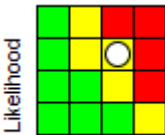
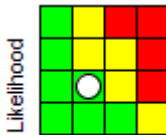



DBE Corporate & Departmental Risks *(Planning & Transportation Committee)*

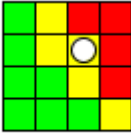
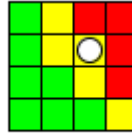

APPENDIX 2

Report Author: Richard Steele

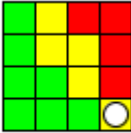
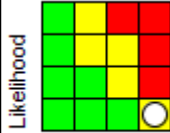

Generated on: 03 March 2019

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-PL-06 S106 Controls 30-Nov-2018 Annie Hampson	Cause: Disjointed control mechanisms in relation to processing and monitoring S106 agreements. Event: Failure to implement Audit recommendations. Effect: Loss of funds; non-compliance with agreements and reporting; potential reputational damage	 Likelihood Impact	12	We have responded to the draft report - the final report has not yet been received. As an interim measure we are using the data provide by the Finance team to prepare a quarterly monitoring report. This will address the one Red recommendation. 01 Mar 2019	 Likelihood Impact	4	20-Jun-2019	 Constant

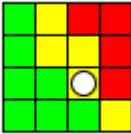
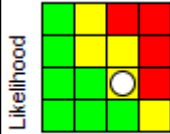

Action no, Title,	Action description	Latest Note		Action owner	Latest Note Date	Due Date
DBE-PL-06a Response to draft report	The group responsible for S106 has met and commented on the draft report. A formal response will be sent to Internal Audit.	Comments on the draft report have been submitted. [ACTION CLOSED 1 Mar 19]		Annie Hampson	01-Mar-2019	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.	Further investigation has established that manual input of historic data will not, as a standalone project, resolve the wider issue. The capture of historic data is still being pursued.		Annie Hampson	01-Mar-2019	29-Jun-2019
DBE-PL-06c 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.	Some progress has been made to identify key information in CBIS but the software supplier is, at present, unable to commit to a particular timeline for providing input and output transfer specifications or information regarding the internal data structures.		Annie Hampson	01-Mar-2019	31-May-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-PP-01 Adverse planning policy context	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	12	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. We continue to monitor draft regulations to ensure they reflect or adapted to accord with City Corporation priorities. The City Corporation will make its case on outstanding matters in the Draft London Plan at the Examination in Public in Jan-May 2019. A final version NPPF published in July 2018 did not address all the City's concerns and subsequent proposed relaxations of Permitted Development Rights cause further concerns. These have been reiterated to Government in response to the public consultation. The new Housing Delivery Test is not appropriate to the City's circumstances – this is the subject of a report to the Planning & Transportation Committee in March 2019.	Likelihood  Impact	12	31-Dec-2019	
06-Mar-2015 Paul Beckett				01 Mar 2019				Constant

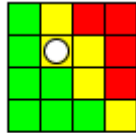
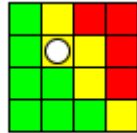

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-PP-01a Business as usual mitigating controls	(1) Ongoing monitoring of government regulations; (2) continue monitor progress of, and seek to influence, forthcoming legislation	<p>Whilst this risk (at 12) is above 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>We continue 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 and subsequent proposed relaxations of Permitted Development Rights cause further concerns. These have been reiterated to Government in response to the public consultation.</p> <p>The new Housing Delivery Test is not appropriate to the City's circumstances – this is the subject of a report to the Planning & Transportation Committee in March 2019.</p>	Paul Beckett	01-Mar- 2019	31-Dec- 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-02 Service/Pipe Subways 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	Nothing to update 27 Feb 2019	 Likelihood	8	31-Dec-2019	 Constant

Action no, Title,	Action 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 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>	<p>All business as usual mitigations have been reviewed, they are very much current and continue to work effectively</p>	Giles Radford	01-Mar-2019	31-Dec-2019

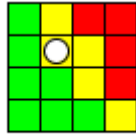
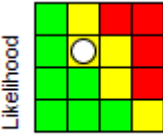

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DBE-DS-01 The District Surveyor's (Building Control) Division becomes too small to be viable 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	The Business Plan to establish a Local Authority Trading Company is in development and is planned to be submitted for consultation to finance and legal by the end of March 2019. A committee report will be prepared shortly after. 01 Mar 2019	 Likelihood Impact	8	31-Dec-2019	 Constant

