

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

APPENDIX 2

Report Author: Richard Steele

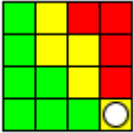
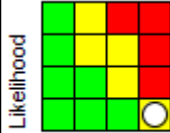

Generated on: 28 August 2019

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 23-Oct-2015 Carolyn Dwyer	<p>Cause: Limited space on the City's medieval street network to cope with the increased use of the highway by vehicles, pedestrians and cyclists within the City of London. Interventions and legal processes take time to deliver SAFELY AND EFFECTIVELY</p> <p>Event: The City Corporation's statutory duties and the measures outlined in the Transport Strategy are not fully and effectively implemented.</p> <p>Effect:</p> <ul style="list-style-type: none"> •The number of casualties occurring on the City's streets rises or remains unchanged instead of reducing •The safety and feeling of safety of the City's communities is adversely affected (Corporate Plan Outcome 1) •Physical or mental harm suffered by those involved in collisions and their associates •Economic costs of collisions impact on INDIVIDUALS, City businesses and wider society •The City Corporation's ABILITY TO IMPROVE ROAD SAFETY is adversely impacted with businesses and/or the public BY VIRTUE OF A LOSS OF CREDIBILITY AND/OR AUTHORITY <p>(revised risk description 27/6/19)</p>	<p>Likelihood</p> <p>Impact</p>	24	<p>On the advice of the Audit & Risk Management Committee the Likelihood has increased from 2 (Unlikely) to 3 (Possible). This reflects the probability that a fatality is fairly likely to occur while mitigation measures are being implemented.</p> <p>12 Aug 2019</p>	<p>Likelihood</p> <p>Impact</p>	16	31-Mar-2022	<p>Constant</p>

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR20l Road danger reduction and Vision Zero	<p>A programme of projects to reduce road danger on the City's streets including:</p> <ul style="list-style-type: none"> • Bank on Safety and All Change at Bank • RDR engineering programme • 15mph traffic limit • Ludgate Circus (lead by TfL) 	Continuing to progress proposals for further changes at Bank Junction (interim and permanent) and work with TfL on change at Ludgate Circus. Also liaising with TfL on improvements to the junction at Bevis Marks/Wormwood and Bishopsgate and the Fenchurch Street/Lombard Street/Gracechurch Street Junction. DfT have been approached informally to discuss 15mph.	Zahur Khan	12-Aug-2019	31-Mar-2022
CR20m Road Danger Reduction campaigns and engagement	<p>Campaigns and engagement activities to encourage safe behaviours and promote safe vehicles, including:</p> <ul style="list-style-type: none"> • Active City Network • User and stakeholder liaison • Schools programme 	In June a campaign targeting powered two wheeler riders in the City was delivered in partnership between the City Corporation, London Fire Brigade, City of London Police and the Motorcycle Industry Association. The campaign promoted safer riding, including slower speeds. Other engagement activities in June/July include Exchanging Places Road Shows organised in partnership with the City of London Police and Keltbray.	Zahur Khan	12-Jul-2019	31-Mar-2022

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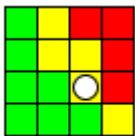
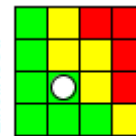

Title,			owner	Date	
DBE-PP-01a Business as usual mitigating controls	(1) Ongoing monitoring of government regulations; (2) continue monitor progress of, and seek to influence, forthcoming legislation	<p>Whilst this risk (at 12) is above appetite (8) to reduce the risk to appetite would require increased 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 has made its case on outstanding matters in the Draft London Plan at the Examination in Public earlier this year.</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. However, it was applied to the City and recent housing delivery has not met Government targets. The City Corporation agreed an Action Plan in July 2019. Housing delivery is expected to exceed targets in the next few years</p>	Paul Beckett	13-Aug-2019	31-Dec-2019

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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  Impact	8	Heat detection cable in QVS subways up and running. For the rest of the network, no further update. 28 Aug 2019	Likelihood  Impact	8	31-Dec-2019	 Constant

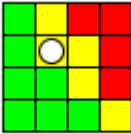
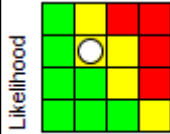

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DBE-02a Business As Usual Mitigations	<p>Confined space working is avoided when possible.</p> <p>All PPE and other equipment required for a SSOW shall be suitable and sufficient for the tasks identified. The following PPE and equipment shall be provided, 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>	All business as usual mitigations have been reviewed, they are very much current and continue to work effectively	Giles Radford	01-Mar-2019	31-Dec-2019

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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	29-May-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 still in development but has been paused pending the outcome of the Governments review of the recommendations following the publication of the Hackett Report following the Grenfell fire. This review may lead to an alternative business model. A committee report will be prepared for Autumn 2019. The due date for this action has been adjusted accordingly.	Gordon Roy	29-May-2019	29-Nov-2019

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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	8	The risk has been reviewed and remains unchanged at Amber. The Audit Review has been worked through and most of the recommendations within it have been implemented. Considerable work has been done over the last few months to review outstanding S106 sums and to rationalise the projects on which they are to be spent, and there is now greater oversight by officers and Members. The Chamberlain's team are, for the time being, continuing to keep separate financial records (including on CBIS). 28 Aug 2019	 Likelihood Impact	4	31-Mar-2020	 Constant

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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 information required to report the 2017/18 and 2018/19 S106 and CIL income and expenditure was received from the Chamberlain's team in August and is to be reported to the P&T Committee on the 2 Oct 19. The Director of the Built Environment has resolved not to expend resources to update Exacom retrospectively and will set a date from which it should be used as the main record. This has been agreed with Chamberlain's team and is to be reported to Audit.	Annie Hampson	28-Aug-2019	31-Oct-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.	The Director of the Built Environment has resolved not to expend resources to update Exacom retrospectively and will set a date from which it should be used as the main record. This has been agreed with Chamberlain's team and is to be reported to Audit. This action will be closed.	Annie Hampson	28-Aug-2019	31-Mar-2020

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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. 29 May 2019	 Likelihood	6	31-Dec-2019	 Constant

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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	29-May-2019	31-Dec-2019

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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	2020/21 Annual Spending Submission due to be submitted to Committee for approval in October.	Bruce McVean	12-Aug- 2019	29-Nov- 2019
DBE-TP-03b TfL meetings	Conduct quarterly meetings with TfL-	Quarterly meetings being held as required.	Bruce McVean	29-May- 2019	31-Mar- 2020
DBE-TP-03c TfL Bid Process	Submit bid(s) in line with TfL timetable (e.g. Liveable Neighbourhoods)	Participation in future bidding rounds will be kept under review.	Bruce McVean	12-Aug- 2019	30-Nov- 2019