

Committee Report (Corporate & Departmental Level Risks)

Report Author: Richard Steele


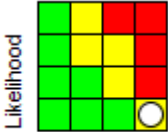

Generated on: 23 December 2015



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 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>		16	Risk unchanged. Email and twitter communications have commenced, also Christmas Safety Campaigns. 11 Dec 2015		6	21-Dec-2016	 No change

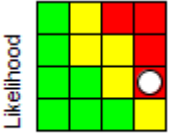
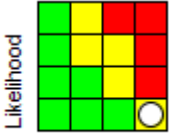

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR20a Joint Safer Transport Team	Implement a joint City of London Corporation & City of London Police Road Safety/Safer Transport Team	Awaiting final City Police numbers for colocation and confirmation of IT needs.	Steve Presland	17-Nov-2015	15-Jan-2016
CR20b Permanent Bank Junction redesign	Permanent Bank Junction redesign	Same target date. Gateway 3 Report for Committees drafted and submitted	Steve Presland	17-Nov-2015	30-Nov-2018

CR20c Interim Bank Junction redesign	Working with TfL to explore and, where practicable, deliver short term design/operational improvements to Bank Junction	Gateway 2 committee report submitted to Members	Steve Presland	17-Nov-2015	21-Dec-2016
CR20d Road Safety Communications Strategy	Work with the Corporation's Public Relations Office to deliver a Road Safety Communications Strategy	Strategy being reviewed by City of London Communications Director. First monthly email issued and weekly twitter feed commenced.	Steve Presland	11-Dec-2015	30-Nov-2015
CR20e City Contracts	Explore embedding vehicle and driver safety in all City of London Corporation contracts	TfL have now issued guidance on best practice for inclusion of Work related road risk into new contracts and meeting scheduled November 2015 to discuss implementation with Corporate procurement Unit	Steve Presland	17-Nov-2015	30-Apr-2016

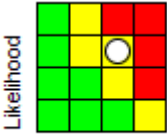
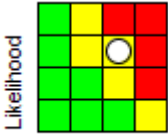

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DBE-02 Service/Pipe Subways 02-Dec-2015 Steve Presland	Cause: Provide safe access and egress for utilities and maintenance functions, whilst having operatives entering the confined space to undertake checks. Event: A lack of Oxygen, poisonous gases, 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	16	Added to Covalent 02 Dec 2015	 Likelihood Impact	8	31-Dec-2016	 No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-02a Business As Usual Mitigations	Confined space working is avoided when possible. 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 All openings are controlled through a central booking system. A subway must not be entered if permission to do so has been refused. 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. All works and operatives entering the pipe subway must comply with the code of practice for access and safe working in local authority subways.		Steve Presland		31-Dec-2999

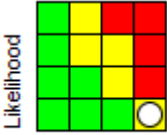
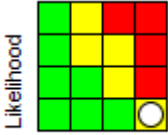

	<p>Regular inspections of the structure, covers, condition and asbestos surveys are undertaken.</p> <p>The Permit to enter form must be completed and contractors checked to ensure they have suitable and sufficient equipment to enter a confined space.</p> <p>No smoking is allowed at any time.</p>				
DBE-02b Update Code of Practice	Revisit and update the approved code of practice working with other Local Authorities who have pipe subways.		Steve Presland		31-Dec-2016
DBE-02c Permit to Enter application form	Update Permit to Enter application form to improve clarity and reduce incorrect completion		Steve Presland		31-Dec-2015
DBE-02d Web presence	Publish an extranet page that includes all relevant documentation to ensure that utilities have access to up-to-date documents at all times. This will also include an on-line booking form.		Steve Presland		01-Jun-2016

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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 Impact	16	Roll out of Policy to begin in January/February 11 Dec 2015	 Likelihood Impact	8	17-Feb-2016	 No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-01a	Approve Corporate Transport Policy [NB this depends on HR and Chief Officers]	Approved by Establishment Committee on 16 Jul 15	Oliver Sanandres	21-Oct-2015	31-Aug-2015
DBE-TP-01b	Implement Corporate Transport Policy (including establishing monitoring regimen)	Majority of Chief Officers have responded with driver details.	Steve Presland	11-Dec-2015	31-Dec-2015
DBE-TP-01c	Work with the Corporate Procurement Service to embed driver safeguards in future City contracts	TfL have issued draft wording for inclusion in contracts. This has been passed to CLPS for consideration.	Steve Presland	11-Dec-2015	31-Dec-2016