Action no, Title,	Action 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	01-Mar-2019	31-Dec-2019
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.	The Business Plan to establish a Local Authority Trading Company is in development and is planned to be submitted for consultation to finance and legal by the end of March 2019. A committee report will be prepared shortly after.		Gordon Roy	01-Mar-2019	31-Mar-2019

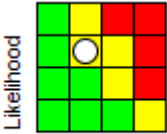
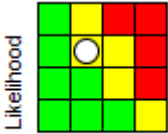

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR20 Road Safety	<p>Cause: Limited space on the City's medieval road network to cope with 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>	6	<p>TfL held a meeting with City RDR officers in February to discuss options for improvements to Ludgate Circus, following the informal crossing, traffic composition, speed, traffic light contravention, pedestrian behaviour and high risk manoeuvres camera study report.</p> <p>TfL reported they have already put some actions into motion:</p> <p>Signals were adjusted before Christmas to give more pedestrians green time in the off-peak</p> <p>Cycle scoot is programmed for installation by end of this financial year.</p> <p>Options discussed for mitigation of danger at junction included:</p> <ul style="list-style-type: none"> - Explore possibility to use WAZE to push information about risk at the junction - Explore scope to reduce cycle time of the signals - Get data on the effectiveness of coloured surfacing as used at the Earls Court trial - Review evidence on potential applicability of 3d markings to slow approaching traffic 	 <p>Likelihood</p> <p>Impact</p>	6	31-Dec-2019	

23-Oct-2015 Carolyn Dwyer				<p>- Develop proposal and cost estimate for enhanced enforcement of PTW speeds</p> <p>These options are being costed and evaluated by officers. A follow up meeting to discuss a possible implementation plan is scheduled for Tuesday March 5th</p> <p>The Lunchtime Streets pilot programme while Leadenhall street works closed St Mary Axe to traffic, of a combination of temporary street greening, music and engagement activities during March, was unanimously approved by the working group of building managers. The street greening will provide information on the future of the street and is being installed in the week beginning 25th February; engagement events scheduled for the end of March.</p> <p>Aviva Insurance met with representatives of the City Van Operators Working group on February 27th to discuss driver training in reduction of the risk of collisions.</p> <p>The Chancery Lane Association board approved plans for a Lunchtime Streets event in September 2019. Representatives from Westminster and Camden, who share a boundary with the City on the street, have expressed a desire to proceed. Meetings are scheduled for February 26th to develop a joint proposal.</p> <p>01 Mar 2019</p>				Constant
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Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
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	<p>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.</p> <p>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.</p>	<p>Safe Vehicles - A van operators working group has been established to explore opportunities to apply the lessons from City Mark for HGVs to Light Goods Vehicles</p> <p>Safe Speed - A programme of community road watch has been developed with the City of London Police for education on the speed limit.</p> <p>Safe Streets - the Road Danger Reduction engineering programme continues to be delivered.</p> <p>Safe Behaviours - Safer travel information for employees is being promoted through the Active City Network</p>	Zahur Khan	01-Mar-2019	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
DBE-PL-02 Not being alive to the needs/requirements of the world business centre and the political environment 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	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. 01 Mar 2019	 Likelihood	6	31-Dec-2019	 Constant

Action no, Title,	Action 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 we continue 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	01-Mar-2019	31-Dec-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-03 Major Projects and key programmes not delivered as TfL funding not received 27-Mar-2015 Bruce McVean	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 & improvement programmes	 Impact	6	2019/20 LIP programme has been approved by TfL and the Liveable Neighbourhood funding bid was successful. 01 Mar 2019	 Impact	6	31-Mar-2020	 Constant

Action no, Title,	Action description	Latest Note			Action owner	Latest Note Date	Due Date
DBE-TP-03a Annual Spending Submission	Send Annual Spending Submission to TfL	2019/20 Annual Spending Submission approved by TfL			Bruce McVean	01-Mar-2019	30-Sep-2019
DBE-TP-03b TfL meetings	Conduct quarterly meetings with TfL-	19/20 start of year meeting will be held shortly. Other future meeting will be held as required. Dates have been reset for FY19/20			Bruce McVean	01-Mar-2019	31-Mar-2020
DBE-TP-03c TfL Bid Process	Submit bid(s) in line with TfL timetable (e.g. Liveable Neighbourhoods)	Liveable Neighbourhood bid approved by TfL. Participation in future bidding rounds will be kept under review. The dates for this risk have been updated accordingly.				01-Mar-2019	30-Nov-2019