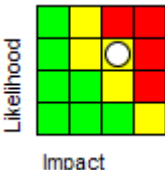
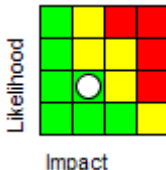



# DBE Corporate & Departmental Risks *(Planning & Transportation Committee)*

# APPENDIX 2

Report Author: Richard Steele

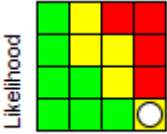
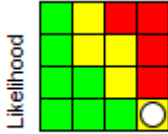

Generated on: 04 December 2018

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-PL-06 S106 Controls  30-Nov-2018 Annie Hampson	<b>Cause:</b> Disjointed control mechanisms in relation to processing and monitoring S106 agreements. <b>Event:</b> Failure to implement Audit recommendations. <b>Effect:</b> Loss of funds; non-compliance with agreements and reporting; potential reputational damage		12	Risk created in response to Internal Audit report which is expected to be issued in December. Work has commenced to address the recommendations in the report. <b>30 Nov 2018</b>		4	28-Feb-2019	  Constant

Action no, Title,	Description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-PL-06a Response to draft report	The group responsible for S106 has met and commented on the draft report. A formal response will be sent to Internal Audit.	The group responsible for S106 has met and commented on the draft report. A formal response will be sent to Internal Audit by 7 Dec 18.	Annie Hampson	30-Nov-2018	07-Dec-2018
DBE-PL-06b Ensure sufficient resources are available	There are insufficient resources to address the recommendations within the next three months. Additional resources will be sought.	The Director responsible for S106 is preparing a case to request a short term (probably 6 months) post. This will require Chief Officer approval.	Annie Hampson	30-Nov-2018	21-Dec-2018
DBE-PL-07a Interaction with software supplier & Chamberlain's Finance	There is a need to (a) import data from CBIS into Exacom to ensure that it contains up to date expenditure and allocation information; and (b) prepare the necessary budget reports from Exacom.	An initial request to both Exacom and Chamberlain's Finance has been made.	Annie Hampson	30-Nov-2018	28-Feb-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
<b>DBE-PP-01</b> <b>Adverse planning policy context</b>           06-Mar-2015 Paul Beckett	Cause: A desire in Government and others to change the existing planning system in a way which may be detrimental to the City Event: Changes detrimental to the City are implemented Impact: Adverse changes cannot be prevented using local planning control	 Likelihood  Impact	<b>12</b>	<p>Whilst this risk (at 12) is above appetite (8) to reduce the risk to appetite would require increased engagement by the City Corporation’s Senior Members with Government, Opposition and the GLA to ensure that national and strategic policy is always appropriate for the City.</p> <p>Continuing to monitor draft regulations to ensure they reflect or adapted to accord with City Corporation priorities.</p> <p>The City Corporation will make its case on outstanding matters in the Draft London Plan at the Examination in Public in Jan-May 2019.</p> <p>A final version NPPF published in July 2018 did not address all the City's concerns. The increased risk to the City resulting from the introduction of a new Housing Delivery Test is the subject of a report to the Planning &amp; Transportation Committee in December 2018.</p> <b>27 Nov 2018</b>	 Likelihood  Impact	<b>12</b>	31-Dec-2018	         Constant

Action no, Title,	Description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-PP-01a Business as usual mitigating controls	(1) Ongoing monitoring of government regulations; (2) continue monitor progress of, and seek to influence, forthcoming legislation	<p>Whilst this risk (at 12) is above appetite (8) to reduce the risk to appetite would require increased engagement by the City Corporation's Senior Members with Government, Opposition and the GLA to ensure that national and strategic policy is always appropriate for the City.</p> <p>Continuing to monitor draft regulations to ensure they reflect or adapted to accord with City Corporation priorities.</p> <p>The City Corporation will make its case on outstanding matters in the Draft London Plan at the Examination in Public in Jan-May 2019.</p> <p>A final version NPPF published in July 2018 did not address all the City's concerns. The increased risk to the City resulting from the introduction of a new Housing Delivery Test is the subject of a report to the Planning &amp; Transportation Committee in December 2018.</p>	Paul Beckett	27-Nov- 2018	31-Dec- 2018

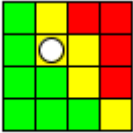
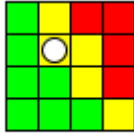

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>DBE-02 Service/Pipe Subways</b> 02-Dec-2015 Ian Hughes; Giles Radford	Cause: Provide safe access and egress for utilities and maintenance functions, whilst having operatives entering the confined space to undertake checks.  Event: A lack of Oxygen, poisonous gases, fumes and vapour, liquids and solids that suddenly fill spaces, Fire and explosions, hot conditions, Entrapment and falling debris.  Impact: Fatality / Major Injury / Illnesses	 Likelihood	8	No further update  <b>30 Nov 2018</b>	 Likelihood	8	31-Dec-2018	 Constant

