mar-2015 Peter Bennett				<p>added by outsourcing. However, basic pay is now well below market levels, meaning we are only able to recruit less experienced professionals.</p> <p>Mitigation actions include encouraging CoL to adapt and change the approach to Reward and Earnings Package. Career grades are not currently being progressed but research is being conducted and a report is being prepared for Establishment Committee. Town Clerk's Department are also reviewing remuneration packages.</p> <p>Market forces are now being considered on a case by case basis.</p> <p>13 Apr 2016</p>				No change
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Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
SUR SMT 005a Adopt and Change Approach	Encourage CoL to adapt and change the approach to Reward and Earnings Package	<p>On-going. Career grades are not currently being progressed. However research is being conducted and report is being prepared for Establishment Committee. Town Clerk's Department are also reviewing remuneration packages</p> <p>. Market forces being considered. Case by case basis. Liaising with HR.</p>	Peter Bennett	04-Mar-2016	30-Apr-2017
SUR SMT 005b Develop Workforce Plan	Establish strategies specific to the department that have a particular focus on talent management, reward and retention	Management team meetings are underway with HR. HR are identifying people and teams that would face loss and a range of strategies to be put into place to limit the effect. Focusing on the need to recruit and retain.	Peter Bennett	26-May-2016	30-Jun-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
SUR SMT 009 Failure of implementation and management of the Oracle Property Management System	<p>Cause: Implementation and subsequent management of Oracle Property module to meet business needs</p> <p>Event: Inappropriate technological solution or unsuccessful project management or failure to implement an appropriate management framework</p> <p>Impact: Unable to manage property portfolio / loss of income and poor property maintenance</p>	<p>Likelihood</p>  <p>Impact</p>	16	<p>This risk continues to be progressed, however there five issues that are being finalised. At the request of CASC (11 March 2016) the department has provided target dates and a progress report for each of these five outstanding issues.</p> <p>i. Data Validation (Archibus interface with Oracle) Target date is September 2016. The Oracle interface with Archibus has been completed and is operational. There remains work needed to the data which requires restructuring and cleansing. This is a six month project being led by the Corporate Property Group Director. Status is GREEN.</p> <p>ii. Service Charge Module Target was 29th April 2016. PwC attended site to work on the remaining Caps issue (31st Mar / 6th April) as planned. Business retesting took longer than expected due to year end. However the Service Charge Caps issue has been fixed and signed off ready for production. This is working for investment properties but Markets are having to restructure their data. Status is RED.</p> <p>iii. Argus Interface This is a deliverable of the internal development team. Based on current priorities and commitments closure is expected in June 2016. Argus</p>	<p>Likelihood</p>  <p>Impact</p>	8	30-Jun-2016	↔

03-Mar-2015 Nicholas Gill				<p>interface with Oracle functions correctly but the converse is a problem. Status is RED.</p> <p>iv. Archibus Interface Delivery completed and closed March 2016. Further enhancements and changes will be allocated to the internal development team once the Archibus data validation exercise above is completed or priority dictates. Status is GREEN.</p> <p>v. OPN Reports Target date was 29th April 2016. Thirteen reports have been impacted by service charge 'dummy lease' for vacant units work-around, most notably Tenant Debt and Vacancy reports. All this is now the subject of a separate review and any outcomes will be subject to testing which is likely to move the target date to end of July. Status is RED.</p> <p>26 May 2016</p>				No change
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Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
SUR SMT 009a Monitor Staff Resources	Monitor staff resources to manage business as usual tasks and project	On-going. Following resignation of key post (Senior Principal Surveyor) resources have been managed to ensure key implementation tasks are successfully completed	Nicholas Gill	26-May-2016	30-Mar-2017

SUR SMT 009b Replace core Manhattan functions	Replace core Manhattan functions of rent, leases management and service charge recovery	COMPLETE. Rent, lease management and service charge recover are being managed within Oracle Property Management System.	Nicholas Gill	27-Jan-2016	30-Nov-2015
SUR SMT 009c Ensure efficient use and future management of system -	Ensure efficient use and future management of system- implement Asset Management Information System Ensure Data Loader is able to update projects	Business as usual model, still to be addressed.	Nicholas Gill	26-May-2016	30-Sep-2016