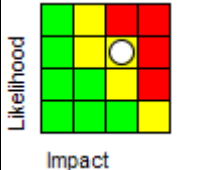
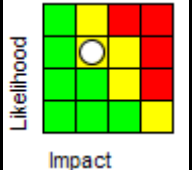



DBE Corporate & Departmental Risks (Planning & Transportation Committee)

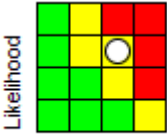
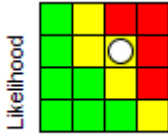

APPENDIX 2

Report Author: Richard Steele

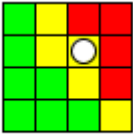
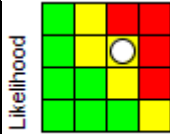

Generated on: 25 May 2017

| 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>CR20 Road Safety</p> <p>23-Oct-2015 Carolyn Dwyer</p> | <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>12</p> | <p>The experimental Bank Junction Scheme went live on 22 May as planned.</p> <p>Milestones for longer term Bank Junction Scheme have been adjusted but are still on track to be complete before the Bank Station upgrade opens in 2021. Valuable lessons will be learned from the interim scheme and will help focus the development of the long term. The Gateway 4 report is scheduled for June 2018 with construction starting in Q3 of 2019.</p> <p>The RDRP Joint Work Programme for 2017/18 (including the Communications Plan) was approved by the Planning and Transportation Committee on March 21st and as a result, through the Operational Delivery Group, there is now a structure and programme to deliver a joint approach to Safer Transport. Work Programme delivery will be reported to the Planning and Transportation Committee in the RDRP annual report.</p> <p>As a result of the progress made the likelihood of this risk as been reduced from Likely to Possible. Overall this risk has reduced from RED to AMBER.</p> <p>22 May 2017</p> |  <p>6</p> | <p>31-Oct-2017</p> |  <p>Decreased Risk Score</p> |

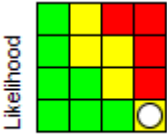
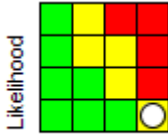
| Action no, Title, | Description | Latest Note | Managed By | Latest Note Date | Due Date |
|---|---|--|----------------|------------------|-------------|
| CR20a Joint Safer Transport Team | Implement a joint City of London Corporation & City of London Police Road Safety/Safer Transport Team | <p>The Road Danger Reduction Partnership (RDRP) Operational Delivery Group (ODG) enables joint working between the City of London Corporation and the City of London Police (as well as TfL and the GLA).</p> <p>The RDRP Joint Work Programme for 2017/18 was approved by the Planning and Transportation Committee on March 21st and as a result, through the ODG, there is now a structure and programme to deliver a joint approach to Safer Transport. Work Programme delivery will be reported to the Planning and Transportation Committee in the RDRP annual report.</p> <p>[ACTION COMPLETED]</p> | Steve Presland | 30-Mar-2017 | 31-Mar-2017 |
| CR20b Permanent Bank Junction redesign | Permanent Bank Junction redesign | Milestones for longer term have been adjusted but are still on track to be complete before the Bank Station upgrade opens in 2021. Valuable lessons will be learned from the interim scheme and will help focus the development of the long term. G4 scheduled for June 2018 with construction starting in Q3 of 2019. The due date on this action has been adjusted accordingly. | Steve Presland | 25-Apr-2017 | 30-Sep-2019 |
| CR20c Interim Bank Junction redesign | Working with TfL to explore and, where practicable, deliver short term design/operational improvements to Bank Junction | <p>The Interim Bank Junction scheme went live on 22 May 17 as planned.</p> <p>[ACTION COMPLETED]</p> | Steve Presland | 22-May-2017 | 22-May-2017 |
| CR20d Road Safety Communications Strategy | Work with the Corporation's Communications Office to deliver a Road Safety Communications Strategy | <p>The Communications Plan was approved by the Planning and Transportation Committee on March 21st. The Road Danger Reduction Partnership will begin delivery as part of the 2017/18 Work Programme which was also approved by the Planning and Transportation Committee on March 21st.</p> <p>[ACTION COMPLETE]</p> | Steve Presland | 30-Mar-2017 | 31-Mar-2017 |
| CR20e City Contracts | Explore embedding vehicle and driver safety in all City of London Corporation contracts | <p>Vehicle and driver safety now a requirement in the City of London Responsible Procurement Strategy.</p> <p>[ACTION COMPLETED]</p> | Steve Presland | 18-Oct-2016 | 30-Sep-2016 |

