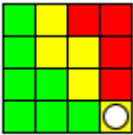
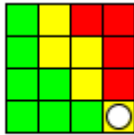



# DBE Corporate & Departmental Risks (*Port Health & Environmental Services Committee*)

# APPENDIX 2

Report Author: Richard Steele

Generated on: 3 September 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
<b>DBE-TP-01 Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business</b>	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	 <p>Likelihood</p> <p>Impact</p>	<p>8</p>	<p>Over 93% of City of London staff have completed Driver Check and over 96.6% 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 91.2%.</p> <p>The BAU (business as usual) target for overall compliance remains at 92.5%.</p> <p>The reduction in compliance compared with April (when it was 92.1%) is substantially due to the very significant increase (about 12%) in the number of staff registered to use City Learning (and therefore liable to complete Driver Check). This increase in staff registrations for City Learning was a result of the drive for GDPR compliance (which, like Driver check, is monitored through City Learning). Whilst 91.2% is below the figure for April 2018 is considerably better than the 86.1% in June. This indicates that the work by the Transport Technical Support Officer is effective in</p>	 <p>Likelihood</p> <p>Impact</p>	<p>8</p>	<p>31-Dec-2018</p>	

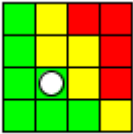
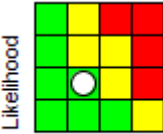

13-Mar-2015 Vince Dignam; Steve Presland				improving compliance and it is hoped that the BAU compliance target may soon be achieved. <b>03 Sep 2018</b>				Constant
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Action no, Title,	Description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-TP-01c 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 93% of City of London staff have completed Driver Check and over 96.6% 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 91.2%.</p> <p>The BAU (business as usual) target for overall compliance remains at 92.5%.</p> <p>The reduction in compliance compared with April (when it was 92.1%) is substantially due to the very significant increase (about 12%) in the number of staff registered to use City Learning (and therefore liable to complete Driver Check). This increase in staff registrations for City Learning was a result of the drive for GDPR compliance (which, like Driver check, is monitored through City Learning). Whilst 91.2% is below the figure for April 2018 is considerably better than the 86.1% in June. This indicates that the work by the Transport Technical Support Officer is effective in improving compliance and it is hoped that the BAU compliance target may soon be achieved.</p>	Jim Graham	03-Sep-2018	31-Dec-2018

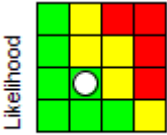
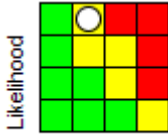

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DBE-TP-13 <b>Cleansing &amp; Waste Contract - Procurement Timings</b>  29-Dec-2017 Jim Graham	<b>Cause:</b> Delay to procurement or mobilisation process. <b>Events:</b> (1) tender process delays; (2) Contractual delays; (3) mobilisation delays. <b>Impact:</b> No cleansing or waste service on the day(s) following the termination of the existing contract.	 Likelihood  Impact	<b>8</b>	The risk is unchanged.  All bidders confirmed the mobilisation period built into the process is acceptable during the dialogue process.  The process is now in the last stages with final bids due on 3 Sep 18.  Officers are working with the existing contractor and bidders to develop demobilisation and mobilisation plans.  <b>30 Aug 2018</b>	 Likelihood  Impact	<b>8</b>	31-Dec-2018	  Constant

Action no, Title,	Description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-TP-13b Committee Timetable	Relevant committee meetings are included in the project timeline.	This action is completed and will not be reported to Members after the September PH&ES Meeting.	Steve Presland	30-Aug-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.	The Chairman and Deputy Chairman of the relevant committees continue to receive briefings from the Director of the Public Realm and the corporate Commercial Director.	Carolyn Dwyer	30-Aug-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	City Procurement Commercial Director is part of the dialogue team. Procurement process being delivered via Procurement team.	Steve Presland	30-Aug-2018	31-Dec-2018

	the tender process.				
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.	The provision of vehicles and plant was included in the dialogue process and bidders have submitted detailed solutions. A clarification has been issued by the City of London and revised solutions will be included in the final bids (which are due on 3 Sep 18). The target date revised appropriately.  In addition, specific negotiations will take place in relation to all existing vehicles and plant prior to mobilisation of new contract.	Steve Presland	30-Aug-2018	05-Apr-2019
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.	TUPE data was provided at the appropriate stage.  This action is completed and will not be reported to Members after the September PH&ES Meeting.	Jim Graham	30-Aug-2018	01-Jun-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
<b>DBE-TP-07 A major incident, such as flooding or fire, makes Walbrook Wharf unusable as a depot</b> 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 Impact	4	Due to early contract termination the proposed Q1 2018 exercise was cancelled. Business continuity has been assessed through the procurement dialogue for the new contract and an exercise will be conducted with the new contractor Q3 2019. The new contract commences Q2 2019. <b>29 Aug 2018</b>	 Likelihood Impact	4	31-Dec-2018	 Constant

Action no, Title,	Description	Latest Note	Action owner	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 was cancelled. Business continuity has been assessed through the procurement dialogue for the new contract and an exercise will be conducted with the new contractor Q3 2019. The new contract commences Q2 2019.	Steve Presland	29-Aug-2018	30-Sep-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-12 Cleaving & Waste Contract - Commercials  20-Dec-2017 Jim Graham	<p><b>Cause:</b> The existing waste contractor has served notice to terminate the contract and we are therefore retendering the high value cleaving 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><b>Event:</b> The competitive tendering process results in Members having to decide between options (a) and (b) (or some combination of the two).</p> <p><b>Impact:</b> (a) higher costs to the City or (b) a lower level of service to the City (or some combination of the two).</p>	 <p>Likelihood</p> <p>Impact</p>	4	<p>We received five bids, one was withdrawn and the remaining four which were reduced to three prior to dialogue. Dialogue sessions have been completed and final bids are due for submission on 3 Sep 18. The procurement process remains on track. At this stage in the process the likelihood is reduced from likely to unlikely and the risk is now GREEN.</p> <p><b>30 Aug 2018</b></p>	 <p>Likelihood</p> <p>Impact</p>	8	31-Dec-2018	  Decreasing

Action no, Title,	Description	Latest Note	Action owner	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	30-Aug-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	30-Aug-2018	31-Mar-2019