

Department of Markets and Consumer Protection Corporate and Departmental Risks

Report Author: Joanne Hill

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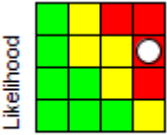
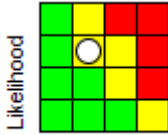



Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR21 Air Quality 07-Oct-2015 Ruth Calderwood	<p>Cause: Levels of air pollution in the City, specifically nitrogen dioxide and fine particles, impact on the health of residents, workers and visitors. The City Corporation has a statutory duty to take action to improve local air quality.</p> <p>Event: The City of London Corporation is insufficiently proactive and resourced, and does not have the right level of competent staff, to be able to fulfil statutory obligations, as a minimum, in order to lower levels of air pollution and reduce the impact of existing air pollution on the health of residents, workers and visitors.</p> <p>Effect: The City Corporation does not fulfil statutory obligations and air pollution remains a problem, impacting on health. Potential for legal action against the Corporation for failure to deliver obligations and protect health. Adverse effect on ability to deliver outcomes 2 and 11 of the Corporate Plan</p>		<p>12</p>	<p>Air pollution has reduced substantially during 2020 which is largely due to the decline in activity associated with the response to the COVID 19 pandemic. This is likely to be temporary, so no change has been made to the risk rating at this stage.</p> <p>During 2021, close attention will be paid to the air quality risk. It is likely to evolve due to: a recent Coroner's ruling that air pollution was a contributory factor in the death of a London child; forthcoming change in statutory obligations and ongoing research into the health effects of air pollution, which includes the changes to World Health Organisation Air Quality Guidelines</p> <p>18 Dec 2020</p>		<p>6</p>	<p>31-Dec-2020</p>	 Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR21 001a Implement policies	Implement the policies contained in the City of London Air Quality Strategy 2015-2020. The strategy contains 10 policy areas with 60 specific actions. An annual report will be produced demonstrating progress with each action.	This action is complete.	Jon Averns	31-May-2018	31-Aug-2016
CR21 001b Review Air Quality	Review and assess air quality in line with statutory obligations of the Environment Act 1995. Submit all relevant statutory reports. Approval of all reports by Defra and the GLA will demonstrate compliance with statutory obligations.	This action is complete.	Jon Averns	31-May-2018	31-Aug-2016
CR21 001d Develop communication strategy.	Develop and implement a robust communications strategy to ensure people have sufficient information to reduce their exposure on days of 'high' air pollution.	This action is complete.	Jon Averns	31-May-2018	31-Mar-2017
CR21 001e Develop plan	Develop and implement a plan for reducing the impact of diesel vehicles on air pollution in the Square Mile. This is to complement the work being undertaken by the Mayor of London to reduce air pollution in the central zone through the implementation of the Ultra Low Emission Zone.	This action is complete.	Jon Averns	14-Jan-2020	31-Dec-2019
CR21 001f Investigate options to reduce emissions.	Investigate options to reduce emissions from combustion plant in the City using local legislation.	This action is complete.	Jon Averns	14-Jan-2020	30-Sep-2019
CR21 001g Renew AQ Strategy	Renew the City of London Air Quality Strategy	This action is complete.	Jon Averns	14-Jan-2020	29-Mar-2019
CR21 001h Publish annual report of air quality data	Develop baseline model for compliance assessment and publish annual report of air quality data	Baseline model for compliance assessment has been developed. Area of the Square Mile that met the nitrogen dioxide targets in 2019 was 67%, up from 30% in 2018	Ruth Calderwood	15-Dec-2020	31-Dec-2025
CR21 001i Compliant vehicles	100% of vehicles owned or leased by the CoL are electric or hybrid by 2025	There are 7 electric cars, 4 electric vans and 1 electric minibus in the Corporate Fleet	Ruth Calderwood	07-Dec-2020	31-Dec-2025

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CR21 001j Develop Private Members Bill	Develop and support an Emission Reduction Private Members Bill for London local authorities	The contents of the Emission Reduction (Local Authorities in London) Bill will be used to influence the Environment Bill as it passes through the House of Lords, early 2021. A submission was made to the Public Bill scrutiny committee for the Environment Bill	Ruth Calderwood	15-Dec-2020	31-Dec-2021
CR21 001k Engine idling programme	Manage pan London idling vehicle engine programme	Arrangements underway for London wide anti engine idling campaign. Action days have not been possible during 2020 due to the impact of the COVID 19 pandemic	Ruth Calderwood	01-Dec-2020	20-Mar-2020
CR211 Compliance with NO2 target	Assess percentage compliance rate with NO2 target	67% compliance in 2019	Ruth Calderwood	07-Dec-2020	31-Dec-2024