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DBE-PP-01 Adverse planning policy context 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	12	Local exemption from offices to housing permitted development rights to be extended to May 2019 giving time for preparation of an Article 4 Direction to retain local planning control indefinitely. However Housing & Planning Bill proposes various de-regulation initiatives with uncertain consequences. 22 Oct 2015	 Likelihood Impact	12		 No change

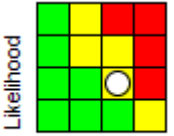
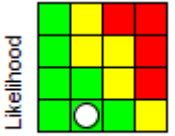

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-PP-01a	Business as usual mitigating controls	(1) Ongoing monitoring of government regulations; (2) continue monitor progress of, and seek to influence, Housing and Planning Bill	Paul Beckett		31-Dec-2999

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-01 Inspecting Dangerous Structures 24-Nov-2015 Bill Welch	Cause: Officers involved in inspecting a dangerous structure Event: any of the following (a) structural failure or building collapse; (b) falling object(s); (c) fire; (d) live electrics; (e) toxic substances; and/or (f) trips and falls Impact: ranging from minor injury to death.	 Likelihood Impact	8	Added to Covalent 02 Dec 2015	 Likelihood Impact	8		 No change


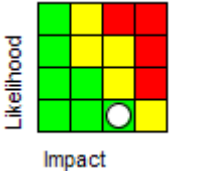

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DBE-01a	Business as usual mitigations Emergency Planning procedures in place - only authorised personnel to respond to Dangerous Structures call-outs and enter buildings. Take advice from Fire Brigade and emergency services. PPE issued and monitored. ISO9001:2008 Accredited (Quality Management Systems in place)		Bill Welch		31-Dec-2999

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DBE-DS-01 The Division becomes too small to be viable 25-Mar-2015 Bill Welch	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	Unchanged 07 Oct 2015	 Likelihood Impact	8		 No change

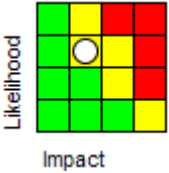
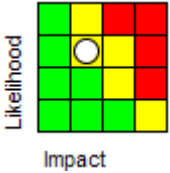

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DBE-DS-01a	Business as usual mitigating controls (1) Continue to provide excellent services [evidenced by customer survey]; (2) Maintain client links with key stakeholders; (3) Continue to explore new income opportunities; (4) Continue to undertake cross-boundary working.		Bill Welch		31-Dec-2999

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-02 Major contractor goes into liquidation before selling business as a going concern 27-Mar-2015 Steve Presland	Cause: Unsustainable financial losses by the contractor across their whole business Event: Major contractor goes into liquidation before selling business as a going concern Impact: Disruption to (i) street cleaning; (ii) domestic waste collection/disposal; (iii) City of London (including City of London Police) vehicle maintenance; (iv) highways maintenance; (v) parking; & (vi) parking ticket office support contractors	 Likelihood Impact	8	Risk unchanged 11 Dec 2015	 Likelihood Impact	2	31-Jul-2016	 No change

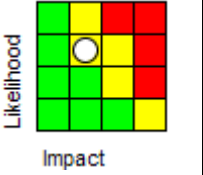
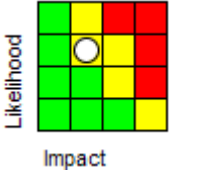

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-02a	Regular financial review of business critical contractors		Steve Presland		30-Apr-2016
DBE-TP-02b	Agree list of business critical contracts, associated level of vulnerability and impact of failure		Steve Presland		30-Apr-2016
DBE-TP-02c	Review business continuity arrangements in respect of each business critical service provider		Steve Presland		31-Jul-2016

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DBE-TP-03 Major Projects and key programmes not delivered as TfL funding not received 27-Mar-2015 Steve Presland	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		8	Risk unchanged. TfL Review Meetings set for 2016 11 Dec 2015		4	30-Apr-2016	 No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-03a	Agree TfL interactions timetable		Steve Presland		30-Apr-2016
DBE-TP-03b	Conduct quarterly meetings with TfL-	Meeting set for 2016	Steve Presland	11-Dec-2015	30-Apr-2016

