

Department of Markets and Consumer Protection

Corporate and Departmental Risks

Report Author: Joanne Hill

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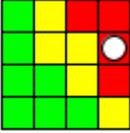
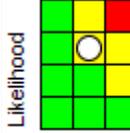
Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date/Risk Approach	Current Risk score change indicator
CR21 Air Quality 07-Oct-2015 Ruth Calderwood	<p>Cause: Levels of air pollution 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>	Likelihood Impact	12	The risk remains unchanged 23 Apr 2021	Likelihood Impact	6	31-Dec-2024 Reduce	 Constant

Appendix 3a

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 Aaverns	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 Aaverns	31-May-2018	31-Aug-2016
CR21 001d Develop communication s 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 Aaverns	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 Aaverns	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 Aaverns	14-Jan-2020	30-Sep-2019
CR21 001g Renew AQ Strategy	Renew the City of London Air Quality Strategy	This action is complete.	Jon Aaverns	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	The assessment for 2020 will be undertaken by summer 2021 once the data for 2020 has been fully ratified	Ruth Calderwood	23-Apr-2021	31-Dec-2025
CR21 001i Compliant vehicles	100% of vehicles owned or leased by the CoL are electric or hybrid by 2025	5 all electric refuse vehicles have been purchased for the refuse collection contract	Ruth Calderwood	23-Apr-2021	31-Dec-2025

Appendix 3a

CR21 001j Develop Private Members Bill	Develop and support an Emission Reduction Private Members Bill for London local authorities	Still awaiting second reading in the House of Lords	Ruth Calderwood	23-Apr-2021	31-Dec-2021
CR21 001k Engine idling programme	Manage pan London idling vehicle engine programme	London wide advertising campaign undertaken Feb / March 2021	Ruth Calderwood	23-Apr-2021	20-Mar-2020
CR211 Compliance with NO2 target	Assess percentage compliance rate with NO2 target	% compliance will be available late Spring	Ruth Calderwood	23-Apr-2021	31-Dec-2024

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/Risk Approach	Current Risk score change indicator
MCP-PHPP 001 Brexit - Impact on Port Health and Animal Health 08-Nov-2016 Jon Aaverns	<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>On 11 March 2021, the government announced that the implementation of new border checks would be delayed for another six months, as follows:</p> <ul style="list-style-type: none"> • Stage 2 (documentary checks) will now commence in October 2021. • Stage 3 (full physical checks) will now commence in January 2022. • Live animal checks will commence from March 2022. <p>Port Health is in discussions with government departments regarding the details of stages 2 and 3, and this includes funding for 2021/22 and 2022/23.</p> <p>The current risk rating continues to be 'red' due to remaining uncertainties.</p> <p>04 May 2021</p>	 <p>Likelihood</p> <p>Impact</p>	6	01-Jan-2022	
							Reduce	

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 Aaverns	09-Oct-2019	31-Dec-2020
MCP-PHPP	Commission an independent report on the potential	This action is complete.	Jon Aaverns	09-Oct-2019	30-Sep-

Appendix 3a

001b Relevant legislation	implications of the UK's exit from the EU on Animal Health and Port Health				2017
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.	Our previous actions have been completed. We are awaiting more details about the next implementation stages before considering further lobbying.	Jon Aaverns	04-May-2021	01-Jan-2022
MCP-PHPP-001d Respond promptly to developments	Respond promptly to policy decisions from the UK Government and the outcome of negotiations.	We are awaiting more details about the next implementation stages before considering further lobbying.	Jon Aaverns	04-May-2021	01-Jan-2022
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 Aaverns	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 Aaverns	11-Dec-2020	31-Oct-2019

Department of Markets and Consumer Protection

COVID-19 Risks (excluding completed actions)