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MCP-PHPP 001 Brexit - Impact on Port Health and Animal Health 08-Nov-2016 Jon Averns	<p>Cause: The outcome of Brexit negotiations does not secure continuity of contracts, access to talent, ongoing grant funding and/or security of supply chains.</p> <p>Event: The City Corporation services fail to prepare appropriately for the end of the Brexit transition period on 31 December 2020. Uncertainty around the potential outcomes until it is too late to react.</p> <p>Effect: There are a range of potential impacts. The City Corporation's services are disrupted due to increases/changes in trade and as supply chains and contracts are reassessed, potentially increasing cost and reprioritisation of resources. Increased risk to public, animal and environmental health due to legislative changes. Increased risk and cost to consumers. Inadequate IT support if current EU software is replaced by bespoke UK systems that do not have sufficient functionality. Reduction in income if charging regimes are not established as part of Brexit. Potential for increased workload depending on whether agreement is reached from 'no deal' (check everything), through to no checks on EU products based and on risk via a full reciprocal arrangement (status quo).</p>	 <p>Likelihood</p> <p>Impact</p>	24	<p>A trade deal was reached on 24 December 2020 relating to tariffs and quotas. However, border controls will still need to be undertaken on live animals and high risk food and feed products. Although some implementation dates have been pushed back to July 2021 (and these will be phased in), some changes will need to be made with effect from January 2021.</p> <p>04 Jan 2021</p>	 <p>Likelihood</p> <p>Impact</p>	6	30-Jun-2021	 Increasing

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
MCP-PHPP 001a Liaise with Government departments and agencies.	Contribute to UK Government Listening mode.	This action is complete.	Jon Averns	09-Oct-2019	31-Dec-2020
MCP-PHPP 001b Relevant legislation	Commission an independent report on the potential implications of the UK's exit from the EU on Animal Health and Port Health	This action is complete.	Jon Averns	09-Oct-2019	30-Sep-2017

Appendix 3a

MCP-PHPP-001c Liaison with Remembrancer and other CoL depts.	Engage with stakeholders to assist in the identification of impacts and possible mitigations. Ensure Remembrancer and CoL depts are fully aware of the implications of Brexit on PH and PP and that they lobby accordingly.	A letter to Ministers was prepared and sent before Christmas outlining the issues. A parliamentary question was also raised: although unsuccessful on its first round, the question will go to ballot.	Jon Averns	04-Jan-2021	31-Mar-2021
MCP-PHPP-001d Respond promptly to developments	Respond promptly to policy decisions from the UK Government and the outcome of negotiations.	The City Corporation continues to liaise with government departments and raise questions to enable us to prepare for the outcome of policy decisions and negotiations.	Jon Averns	04-Jan-2021	31-Mar-2021
MCP-PHPP-001e Develop Measures to mitigate increased throughput	Develop Measures to mitigate the potential increase in throughput at the ports and airports	This action is complete.	Jon Averns	11-Dec-2020	31-Oct-2019
MCP-PHPP-001f Develop measures to mitigate the potential loss of qualified staff.	Develop measures to mitigate the potential loss of qualified staff of which there is a scarcity in the UK employment market.	This action is complete.	Jon Averns	11-Dec-2020	31-Oct-2019

Department of Markets and Consumer Protection

COVID-19 Risks (excluding completed actions)

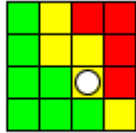
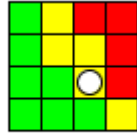

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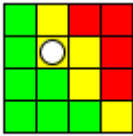
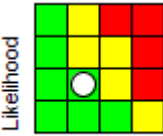

