

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

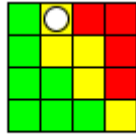
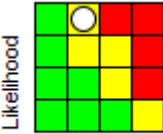

APPENDIX 2

Report Author: Richard Steele

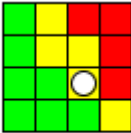
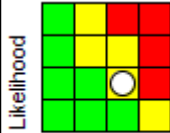

Generated on: 02 May 2018

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
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 Vince Dignam; 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	<div> <div>Likelihood</div> <div>Impact</div> </div>	8	Over 94% of City of London staff have completed Driver Check and over 97% 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 92.1%. The Business As Usual target for overall compliance remains at 92.5% (92.1% compliance represents a shortfall of 15 people and is underway to meet the target). 26 Apr 2018	<div> <div>Likelihood</div> <div>Impact</div> </div>	8	31-Dec-2018	 Constant

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-01c Business As Usual Mitigation	<p>Monitor the percentage of City of London staff who have completed Driver Check and ensure that it 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>Over 94% of City of London staff have completed Driver Check and over 97% 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 92.1%.</p> <p>The Business As Usual target for overall compliance remains at 92.5% (92.1% compliance represents a shortfall of 15 people and is underway to meet the target).</p>	Jim Graham	26-Apr- 2018	31-Dec- 2018

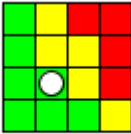
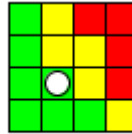

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DBE-TP-12 Cleansing & Waste Contract - Commercial 20-Dec-2017	<p>Cause: The existing waste contractor has served notice to terminate the contract and we are therefore retendering the high value cleansing and waste contract and this is liable to result 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>Event: The competitive tendering process results in Members having to decide between options (a) and (b) (or some combination of the two).</p> <p>Impact: (a) higher costs to the City or (b) a lower level of service to the City (or some combination of the two).</p>	 Likelihood Impact	8	We have had a good level of interest from the industry which will provide a high level of competition for our service contract - preliminary prices are due to be submitted on 2May and this will give us an early indication of the financial service / impact on this contract for the City of London. 02 May 2018	 Likelihood Impact	8	31-Dec-2018	 Constant

Action no, Title,	Description	Latest Note			Managed By	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.	On track			Steve Presland	02-May-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).	On Track			Jim Graham	02-May-2018	31-Mar-2019
DBE-TP-12d External Support – Resource London	We will consult Resource London (the Local Authority support element of the London Waste and Recycling Board) to ensure that the contract is future-proofed for the circular economy.	Consultation received. Comments used to revise the project documents. [ACTION COMPLETED]			Jim Graham	02-May-2018	31-Mar-2019
DBE-TP-12e Internal Consultation	A Corporate Steering Group including the Commercial Director and a representative of the Chamberlains department has been established and is ongoing.	Regular meetings are being held and the dialogue teams are corporately represented.			Jim Graham	02-May-2018	31-Mar-2019

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DBE-TP-13 Cleansing & Waste Contract - Procurement Timings 29-Dec-2017	Cause: Delay to procurement or mobilisation process. Events: (1) tender process delays; (2) Contractual delays; (3) mobilisation delays. Impact: No cleansing or waste service on the day(s) following the termination of the existing contract.	 Likelihood Impact	8	The process to procure a new contract has now commenced. All bidders confirm the mobilisation period built into the process is acceptable. Dialogue dates now confirmed and key personnel have confirmed their availability. The port Health and Environmental Services Committee has agreed an additional meeting to agree the new provider and contract award remains on course to allow 3 months mobilisation.	 Likelihood Impact	8	31-Dec-2018	 Constant

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-13a Provide data for OJEU	Ensure the deadline is met by review at the weekly Data Group meetings (which reports to the weekly Contract Procurement Group)	Completed.	Steve Presland	27-Apr-2018	23-Jan-2018
DBE-TP-13b Committee Timetable	Relevant committee meetings are included in the project timeline.	An additional meeting of the Port Health Committee and Environmental Services Committee has been scheduled specifically to consider the bids and agree the successful bidder.	Steve Presland	27-Apr-2018	31-Dec-2018
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.	Ongoing – Next Full briefing – October 2018	Carolyn Dwyer	27-Apr-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.	City Procurement Commercial Director is part of the dialogue team. Procurement process being delivered via Procurement team.	Steve Presland	27-Apr-2018	31-Dec-2018
DBE-TP-13e Minimisation of likelihood of legal challenge (2)	In order to minimise the likelihood of a legal challenge the Assistant Director will prepare a Code of Conduct for all staff who are (a) involved in the tender process; and (b) all staff who, although not involved in the tender process may, as a result of their other duties, have contact with one or more bidders (or potential bidders) during the tender process.	As a result of the guidance received all relevant staff have been reminded of the City of London code of conduct. [ACTION COMPLETED]	Jim Graham; Steve Presland	27-Apr-2018	19-Jan-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.	Included in dialogue programme in addition specific negotiations will take place in relation to all existing vehicles and plant prior to mobilisation of new contract. Target date revised appropriately.	Steve Presland	02-May-2018	01-Aug-2018
DBE-TP-13g Mobilisation - Staff	In order to ensure staff can be TUPE'd on day 1 of new contract the Assistant Director will work with C&CS to ensure TUPE information is provided at the appropriate stages.	The Assistant Director will, by 15 Jun 18, establish when in the process the TUPE data will be required.	Jim Graham	27-Apr-2018	01-Jun-2018
DBE-TP-13h Delay in Competitive Dialogue stage	In order to avoid delays from COL side during competitive dialogue (a) the Director of the Built Environment will be asked (by the Director) to authorise a leave ban for affected staff the Tender Evaluation and Competitive Dialogue stages; (b) Managers will ensure that all staff affected block out appropriate time in the their diary; & (C) The Director will arrange for representatives (with the necessary skills/seniority to rule on matters at the time) from Procurement and C&CS to attend all Competitive Dialogue meetings.	All dates now agreed and diarised and essential staff have confirmed attendance. [ACTION COMPLETED]	Steve Presland	02-May-2018	01-Mar-2018

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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.	 Likelihood	4	Due to early contract termination the proposed Q1 2018 exercise has been cancelled. Business continuity will be assessed through the procurement dialogue for the new contract and an exercise conducted with the new contractor Q3 2019. The new contract commences Q2 2019. 27 Apr 2018	 Likelihood	4	31-Dec-2018	 Constant

Action no, Title,	Description	Latest Note	Managed By	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 has been cancelled. Business continuity will be assessed through the procurement dialogue for the new contract and an exercise conducted with the new contractor Q3 2019. The new contract commences Q2 2019.	Steve Presland	27-Apr-2018	30-Sep-2019