Action no, Title,	Description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-02a Business As Usual Mitigations	<p>Confined space working is avoided when possible.</p> <p>All PPE and other equipment required for a SSOW shall be suitable and sufficient for the tasks identified. The following PPE and equipment shall be provided, as stated in the approved code of practice</p> <p>All openings are controlled through a central booking system. A subway must not be entered if permission to do so has been refused.</p> <p>No booking will be granted to parties who are not on the database. If the contractor is not on the database they must seek approval from CoL regarding their works. Once confirmed, the contractors will be added to the system before agreeing access.</p> <p>All works and operatives entering the pipe subway must comply with the code of practice for access and safe working in local authority subways.</p> <p>Regular inspections of the structure, covers, condition and</p>	All business as usual mitigations have been reviewed, they are very much current and continue to work effectively.	Giles Radford	30-Nov-2018	31-Dec-2018

	<p>asbestos surveys are undertaken.</p> <p>The Permit to enter form must be completed and contractors checked to ensure they have suitable and sufficient equipment to enter a confined space.</p> <p>No smoking is allowed at any time.</p>				
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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
<b>DBE-DS-01</b> <b>The Division becomes too small to be viable</b>  25-Mar-2015 Gordon Roy	Cause: Reduced Income causes the service to be unviable Event: Development market fails to maintain momentum or our market share shrinks Impact: Reduced staffing levels do not provide adequate breadth of knowledge and experience	 Likelihood Impact	8	Following delays in the procurement process, we have now appointed a consultant to prepare a business plan to establish a Local Authority Trading Company, for submission to Planning and Transportation Committee, before the end of the financial year.  <b>26 Nov 2018</b>	 Likelihood Impact	8	31-Dec-2018	  Constant

Action no, Title,	Description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-DS-01a Business as usual mitigating controls	(1) Continue to provide excellent services [evidenced by customer survey]; (2) Maintain client links with key stakeholders; (3) Continue to explore new income opportunities; (4) Continue to undertake cross-boundary working.	Business as usual controls have been reviewed and are still appropriate and effective.	Gordon Roy	26-Nov-2018	31-Dec-2018
DBE-DS-01c Business Plan development	Following approval of Summit Group, a Business Plan is being developed and to be presented to members for consideration later this year.	Following delays in the procurement process, we have now appointed a consultant to prepare a business plan to establish a Local Authority Trading Company, for submission to Planning and Transportation Committee, before the end of the financial year	Gordon Roy	26-Nov-2018	31-Mar-2019

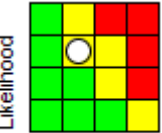
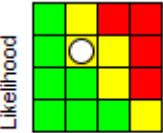
Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<p><b>CR20 Road Safety</b></p> <p>23-Oct-2015 Carolyn Dwyer</p>	<p><b>Cause:</b> Limited 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 &amp; legal processes take time to deliver</p> <p><b>Event:</b> The number of casualties occurring in the City rises instead of reducing.</p> <p><b>Effect:</b> 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>	<p>6</p>	<p>The draft City Transport Strategy was approved for consultation by the Planning and Transport Committee in October 2018.</p> <p>The Road Danger Reduction and Active Travel (RDR) Plan was approved for implementation by the Planning and Transportation Committee on 20 November 2018.</p> <p>The Be Brake Ready campaign trialled a range of interventions over the course of 2017/18. The follow up survey has been deferred to Spring 2019 to avoid distracting from other consultations taking place, such as the Transport Strategy and the Local Plan.</p> <p>The RDR Plan proposes a number of behaviour change, enforcement, engagement and engineering initiatives that support safer travel by active modes (walking and cycling). It aims to enable the City to meet the Vision Zero objectives outlined in the Mayor's Transport Strategy, whereby the annual number of people killed or seriously injured (KSI) in traffic incidents is zero by 2041.</p> <p><b>06 Dec 2018</b></p>	<p>Likelihood</p>  <p>Impact</p>	<p>6</p>	<p>31-Dec-2018</p>	<p></p> <p>Constant</p>