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CVD19 SGPS 19 City Mortality Planning Group (M&CP) 09-Apr-2020 Rachel Pye	<p>Cause: The spread of COVID 19 is resulting in a large number of excess deaths over the time of the epidemic curve lasting some months. Critical services in the death management process must be enhanced and maintained during this period at a time when staff resource is vulnerable.</p> <p>Event: The death management process including all statutory responsibilities must be working efficiently with no bottlenecks to ensure the dignity of the deceased is maintained as is the confidence of the bereaved. This includes Coronial processes, mortuary, body transportation and body storage.</p> <p>Effect: The critical services being unable to cope with the numbers of deceased particularly if staff numbers are compromised through infection or bereavement</p>	Likelihood Impact	2	The City Mortality Planning Group has brought together a range of stakeholders involved in the death management process. This is to assess the impact and consequences of the pandemic on the ability of the City of London to deliver essential services relating to the death management process, and to implement subsequent contingency options where necessary. The risk score remains low to reflect the current position. This risk continues to be closely monitored. A Coronial Leads meeting is scheduled to take place on 8 January 2021 and the risk will be reassessed when feedback is received from the London Mortality Planning Group. 04 Jan 2021	Likelihood Impact	1	31-Dec-2021	 Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CVD19 SGPS 19a Assess the impact and consequences of the pandemic	The City Mortality Planning Group has brought together a range of stakeholders involved in the death management process. This is to assess the impact and consequences of the pandemic on the ability of the City of London to deliver essential services relating to the death management process, and to implement subsequent contingency options where necessary	The risk level remains low as the group is ensuring a proportionate and scalable plan is in place at the local level and support for the regional level response lead by London's Mortality Planning Group (WCC) to the management of deaths due to the impact of Covid-19.	Jon Avern	04-Jan-2021	31-Mar-2021

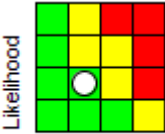
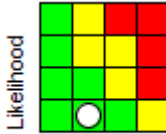

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<p>CVD19 SGPS 20 HARC Animal Welfare (M&CP)</p> <p>09-Apr-2020 Robert Quest</p>	<p>Cause: The spread of COVID-19 continues to escalate affecting key staff and businesses. Event: The reduction in airline operations and the loss of key staff. Failure to deliver statutory and critical services at the HARC. Impact: Loss of business results in a significant loss of income. Because of the specialist nature of some of the services we may be unable to fulfil our statutory duties leading to financial and reputational damage to the City. Staff shortages could also have an impact on the welfare of resident animals. In addition to loss of income through reduced throughput, there is a possibility of some clearing agents going out of business. A bad debt figure of £150k has been made for 2019-2020 budget.</p>	<p>Likelihood</p>  <p>Impact</p>	<p>8</p>	<p>Critical services are at significant risk from the loss of specialist personnel. Current mitigations are reducing the risk of not being able to maintain the services but as the COVID -19 outbreak increases its spread, the impacts on each of the critical services will increase. The cancellation of a large number of flights to Heathrow has mitigated the issue of staff shortages. However, it is likely that the normal trade will change as more cargo only flights arrive, which will carry large numbers of animals, but less frequently. Statutory enforcement of the regulations can be mitigated by using other enforcement officers from within the department, once authorised current trade patterns are encouraging, back to pre COVID-19 levels and therefore the risk score has been reduced to the target level but this is a fluid situation and can change at any time. Staff availability is being monitored closely as the numbers of cases in the region continues to increase.</p> <p>04 Jan 2021</p>	<p>Likelihood</p>  <p>Impact</p>	<p>8</p>	<p>31-Mar-2021</p>	<p></p> <p>Constant</p>

Appendix 3b

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CVD19 SGPS 20d Financial Management	Review income and trade	We will continue to monitor income and trade, and are currently awaiting details of the December figures.	Robert Quest	04-Jan-2021	31-Mar-2021
CVD19 SGPS 20e Threat to business	Possible competition for business. Liaise with Heathrow Airport and central competent bodies to ensure regulation is evenly applied.	A shipping agent is applying to set up a BCP for dogs and cats. The company was looking into this pre-Covid, but the recent increase in demand has seen them push forward with their plans. In the short-term there is sufficient trade for two BCP's but in the longer term this could be a considerable threat. The service is reviewing the possibilities and is developing plans to provide increased space HARC which will. allow greater throughput	Robert Quest	09-Dec-2020	31-Mar-2021

