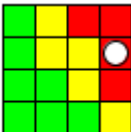
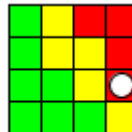



## DBE Corporate & Departmental Risks *(Planning & Transportation Committee)*

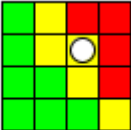
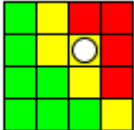

## APPENDIX 2

**Report Author:** Richard Steele

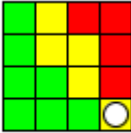
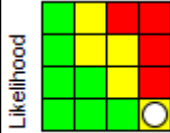

**Generated on:** 27 November 2019

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
<b>CR20 Road Safety</b>  23-Oct-2015 Carolyn Dwyer	<p><b>Cause:</b> 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><b>Event:</b> The City Corporation's statutory duties and the measures outlined in the Transport Strategy are not fully and effectively implemented.</p> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <li>•The number of casualties occurring on the City's streets rises or remains unchanged instead of reducing</li> <li>•The safety and feeling of safety of the City's communities is adversely affected (Corporate Plan Outcome 1)</li> <li>•Physical or mental harm suffered by those involved in collisions and their associates</li> <li>•Economic costs of collisions impact on INDIVIDUALS, City businesses and wider society</li> <li>•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</li> </ul> <p>(revised risk description 27/6/19)</p>	 <p>Likelihood</p> <p>Impact</p>	24	The risk assessment is unchanged, reflecting the probability that a fatality is fairly likely to occur while mitigation measures are being implemented.  <b>19 Nov 2019</b>	 <p>Likelihood</p> <p>Impact</p>	16	31-Mar-2022	  Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR201 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"> <li>• Bank on Safety and All Change at Bank</li> <li>• RDR engineering programme</li> <li>• 15mph traffic limit</li> <li>• Ludgate Circus (lead by TfL)</li> </ul>	TfL will deliver changes to Ludgate Circus in December. Bank on Safety interim scheme expected to begin delivery in January 2020. Continuing to engage with TfL on improvements to the junction at Bevis Marks/Wormwood and Bishopsgate and the Fenchurch Street/Lombard Street/Gracechurch Street Junction. Speed surveys undertaken to inform development of 15mph limit, request to DfT being prepared for submission by March 2020. Feasibility designs completed for improvements to Gresham Street/Old Jewry, Creechurch Lane/Leadenhall/ St and Gresham Street/Wood Street.	Zahur Khan	19-Nov-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"> <li>• Active City Network</li> <li>• User and stakeholder liaison</li> <li>• Schools programme</li> </ul>	Over 150 people are expected to attend an ACN event to engage businesses and workers on how to make the City's streets safer and more attractive places to walk and cycling, including encouraging more considerate cycling. Held 'clocks go back' safe cycling event in partnership with the City of London Police (CoLP) and Thames Tideway, engaging over 1000 people. Running a series of roadside cycle maintenance workshops to teach people how to maintain bikes, including brakes. Developing a winter safe speeds campaign to be delivered in partnership with CoLP.	Zahur Khan	19-Nov-2019	31-Mar-2022

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-PP-01</b> <b>Adverse planning policy context</b>	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	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.  We continue to monitor draft regulations to ensure they reflect or adapted to accord with City Corporation priorities.  The City Corporation has made its case on outstanding matters in the Draft London Plan at the Examination in Public earlier this year. The Inspectors' Panel Report has been published and recommended changes are broadly favourable.  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. There have been no significant changes since though some may follow the General Election.  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. The 2019 Test results have been delayed by Election purdah.	Likelihood  Impact	12	31-Dec-2020	
06-Mar-2015 Paul Beckett				25 Nov 2019				Constant

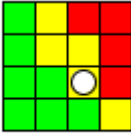
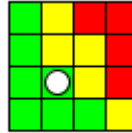

Title,			owner	Date	
DBE-PP-01a Business as usual mitigating controls	(1) Ongoing monitoring of government regulations; (2) continue monitor progress of, and seek to influence, forthcoming legislation	<p>Whilst this risk (at 12) is above appetite (8) to reduce the risk to appetite would require increased 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. The Inspectors' Panel Report has been published and recommended changes are broadly favourable.</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. There have been no significant changes since though some may follow the General Election.</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. The 2019 Test results have been delayed by Election purdah.</p>	Paul Beckett	25-Nov-2019	31-Dec-2020