| 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 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 | 12 | Risk unchanged. (a) Contributing to consult with LABC & neighbouring Local Authorities ; (b) Options review opportunity outline complete - the substantive work is now expected to commence in July 2017. The Due Date has been adjusted accordingly 18 May 2017 |  Likelihood | 12 | 31-Dec-2017 |  No change |

| Action no, Title, | Description | Latest Note | Managed By | 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. | | Bill Welch | | 31-Dec-2999 |
| DBE-DS-01b Building Control business model review | Consider Options for Change | (a) Contributing to consult with LABC & neighbouring Local Authorities ; (b) Options review opportunity outline complete - the substantive work is now expected to commence in July 2017. The Due Date has been adjusted accordingly | Bill Welch | 18-May-2017 | 31-Dec-2017 |

| 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 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 | Risk unchanged. The Neighbourhood Planning Act 2017 could stimulate local expectations and processes that are inappropriate for the City. We will, in liaison with the Remembrancer, seek to influence the related draft regulations. 18 May 2017 |  Likelihood Impact | 12 | |  No change |

| Action no, Title, | 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, forthcoming legislation | Revised to refer to "forthcoming legislation" rather than a specific measure. | Paul Beckett | 18-May-2017 | 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-02 Service/Pipe Subways 02-Dec-2015 Giles Radford | <p>Cause: Provide safe access and egress for utilities and maintenance functions, whilst having operatives entering the confined space to undertake checks.</p> <p>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.</p> <p>Impact: Fatality / Major Injury / Illnesses</p> |  <p>Likelihood</p> <p>Impact</p> | 8 | <p>The risk is unchanged. Following achievement of the target risk rating and score (and completion of all except the Business As Usual mitigations) this risk will continue to be monitored as Business As Usual (and there is therefore no longer a Target Date).</p> <p>25 May 2017</p> |  <p>Likelihood</p> <p>Impact</p> | 8 | | <p>↔</p> <p>No change</p> |

| Action no, Title, | Description | Latest Note | Managed By | 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</p> | | Giles Radford | | 31-Dec-2999 |

| | | | | | |
|---|---|--|-----------------------|--------------------|--------------------|
| | <p>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> | | | | |
| <i>DBE-02b Update Code of Practice</i> | <i>Revisit and update the approved code of practice working with other Local Authorities who have pipe subways.</i> | <i>COP went live in December 2016</i> <i>[ACTION COMPLETED]</i> | <i>Giles Radford</i> | <i>22-Feb-2017</i> | <i>31-Dec-2016</i> |
| <i>DBE-02c Permit to Enter application form</i> | <i>Update Permit to Enter application form to improve clarity and reduce incorrect completion</i> | <i>[COMPLETED]</i> | <i>Steve Presland</i> | <i>19-Apr-2016</i> | <i>01-Mar-2016</i> |
| <i>DBE-02d Web presence</i> | <i>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.</i> | <i>[COMPLETED]</i> | <i>Giles Radford</i> | <i>26-Aug-2016</i> | <i>30-Apr-2016</i> |

| 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 Impact | 6 | Whilst the underlying risk is unchanged, there is additional uncertainty regarding the situation post General Election. 17 May 2017 | Likelihood Impact | 6 | | No change |

| Action no, Title, | 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 |

| 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 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 | Likelihood Impact | 4 | Risk unchanged. 2017/18 funding allocation received and allocation approved by Planning & Transportation Committee. Target and review dates reset to relate to next financial year. 22 May 2017 | Likelihood Impact | 4 | 30-Apr-2018 | No change |

| Action no, Title, | Description | Latest Note | Managed By | Latest Note Date | Due Date |
|-------------------------------|--------------------------------------|--|----------------|------------------|-------------|
| DBE-TP-03a TfL bid process | Meet TfL bid timetable | Prepare 2018/19 programme by August 2017 and be prepared to submit funding bids in September 2017. | Steve Presland | 07-Apr-2017 | 31-Aug-2017 |
| DBE-TP-03b TfL meetings | Conduct quarterly meetings with TfL- | 17/18 start of year meeting completed. Future meeting will be held as required. The next formal progress review is August 2017. Dates have been reset for FY17/18. | Steve Presland | 07-Apr-2017 | 31-Aug-2017 |