

DBE Committee Report (P and T only) Corporate & Departmental)

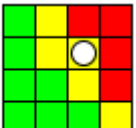
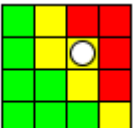
Generated: 17 August 2021





Rows are sorted by Risk Score

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	Flight path
CR20 Road Safety 23-Oct-2015 Ian Hughes	<p>Cause: 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>Event: The City Corporation's statutory duties and the measures outlined in the Transport Strategy are not fully and effectively implemented.</p> <p>Effect:</p> <ul style="list-style-type: none"> •The number of casualties occurring on the City's streets rises or remains unchanged instead of reducing •The safety and feeling of safety of the City's communities is adversely affected (Corporate Plan Outcome 1) •Physical or mental harm suffered by those involved in collisions and their associates •Economic costs of collisions impact on individuals, City businesses and wider society •The City Corporation's ability to improve road safety is adversely impacted with businesses and/or the public by virtue of loss of credibility and/or authority 	 Likelihood	 Impact	<p>24</p> <p>The risk assessment is unchanged, reflecting the probability that a fatality is fairly likely to occur while mitigation measures are being implemented. Mitigating measures include: Continuing to progress All Change at Bank, with a report on the consultation due to go to Committees in September. Work on the Pedestrian Priority programme continues with the first tranche of experimental schemes to retain temporary Covid-19 measures due to go to Committee in October. Proposals for Healthy Streets minor schemes on Golden Lane have been developed and alternative funding sources are being investigated following confirmation that TfL LIP funding will not be available this calendar year. Continuing to promote cycle skills training, both online and in-person.</p> <p>03 Aug 2021</p>	 Likelihood	<p>16</p>	31-Mar-2022	
							Reduce	

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR20l Road danger reduction and Vision Zero	A programme of projects to reduce road danger on the City's streets including: <ul style="list-style-type: none"> • Bank on Safety and All Change at Bank • RDR engineering programme • 15mph traffic limit • Ludgate Circus (lead by TfL) 	Charterhouse Square School Street launched in late April. Public consultation on All Change at Bank has been completed and feedback is currently being reviewed. Recommendations of next steps are expected to go to Committee in September. Improvements to Creechurch Lane (by Leadenhall Street) and Gresham Street (by Wood Street) have been completed. Subject to Court of Common Council approval a new programme to deliver pedestrian priority and pavement widening has been established. The first phase of this programme will consist of reviewing and potentially retaining temporary Covid-19 transport measures. Locations for future Healthy Streets minor schemes have been identified in preparation for delivery once TfL funding is confirmed.	Ian Hughes	14-Jun-2021	31-Mar-2022
CR20m Road Danger Reduction campaigns and engagement	Campaigns and engagement activities to encourage safe behaviours and promote safe vehicles, including: <ul style="list-style-type: none"> • Active City Network • User and stakeholder liaison • Schools programme 	Opportunities for campaigns, training and engagement have been limited due to ingoing Covid-19 restrictions and impacts. In person cycle training is currently suspended but there has been some interest in free online cycle skills training, with 62 people signing up as of the end of April. We are planning activity for the coming months including events and security cycle marking with City of London Police. City of London School for Girls and The Aldgate School received cycle training in May.	Ian Hughes	14-Jun-2021	31-Mar-2022

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DBE-PP-01 Adverse planning policy context 06-Mar-2015 Paul Beckett	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	12	Additional risk from national changes to permitted development rights have been mitigated by the preparation of a replacement Article 4 Direction finalised July 2021, to be implemented August 2022. Risk to City Plan preparation timetable due the Mayor of London's consultation response will be mitigated by liaison with GLA to agree suitable refinements to the Plan. 17 Aug 2021	 Likelihood	12	31-Dec-2021 Accept	

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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	City Corporation submitted an objection in Jan 2021 to the Government's consultation on its proposed changes to permitted development rights. We are currently liaising with neighbouring boroughs regarding further representations we might make.	Paul Beckett	08-Mar-2021	31-Dec-2021

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DBE-02 Service/Pipe Subways 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 17 Aug 2021	 Likelihood Impact	8 31-Mar-2022 Accept	

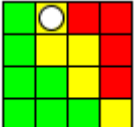
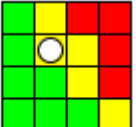

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DBE-02a Business As Usual Mitigations	<p>Confined space working is avoided when possible.</p> <p>All PPE and other equipment required for a SSOW shall be suitable and sufficient for the tasks identified. The following PPE and equipment shall be provided, 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>	All business as usual mitigations have been reviewed, they are very much current and continue to work effectively.	Giles Radford	19-Feb-2020	31-Mar-2022

	<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>				
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DBE-DS-01 The District Surveyor's (Building Control) Division becomes too small to be viable 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	<p>The risk has been reviewed and the scoring is unchanged.</p> <p>The plans to create of a Local Authority Trading Company are still on hold and are being reviewed in the light of expected changes in the Building Control Regulation regimen that arise following the publication of the Hackett Report (on the Grenfell fire) and the Building Safety Bill. The proposed new Act is anticipated to recieve Royal Assent by April 2022. In parallel the City of London is working with other Boroughs under the London District Surveyors Association to deliver the anticipated new work under the Building Safety Act across London.</p> <p>An additional strand to the BAU control has been added. Involvement with developers as part of the planning application process and appears to be working well</p>	 Likelihood Impact	8	31-Dec-2021	
							Accept	