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-02 Service/Pipe Subways</b> 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	No further update  27 Nov 2019	 Likelihood Impact	8	31-Dec-2019	  Constant

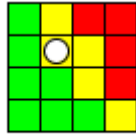
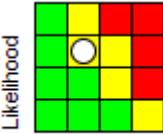

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-02a Business As Usual Mitigations	<p>Confined space working is avoided when possible.</p> <p>All PPE and other equipment required for a SSOW shall be suitable and sufficient for the tasks identified. The following 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 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

[illegible]

Action no, Title,	Action description	Latest Note	Action owner	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.	Business as usual controls have been reviewed and are still appropriate and effective.	Gordon Roy	19-Nov-2019	31-Dec-2020
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.	Following changes in the market and delay in the publication of the Governments review of the recommendations following the publication of the Hackett Report following the Grenfell fire (which may be further delayed as a result of the General Election) it is now our intention to take a revised report regarding the Business Plan to Summit Group in the spring. The due date for this action has been adjusted accordingly.	Gordon Roy	19-Nov-2019	31-Mar-2020

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-PL-06 S106 Controls</b>          30-Nov-2018 Annie Hampson	<b>Cause:</b> Disjointed control mechanisms in relation to processing and monitoring S106 agreements. <b>Event:</b> Failure to implement Audit recommendations. <b>Effect:</b> 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. A S106/CIL report was presented to the October Planning & Transportation Committee and there is now greater oversight by officers and Members. The Chamberlain's team are continuing to keep separate financial records (including on CBIS). <b>19 Nov 2019</b>	 Likelihood Impact	4	31-Mar-2020	          Constant

Action no, Title,	Action description	Latest Note		Action owner	Latest Note Date	Due Date
DBE-PL-06b Ensure sufficient resources are available	Obtain approval for data capture.	A S106/CIL report was presented to the October Planning & Transportation Committee. This resulted in a number of questions including public access/transparency. The Exacom system is now acknowledged as representing the best means of achieving public access/transparency and the method of implementing this is being sought. The due date for this action has been updated accordingly.		Annie Hampson	19-Nov-2019	31-Mar-2020
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.	Due to the mechanisms within the Chamberlain's department whereby expenditure is apportioned to S106 and CIL annually and not in real time the recommendations relating to this in the Internal Audit report are not deliverable at present. This is to be the subject of a discussion between the Chamberlain's finance staff for DBE and Internal Audit to consider if the recommendations need to be reviewed. Once this is complete we will review the need for interaction between Exacom and CBIS and the options for reporting.		Annie Hampson	19-Nov-2019	31-Mar-2020

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-PL-02</b> <b>Not being alive to the needs/requirements of the world business centre and the political environment</b> 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 and the forthcoming General Election.  18 Nov 2019	 Likelihood	6	31-Dec-2020	  Constant

Action no, Title,	Action description	Latest Note	Action owner	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) 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	18-Nov-2019	31-Dec-2020



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-03</b> <b>Major Projects and key programmes not delivered as TfL funding not received</b>  27-Mar-2015 Bruce McVean	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	3	This risk rating and score has not changed. It remains possible that the 2020/21 LIP allocation will be lower than currently budgeted. The impact of this is expected to be minor. Any reduction in LIP funding is likely to be relatively small, particularly in comparison to the overall budget for delivering key projects, including TfL Liveable Neighbourhood funding.  <b>25 Nov 2019</b>	 Likelihood	6	31-Mar-2020	  Constant

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 submitted to TfL. Action dates reset for the 2021/22 submission.	Bruce McVean	26-Nov-2019	29-Nov-2020
DBE-TP-03b TfL meetings	Conduct quarterly meetings with TfL-	Quarterly meetings being held as required.	Bruce McVean	25-Nov-2019	31-Mar-2020
DBE-TP-03c TfL Bid Process	Submit bid(s) in line with TfL timetable (e.g. Liveable Neighbourhoods)	No bid this year due to ongoing delivery of City Cluster Liveable Neighbourhood. Participation in future bidding rounds will be kept under review. Action date reset for next year.	Bruce McVean	26-Nov-2019	30-Nov-2020