Action no, Title,	Description	Latest Note	Action owner	Latest Note Date	Due Date
CR20f Development of the Road Danger Reduction & Active Travel Strategy	In accordance with the agreed workplan the Road Danger Reduction & Active Travel Strategy is being prepared. Indicative milestones (1) draft to Planning & Transportation Committee in early 2018; (2) Public Consultation in Q2 of 2018; & (3) revised strategy to be presented to Planning & Transportation committee with recommendation for adoption Summer 2018.	The Road Danger Reduction and Active Travel Plan was approved for implementation by the Planning and Transportation Committee on 20 November 2018.  [This is completed and will not be reported in future]	Zahur Khan	30-Nov-2018	01-Oct-2018
CR20g Pilot Behaviour Change Campaign	Behaviour Change Campaign to address 'inattention'. The process will be (1) use focus groups to identify options; (2) conduct attitudinal survey of road users; (3) prepare campaign delivery plan; (4) deliver campaign; (5) evaluate and report to Q4 2018/19.	The Be Brake Ready campaign trialled a range of interventions over the course of 2017/18. The Queen Street camera study showed that a combination of signage and event marshals, succeeded in slowing down the average speed of cyclists by just over 1 mph. A road user attitudinal survey to monitor changing attitudes to road danger, was taken in October 2017 to set a baseline but the follow up survey has been deferred to Spring 2019 to avoid distracting from other consultations taking place, such as the Transport Strategy and the Local Plan.	Zahur Khan	03-Dec-2018	31-Mar-2019
CR20k Implement the Road Danger Reduction and Active Travel plan	The Road Danger Reduction and Active Travel plan 2018 – 2023 (RDR Plan) aims to meet the Vision Zero objectives outlined in the Mayor's Transport Strategy, whereby the annual number of people killed or seriously injured (KSI) in traffic incidents is zero by 2041.  To meet this challenging target the plan proposes a number of behaviour change, enforcement, engagement and engineering initiatives that support safer travel by active modes (walking and cycling), whilst reducing road risks at source.	The draft City Transport Strategy is currently being consulted upon. Amongst the various initiatives, this proposes policies to: - reduce the volume of traffic and congestion. - reduce the speed limit to 15mph - introduce timed deliveries outside main peak congestion periods  These will assist the City in reducing the risk of conflict between users of the highway and reduce accident related casualties.  The City also continues to lobby TfL to take positive action to reduce highway conflicts and road accidents on their network, within the City of London boundaries.	Zahur Khan	06-Dec-2018	31-Dec-2023



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
<b>DBE-PL-02</b> <b>Not being alive to the needs/requirements of the world business centre and the political environment</b>  23-Mar-2015 Annie Hampson	Cause: Staff are badly briefed in relation to the planning development needs of the City as a world business centre  Event: Perception that we are not responsive to the planning development needs of the City as a world business centre  Impact: The City's reputation suffers and we fail to deliver buildings that meet the needs of the City as a world business centre	 Likelihood  Impact	6	The risk has been reviewed and is assessed as unchanged, there continues to be uncertainty regarding the wider economic situation and in particular Brexit.  An additional control, to work closely with the development industry, the City Property Association and hold regular meetings with City agents, has been added.  <b>30 Nov 2018</b>	 Likelihood  Impact	6	31-Dec-2018	  Constant

Action no, Title,	Description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-PL-02a Business as usual mitigating controls	(1) Continue to work closely with other parts of the department; the City Property Advisory Team; other City of London Departments; & the Greater London Authority. (2) To work closely with the development industry, the City Property Association and hold regular meetings with City agents. (3) Participation at MIPIM.	The Business As Usual controls have been reviewed and an additional control added to work closely with the development industry, the City Property Association and hold regular meetings with City agents.  These controls, which have been implemented, are appropriate and effective.	Annie Hampson	28-Nov-2018	31-Dec-2018

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
<p><b>DBE-TP-03</b> <b>Major Projects and key programmes not delivered as TfL funding not received</b></p> <p>27-Mar-2015 Bruce McVean</p>	<p>Cause: City of London fail to bid at the appropriate time or City of London lose credibility with TfL or Reduced funding from TfL Event: TfL funding for Local Investment Plan ceased or significantly reduced Impact: Unable to deliver highway investment &amp; improvement programmes</p>	 <p>Likelihood</p> <p>Impact</p>	<p><b>6</b></p>	<p>The risk has been reviewed and the likelihood has increased from Unlikely (2) to Possible (3) but at the same time, because of changes to the way major projects are funded and prioritised the impact has reduced from Major (4) to Serious (2). As a result, the overall risk score has reduced from 8 to 6.</p> <p>The target risk has also been reviewed to reflect TfL's current financial pressures, and corporate risk appetite. As a result, the target has moved from a risk score of 4 to 6.</p> <p>The 2019/20 LIP programme was approved by Planning &amp; Transportation Committee in Nov 18 and has been submitted to TfL, we have also submitted a Liveable Neighbourhoods bid and we await responses from TfL.</p> <p><b>03 Dec 2018</b></p>	 <p>Likelihood</p> <p>Impact</p>	<p><b>6</b></p>	<p>30-Apr-2019</p>	<p>↓</p> <p>Decreasing</p>

Action no, Title,	Description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-TP-03a Annual Spending Submission	Send Annual Spending Submission to TfL	The 2019/20 programme was approved by Planning & Transportation Committee in Nov 18 and has been submitted to TfL.  We are awaiting sign-off by TfL.  The due date for this action has been updated for next year.	Bruce McVean	03-Dec-2018	30-Sep-2019
DBE-TP-03b TfL meetings	Conduct quarterly meetings with TfL-	Meetings continue to be held quarterly. The next meeting will be hosted by the City of London in December 2018.	Bruce McVean	03-Dec-2018	31-Mar-2019
DBE-TP-03c TfL Bid Process	Submit bid(s) in line with TfL timetable (e.g. Liveable Neighbourhoods)	The 2019/20 Liveable Neighbourhoods bid has been submitted to TfL.  We are awaiting the response by TfL.  The due date for this action has been updated for next year.	Bruce McVean	03-Dec-2018	30-Nov-2019