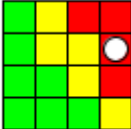
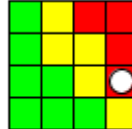



# DBE Corporate & Departmental Risks (Planning & Transportation Committee)

# APPENDIX 2

Report Author: Richard Steele

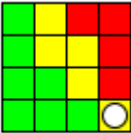
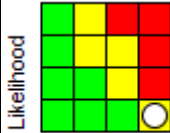

Generated on: 15 May 2020

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>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. The Road Danger Reduction Delivery Plan for 2020/21 - 2022/23 which was due to go to Committee in May 2020 is on hold while the impacts of COVID-19 on budget and future transport need are reviewed. A range of measures to enable the safe return of the City's workforce and support COVID-19 recovery are being developed.	 <p>Likelihood</p> <p>Impact</p>	16	31-Mar-2022	  Constant

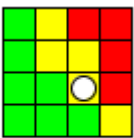
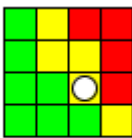

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR20l Road danger reduction and Vision Zero	<p>A programme of projects to reduce road danger on the City's streets including:</p> <ul style="list-style-type: none"> <li>• Bank on Safety and All Change at Bank</li> <li>• RDR engineering programme</li> <li>• 15mph traffic limit</li> <li>• Ludgate Circus (lead by TfL)</li> </ul>	<p>Delivery of Bank on Safety interim scheme is underway and expected to complete July 2020, this has been delayed by a month due to COVID-19 pausing work. Preparing 15mph request to DfT, with target submission date of June 2020. Safety improvements to Gresham Street/Old Jewry/Basinghall Street have been completed and locations for future improvements are being reviewed. Working with TfL to explore temporary interventions to improve safety and enable social distancing on Bishopsgate and Gracechurch Street, this may lead to an accelerated delivery of permanent changes. A range of on-street measures to enable the safe return of the City's workforce and support COVID-19 recovery are being developed and delivery is expected to begin in late May.</p>	Zahur Khan	15-May- 2020	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>	<p>Working with City of London Police on engagement and enforcement to support COVID-19 measures. Developing campaigns to encourage safe and considerate behaviours by all street users while temporary changes and social distancing requirements are in place.</p>	Zahur Khan	15-May- 2020	31-Mar- 2022



Action no, Title,	Action description	Latest Note	Action owner	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	<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>The National Planning Policy Framework (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. A Planning White Paper is due in 2020.</p> <p>The 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 and a further Action Plan will be prepared in 2020. The City Corporation is discussing difference in housing delivery data with the Government. The Government recognises that the data is inaccurate but is not willing to make any retrospective changes. Therefore the presumption in favour of sustainable development applies in the City during 2020, but the data inaccuracies remain a relevant consideration when applying the presumption.</p>	Paul Beckett	11-May-2020	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	Since the 23rd March, all access to the subways has been restricted to emergency cover only. Inspectors on call. If required, social distancing can be adhered to by opening cover and checking docs whilst social distancing.  <b>15 May 2020</b>	 Likelihood Impact	8	31-Dec-2020	  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	19-Feb-2020	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-DS-01</b> <b>The District Surveyor's (Building Control) Division becomes too small to be viable</b>  25-Mar-2015 Gordon Roy	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	The risk is unchanged.  The plans to create of a Local Authority Trading Company are still on hold and will be reviewed in the light of any changes in the Building Control Regulation regimen that arise following the publication of the Hackett Report following the Grenfell fire (expected by late Summer 2020). The City of London is working with MHCLG to ensure that we are a Centre of Excellence in accordance with the anticipated Building Safety Act.  <b>06 May 2020</b>	 Likelihood Impact	8	31-Dec-2020	  Constant

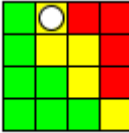
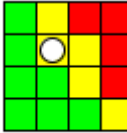

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-DS-01a Business as usual mitigating controls	(1) Continue to provide excellent services [evidenced by customer survey]; (2) Maintain client links with key stakeholders; (3) Continue to explore new income opportunities; (4) Continue to undertake cross-boundary working.	Business as usual controls have been reviewed and are still appropriate and effective.	Gordon Roy	06-May-2020	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.	The plans to create of a Local Authority Trading Company are still on hold and will be reviewed in the light of any changes in the Building Control Regulation regimen that arise following the publication of the Hackett Report following the Grenfell fire (expected by late Summer 2020). The City of London is working with MHCLG to ensure that we are a Centre of Excellence in accordance with the anticipated Building Safety Act.	Gordon Roy	06-May-2020	31-Oct-2020

[illegible]

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.	<p>A S106/CIL report was presented to the October 2019 Planning &amp; Transportation Committee (P&amp;T). This resulted in a number of questions including public access/transparency and further report confirming the S106 &amp; CIL governance process was presented to P&amp;T in December.</p> <p>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. It is anticipated that historic data will be added to Exacom during the summer.</p>	Gwyn Richards	13-May- 2020	30-Sep- 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.	<p>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.</p> <p>This work has been delayed by workstreams required to adjust to the new methods of working with COVID-19 have taken priority. There is a significant possibility that the September 2020 target for this will not be achieved.</p>	Gwyn Richards	13-May- 2020	20-Dec- 2020
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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 <b>Major Projects and key programmes not delivered as TfL funding not received</b>	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	8	The overall score has increased from 6 to 8 as a result of the likelihood increasing from 3 (Possible) to 4 (Likely). This reflects TfL's decision to suspend the annual LIP allocation in response to COVID-19. The length of this suspension is currently unclear, and the allocation may be lower than originally budgeted when reinstated. The impacts of this are currently being reviewed but some projects may be significantly delayed by 6-9 months. The suspension also potentially affects the City Cluster programme which is part funded through TfL Liveable Neighborhoods. As noted in the previous update this programme is more reliant on TfL funding following an unsuccessful capital bid. While potentially significant, the City Cluster programme has been refocused and available funding from developer contributions will allow work to continue. Some of the social distancing and COVID-19 recovery measures in the Cluster (funded separately) may be made permanent. This would result in some savings for the wider programme.	Likelihood  Impact	6	31-Mar- 2021	
27-Mar-2015 Bruce McVean				15 May 2020				Increasin g

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	2021/22 Annual Spending Submission will be considered by Committee and submitted to TfL in November.	Bruce McVean	15-May- 2020	29-Nov- 2020
DBE-TP-03b TfL meetings	Conduct quarterly meetings with TfL-	Regular quarterly meetings with TfL, additional meetings and calls to discuss COVID-19 funding implications are being arranged as necessary.	Bruce McVean	15-May- 2020	31-Mar- 2021
DBE-TP-03c TfL Bid Process	Submit bid(s) in line with TfL timetable (e.g. Liveable Neighbourhoods)	Opportunities to participation in future bidding rounds will be kept under review.	Bruce McVean	15-May- 2020	30-Nov- 2020