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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	<p>Cause: Staff are badly briefed in relation to the planning development needs of the City as a world business centre</p> <p>Event: Perception that we are not responsive to the planning development needs of the City as a world business centre</p> <p>Impact: The City's reputation suffers and we fail to deliver buildings that meet the needs of the City as a world business centre</p>	 Likelihood Impact	6	Risk unchanged 14 Dec 2015	 Likelihood Impact	6		 No change

Action no, Title, Owner	Description	Latest Note	Managed By	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) Attendance at MIPIM.		Annie Hampson		31-Dec-2999

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DBE-PL-03 Uncertainty of the legislative environment and Central Government advice in respect of Development Management 23-Mar-2015 Annie Hampson	Cause: Government intervention in the Planning system Event: Legislative or regulatory changes Impact: Increased workload and/or reduced ability to manage the City environment	 Likelihood Impact	6	Risk unchanged 14 Dec 2015	 Likelihood Impact	6		 No change

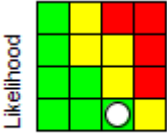
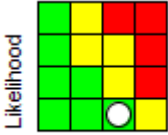

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DBE-PL-03a	Business as usual mitigating controls (1) Working internally with the Planning Policy Team and The Remembrancer. (2) Working externally with the Greater London Authority and other stakeholders. (3) Seek to influence government policy.		Annie Hampson		31-Dec-2999

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DBE-TP-06 City Streets/pavements not kept passable during times of snow 27-Mar-2015 Steve Presland	Cause: Insufficient resources deployed; unexpected weather event; shortage of salt Event: City Streets/pavements not kept passable during times of snow Impact: possible injury, reputational damage & traffic congestion	 Likelihood Impact	4	Risk unchanged 11 Dec 2015	 Likelihood Impact	4		 No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-06a	Business as usual mitigating controls	Annually reviewed winter servicing plan in place	Steve Presland		31-Dec-2999

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DBE-TP-07 A major incident, such as flooding or fire, makes Walbrook Wharf unusable as a depot 27-Mar-2015 Steve Presland	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.		4	Risk unchanged. BC Exercise rescheduled. 11 Dec 2015		4		 No change

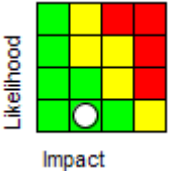
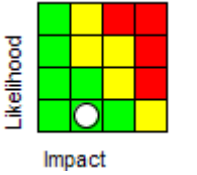

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DBE-TP-07a Business Continuity exercise	Conduct annual DBE business continuity exercise	Rescheduled following discussions with contractors	Steve Presland	11-Dec-2015	30-Apr-2016

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DBE-TP-09 Prohibition notice served on Cleansing fleet 27-Mar-2015 Steve Presland	Cause: Failure to manage fleet adequately Event: Prohibition notice served on Cleansing fleet - unable to use vehicles Impact: Mechanised sweeping and waste collection operations suspended	 Likelihood Impact	4	Risk unchanged. 11 Dec 2015	 Likelihood Impact	4		 No change

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DBE-TP-09a Business as usual mitigating controls	Monthly service monitoring via comprehensive KPIs		Steve Presland		31-Dec-2999

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DBE-TP-10 Failure to comply with our Network Management Duty 27-Mar-2015 Steve Presland	Cause: Inadequate management of activities on the road network Event: Cumulative impact of multiple concurrent works within the City. Impact: Congestion and City business activities frustrated; reputational damage; potential government intervention	 Likelihood Impact	4	Risk unchanged 11 Dec 2015	 Likelihood Impact	4		 No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-10a	Monthly updating of 5 year works forecast		Steve Presland		31-Dec-2999

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DBE-TP-05 Continued significant service failure by major contractor 27-Mar-2015 Steve Presland	Cause: Failure in contract delivery Event: Continued significant service failure by major contractor Impact: Reputational damage to City of London		2	Risk unchanged 11 Dec 2015		2		 No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-05a	Robust monthly contract monitoring		Steve Presland		31-Dec-2999