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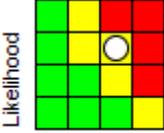
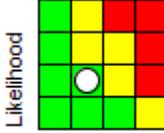
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<p>CVD19 SGPS 19 City Mortality Planning Group (M&CP)</p>	<p>Cause: The spread of COVID 19 is resulting in a large number of excess deaths over the time of the epidemic curve lasting some months. Critical services in the death management process must 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>	<p>Likelihood</p> <p>Impact</p>	<p>4</p>	<p>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.</p> <p>London is no longer in an excess death scenario with deaths now back within the 5 year average. The SPI-M-O reasonable worst case planning assumptions at present are forecasting London to remain within the 5 year average for the coming months.</p> <p>The London Mortality Management Group is making arrangements to stand down from May 2021 at which time this risk will be closed.</p>	<p>Likelihood</p> <p>Impact</p>	<p>1</p>	<p>01-Jul-2021</p>	

Appendix 3b

09-Apr-2020 Rachel Pye				The risk score has been reduced to reflect the current situation. 04 May 2021				Constant
							Reduce	

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	London is no longer in an excess death scenario with deaths now back within the 5 year average. The SPI-M-O reasonable worst case planning assumptions at present are forecasting London to remain within the 5 year average for the coming months. The London Mortality Management Group is making arrangements to stand down from May 2021, at which time this action will be closed.	Jon Averbs	04-May-2021	01-Jul-2021

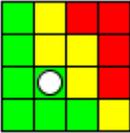
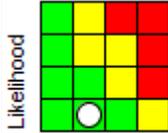
Appendix 3b

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/Risk Approach	Current Risk score change indicator
CVD19 SGPS 20 HARC Animal Welfare (M&CP) 09-Apr-2020 Robert Quest	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.	Likelihood  Impact	12	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. Staff availability is being monitored closely. The lockdowns throughout the year impacted trade. However, the budget position at the end of 2020/21 was satisfactory. 04 May 2021	Likelihood  Impact	4	30-Sep-2021	 Constant
							Reduce	

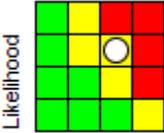
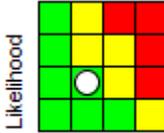
Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CVD19 SGPS 20d Financial Management	Review income and trade	The lockdowns throughout the year impacted trade. However, the budget position at the end of 2020/21 was satisfactory.	Robert Quest	04-May-2021	30-Sep-2021

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/Risk Approach	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>	<p>Likelihood</p> <p>Impact</p>	6	<p>Throughput has stabilised over a number of months and is now back to pre-COVID levels: trade in early 2021 remained high. This is under constant review and we will continue to monitor the situation.</p> <p>We are continuously monitoring staff availability.</p> <p>Lateral flow testing for staff is now available on site.</p> <p>04 May 2021</p>	<p>Likelihood</p> <p>Impact</p>	4	01-Jul-2021	<p>Constant</p>
							Reduce	

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.	Staff availability is being monitored closely. The service continues to focus on imported food and feed.	Peter Markwell	04-May-2021	01-Jul-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.	Port Health is in discussions with government departments this matter, which is tied up with EU Transition discussions. Appropriate procedures will be implemented as the situation becomes clearer.	Peter Markwell	04-May-2021	01-Jul-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/Risk Approach	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. The target date has been moved to September 2021 which is when everyone is due to have been offered the COVID-19 vaccination. 04 May 2021	Likelihood  Impact	2	30-Sep-2021	Constant
							Reduce	

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-May-2021	30-Sep-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-May-2021	30-Sep-2021

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CVD19 SGPS 34 HARC Emerging recovery (M&CP) 01-Jun-2020 Robert Quest	<p>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.</p> <p>Event: A whole shift having to self-isolate should one person develop COVID-19 symptoms.</p> <p>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.</p>	 <p>Likelihood</p> <p>Impact</p>	12	<p>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.</p> <p>The Service continues to look at the potential for using other areas to provide greater capacity.</p> <p>Lateral flow testing for staff is now available on site.</p> <p>04 May 2021</p>	 <p>Likelihood</p> <p>Impact</p>	4	30-Sep-2021	 Constant
							Reduce	

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.	<p>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.</p> <p>Works inside the building are now complete. The Service continues to look at the potential for using other areas to provide greater capacity.</p> <p>Lateral flow testing for staff is now available on site.</p>	Robert Quest	04-May-2021	30-Sep-2021