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
CVD19 SGPS 21 Port Health Imported Food and Feed (M&CP) 09-Apr-2020 Peter Markwell	<p>Cause: The spread of COVID 19 causes loss of critical staff attendance.</p> <p>Event: The London Port Health Authority will struggle to maintain a minimum number of staff at inspection facilities that are required to carry out regulatory enforcement checks on food and feed required by DEFRA and the FSA amongst others. There will also be reduced throughput of imports.</p> <p>Effects: This will lead to delays and checks carried out by supplementary staff increase the risk of non- conforming import consignments of food and feed coming in and reduces our intelligence gathering ability. Reduced throughput will lead to loss of income to the City.</p>	Likelihood 	6	After reviewing Port Health finances, we have increased the risk in relation to income. Although trade is similar to last year and we had a strong Jan to April, the figures for April to June were 20% down and this is further compounded by an increased income budget. Throughput has stabilised over a number of months and is now back to pre-COVID levels. Also there has been an increase in products of non-animal origin and organics this year. This is under constant review and we will continue to monitor situation. 04 Jan 2021	Likelihood 	4	01-Jul-2021	 Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CVD19 SGPS 21b Focus resources	Focus resources on imported food and feed controls.	With effect from 1 January 2021, initial work has commenced on EU trade. Staff availability is being monitored closely as the number of reported cases in the region continues to increase.	Peter Markwell	04-Jan-2021	31-Mar-2021
CVD19 SGPS 21c Discuss and implement procedures	Discuss and implement procedures relating to copy and non-signed documents. In conjunction with Central Competent bodies.	The easements relating to remote document checks and copy and electronic notification, have been extended until 31 March 2021. There is also a push to make these arrangements permanent as it is not considered that they present a risk to public or animal health.	Peter Markwell	04-Jan-2021	31-Mar-2021
CVD19 SGPS 21d Mandatory checks	Discuss undertaking less than the mandatory checks with the Central Competent bodies. Based on risk.	In light of the increase in numbers of reported cases in the region, and the potential impact on human resources, staff availability is being closely monitored. We will re-institute discussions with Defra should staffing levels fall to a level where we are unable to undertake full border checks.	Peter Markwell	04-Jan-2021	31-Mar-2021

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
CVD19 SGPS 22 Port Health Infectious disease control (M&CP) 09-Apr-2020 Peter Markwell	Cause: The spread of COVID 19 on a vessel prevents operation of the vessel. Event: Cruise ship operations disrupted and vessels unable to leave port. Effect: Health & welfare of staff on vessels adversely affected.	 Likelihood Impact	4	Port Health staff continue to monitor vessels that remain in the port of Tilbury with our Marine and Public Health colleagues. Other public health issues are also being dealt with during the vessels' time within port. This continues to be kept under constant review. 04 Jan 2021	 Likelihood Impact	2	31-Dec-2021	 Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CVD19 SGPS 22c Infectious disease control.	Daily contact with vessels laid up at Tilbury and within the LPHA area regarding infectious disease control	The Port Health Team liaises with PHE (NE London and Thurrock) and cruise lines on cruise ship crew welfare.	Peter Markwell	04-Jan-2021	26-Feb-2021
CVD19 SGPS 22e Contact PHE	Contact with Public Health England to ensure standard advice procedures and comms.	A Standard Operating Procedure, developed with Public Health England for Hackney and the City, is complete. Port Health sits outside most of this but has procedures in place with NE PHE and Thurrock PHE. This action is complete but kept under review.	Peter Markwell	04-Jan-2021	26-Feb-2021

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
CVD19 SGPS 34 HARC Emerging recovery (M&CP) 01-Jun-2020 Robert Quest	Cause: Rise in number of arrivals at Heathrow requires increased staff, so a greater risk of not being able to maintain social distancing. This is compounded by the size of the accommodation and lack of available space. Event: A whole shift having to self-isolate should one person develop COVID-19 symptoms. Impact: Failure to deliver service leading to reputational damage to the City. Full cost recovery not being achieved due to large numbers of animals in a consignment.		12	An 'OK to forward' procedure has been put in place to even out consignments and help the service to be more efficient. We are aware that there are still many pets waiting to be exported to the UK. A number of employees are coming to the end of their fixed term contracts. The HARC continues to work with HR to extend contracts. 04 Jan 2021		8	30-Jun-2021	 Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CVD19 SGPS 34d Extend available space for staff.	Extend the amount of accommodation and available space for staff to work.	The service is reviewing the possibilities and developing plans to provide increased space at the HARC which will allow greater throughput. There was a visit to site by a contractor on 10 November 2020 to scope the necessary work: feedback from the contractor is still awaited.	Robert Quest	04-Jan-2021	31-Mar-2021