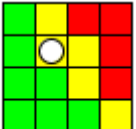
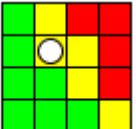
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DBE-DS-01a Business as usual mitigating controls	(1) Continue to provide excellent services [evidenced by customer survey]; (2) Maintain client links with key stakeholders; (3) Continue to explore new income opportunities; (4) Continue to undertake cross-boundary working. (5) Involvement with developers as part of the planning application process.	Business as usual controls have been reviewed and are suitable.	Gordon Roy	08-Mar-2021	31-Dec-2021
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 in due course.	Awaiting for government guidance. Due summer 2021.	Gordon Roy	08-Mar-2021	30-Apr-2022

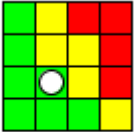
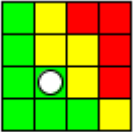

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DBE-TP-03 Major Projects and key programmes not delivered as TfL funding not received 27-Mar-2015 Bruce McVean	Cause: City of London fail to bid at the appropriate time or City of London lose credibility with TfL or Reduced funding from TfL Event: TfL funding for Local Investment Plan ceased or significantly reduced Impact: Unable to deliver highway investment & improvement programmes	 Likelihood	8	The likelihood has increased from 3 (possible) to 4 (likely) this reflects recent confirmation that very limited funding will be received this year from TfL. Some projects or programmes will be paused or delayed as a result, but all major projects are expected to be able to progress. Alternative funding sources, including s106, are being explored for some projects and programmes. 03 Aug 2021	 Likelihood	6	30-Nov-2021 Reduce	

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DBE-TP-03a Annual Spending Submission	Send Annual Spending Submission to TfL	Annual Spending Submission will be submitted once TfL have issued revised guidance for 2022/22. This is likely to be in Q3 2021/22.	Bruce McVean	03-Aug-2021	30-Nov-2021
DBE-TP-03b TfL meetings	Conduct quarterly meetings with TfL-	Regular meetings not currently required due to limited funding provided this year.	Bruce McVean	03-Aug-2021	31-Mar-2022
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. Opportunities are expected to be limited 2021/22.	Bruce McVean	24-Nov-2020	30-Nov-2021

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DBE-PL-02 Not being alive to the needs/requirements of the world business centre and the political environment 23-Mar-2015 Gwyn Richards	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 Impact	6	The risk has been reviewed and although there continues to be a degree of uncertainty regarding the wider economic situation, post-Brexit and COVID-19 the likelihood and impact are largely unchanged even if there are tentative signs of recovery. The easing of COVID-19 restrictions is expected to be better understood by September and this is under regular review. The continuing changes in Planning legislation introduce further uncertainty especially further recent proposals – this is being closely monitored and may result in an increase in the risk score. Given the level of uncertainty regular meetings with stakeholders are continuing at an increased frequency in particular to better understand the emerging economic trends and signs of recovery. 13 Aug 2021	 Likelihood Impact	6	31-Dec-2021	
								Accept

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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. (4) Co-ordination with the Recovery Taskforce	The Business As Usual controls have been reviewed in the light of COVID-19 and we continue to work closely, meeting remotely, with the development industry, the City Property Association and hold regular meetings with City agents and co-ordinate with the Recovery Taskforce. MIPIM 2020 was cancelled and MIPIM 2021 has been postponed until June 2021 in Cannes. The implications of legislative changes (both those that have already been introduced and those which are the subject of the White Paper) have been assessed and staff have been briefed. The City participated, through the Planning Policy Team, in the Government's consultation. The (non-MIPIM) controls, which have been implemented, are appropriate and effective.	Gwyn Richards	05-Mar-2021	31-Dec-2021

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DBE-PL-06 S106 Controls 30-Nov-2018 Gwyn Richards	Cause: Disjointed control mechanisms in relation to processing and monitoring S106 agreements. Event: Failure to implement Audit recommendations. Effect: Loss of funds; non-compliance with agreements and reporting; potential reputational damage	Likelihood  Impact	4	Since the Chamberlain's department apportion costs to S106 and CIL annually and not in real time there is to be a discussion between the Chamberlain's finance staff for DBE and Internal Audit to consider if the recommendations need to be reviewed. Discussions have taken place with Chamberlain's but due to competing pressures this matter has not been finalised. The Chamberlain's team are continuing to keep separate financial records (including on CBIS) and there is regular contact with the various services to ensure there are spending plans for all S106 funds. We will be reviewing the need for interaction between Exacom and CBIS and the options for reporting. 14 Jun 2021	Likelihood  Impact	4	31-Mar-2022 Accept	

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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. Due to competing pressures this discussion has not yet taken place, but discussions have taken place with Chamberlain's which are ongoing. Once this is complete we will review the need for interaction between Exacom and CBIS and the options for reporting.	Gwyn Richards	12-Mar-2021	31-Mar-2022