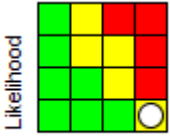
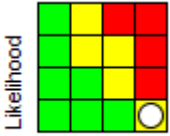



# DBE Corporate & Departmental Risks *(Port Health & Environmental Services Committee)*

# APPENDIX 2

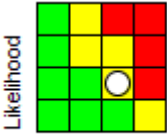
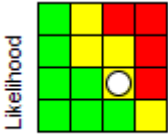

Report Author: Richard Steele

Generated on: 20 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
<b>DBE-TP-01 Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business</b>  13-Mar-2015 Vince Dignam	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	8  Impact	96.7% of City of London staff have completed Driver Check and over 98.0% of staff who have been identified, through Driver Check, as drivers (or managers of drivers) have completed the Corporate Transport Policy online training course. The overall compliance is now over 95.1%.  The BAU (business as usual) target for overall compliance remains at 92.5%.  The improvement in overall compliance compared with September (when it was below the target at 91.2%) is very positive. This indicates that the work by the Transport Technical Support Officer is effective in improving compliance and it is hoped that the BAU compliance target will continue to be exceeded.  <b>20 Dec 2018</b>	 Likelihood	8  Impact	31-Dec-2019	  Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-TP-01c Business As	Monitor the percentage of City of London staff who have completed Driver Check and ensure that it	96.7% of City of London staff have completed Driver Check and over 98.0% of staff who have been identified, through Driver Check, as drivers (or managers of drivers) have completed the	Jim Graham	20-Dec-2018	31-Dec-2019

Usual Mitigation	<p>remains above 92.5%</p> <p>Monitor the percentage of City of London staff who have been identified, through Driver Check, as drivers (or managers of drivers) who have completed the Corporate Transport Policy online training course and ensure that it remains above 92.5%.</p> <p>Monitor overall completion rates for both driver check and the online training course and ensure that it remains above 92.5%.</p> <p>Monitor the collection and periodic monitoring of driver licence details (and, in the case of grey fleet drivers, vehicle details).</p>	<p>Corporate Transport Policy online training course. The overall compliance is now over 95.1%.</p> <p>The BAU (business as usual) target for overall compliance remains at 92.5%.</p> <p>The improvement in overall compliance compared with September (when it was below the target at 91.2%) is very positive. This indicates that the work by the Transport Technical Support Officer is effective in improving compliance and it is hoped that the BAU compliance target will continue to be exceeded.</p>			
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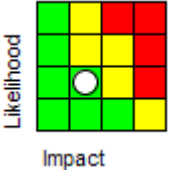
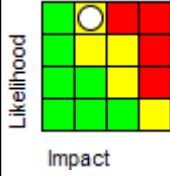
Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DBE-TP-13 Cleansing & Waste Contract - Procurement Timings  29-Dec-2017 Jim Graham	<b>Cause:</b> Delay to procurement or mobilisation process. <b>Events:</b> (1) tender process delays; (2) Contractual delays; (3) mobilisation delays. <b>Impact:</b> No cleansing or waste service on the day(s) following the termination of the existing contract.	 Likelihood	8	The risk is unchanged.  No challenge was received. The contract Award has been approved by the Court of Common Council.  Transitional provision of ULEZ compliant vehicles will initially be provided by the contractor via the hire market pending the introduction of permanent vehicles in June 2019.  The mobilisation is being over-seen by the Assistant Director (Cleansing) and a dedicated mobilisation team.  <b>17 Dec 2018</b>	 Likelihood	8	06-Apr-2019	  Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-TP-13c Member involvement in the decision making process	In order to ensure that Members are able to make an award decision in a timely manner there will need to be regular briefings by the Director of the Built Environment to the Chairman and Deputy Chairman of the relevant committees.	Members involved throughout the process. The contract Award has been approved by the Court of Common Council. [Action Completed]	Carolyn Dwyer	17-Dec-2018	31-Dec-2018

DBE-TP-13d Minimisation of likelihood of legal challenge (1)	In order to minimise the likelihood of a legal challenge representatives of Procurement and C&CS will be present at all "competitive dialogue" meetings with bidders and a full record of these meetings will be kept. Procurement will be the conduit for ALL other communications during the tender process.	No challenge was received. The contract Award has been approved by the Court of Common Council. [Action Completed]	Zahur Khan	17-Dec-2018	31-Dec-2018
DBE-TP-13f Mobilisation - Vehicles & Plant	In order to ensure that vehicles and plant are available at start of contract, the bidders will, at competitive dialogue stage, be required to provide details of procurement/hire/other to demonstrate how they would have vehicles/plant on day 1 of the contract.	Transitional provision of ULEZ compliant vehicles will initially be provided by the contractor via the hire market pending the introduction of permanent vehicles in June 2019.	Zahur Khan	17-Dec-2018	05-Apr-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-TP-07 A major incident, such as flooding or fire, makes Walbrook Wharf unusable as a depot</b> 27-Mar-2015 Zahur Khan	Cause: A major incident, such as flooding or fire Event: Walbrook Wharf unusable as a depot Impact: Unable to clean streets; collect waste or maintain City of London Police vehicles. City of London unable to meet its contractual arrangements with third parties who use the depot for their commercial purposes.	 Likelihood Impact	4	Due to early contract termination the proposed Q1 2018 exercise was cancelled. Business continuity has been assessed through the procurement dialogue for the new contract and an exercise will be conducted with the new contractor Q3 2019. The new contract commences Q2 2019. <b>29 Aug 2018</b>	 Likelihood Impact	4	31-Dec-2019	  Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-TP-07a Business Continuity exercise	Conduct annual DBE business continuity exercise	Due to early contract termination the proposed Q1 2018 exercise was cancelled. Business continuity has been assessed through the procurement dialogue for the new contract and an exercise will be conducted with the new contractor Q3 2019. The new contract commences Q2 2019.	Zahur Khan	29-Aug-2018	30-Sep-2019

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DBE-TP-12 Cleansing & Waste Contract - Commercials  20-Dec-2017 Jim Graham	<p><b>Cause:</b> The existing waste contractor has served notice to terminate the contract and we are therefore retendering the high value cleansing and waste contract and this is liable to result in (a) greater expense (for the same level of service); or (b) deliver a lower level of service (for the same cost) (or a combination of the two).</p> <p><b>Event:</b> The competitive tendering process results in Members having to decide between options (a) and (b) (or some combination of the two).</p> <p><b>Impact:</b> (a) higher costs to the City or (b) a lower level of service to the City (or some combination of the two).</p>		4	<p><b>The risk is CLOSED.</b></p> <p>No challenge was received. The Finance Committee received a detailed breakdown of the increase in costs and was satisfied by the explanation given. The contract Award has been approved by the Court of Common Council.</p> <p><b>17 Dec 2018</b></p>		8	31-Dec-2018	Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-TP-12a Effective Procurement Process	This project has very strong support from City Procurement to ensure that the tender process is robust.	The procurement process were robust and no challenge was received,	Zahur Khan	17-Dec-2018	31-Mar-2019
DBE-TP-12b Appropriate Contract Scope & Specification	Additional experience and capacity has been recruited to support the process of determining the contract scope & specification (including the creation of a draft Contract Manual).	The final specification was updated following dialogue and reissued and will form the basis for the service provision.	Jim Graham	17-Dec-2018	31-Mar-2019