

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

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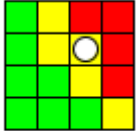
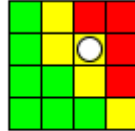


Rows are sorted by Risk Score

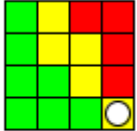
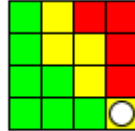
Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date/Risk Approach	Flight path
DBE-09 (Formerly CR20) Road Safety 23-Oct-2015 Ian Hughes;	<p>Cause: Limited space on the City’s medieval 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 	Likelihood Impact	16	The risk assessment remains at 16 (Impact 8 - Extreme, Likelihood 2 – Unlikely). This reflects the current lower number of people using the City’s streets and associated reduction in the likelihood of a fatal collision occurring. This will be kept under review as our understanding of post-pandemic travel patterns continues to develop. Mitigating actions include continuing to progress All Change at Bank and Pedestrian Priority Programme. We also continue to provide cycle training and support the CoLP’s education, engagement and enforcement activities. Analysis of the location, pattern and nature of collisions to identify future projects and campaigns and engagement to reduce collisions and casualties has been commissioned and is expected to be completed by March 2022. 03 Feb 2022	Likelihood Impact	16	Accept	

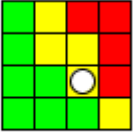
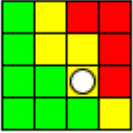

Bruce McVean	businesses and/or the public by virtue of loss of credibility and/or authority						
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Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
DBE09l (formally CR20) Road danger reduction and Vision Zero	<p>A programme of projects to reduce road danger on the City's streets including:</p> <ul style="list-style-type: none"> • Bank on Safety and All Change at Bank • RDR engineering programme • 15mph traffic limit • Ludgate Circus (lead by TfL) 	Continuing to progress All Change at Bank, with works expected to start in April, and Pedestrian Priority Programme – ETOs are now in place for Phase 1 schemes. A revised capital bid for St Paul's Gyrotory has been submitted. Analysis of the location, pattern and nature of collisions to identify future projects to reduce collisions and casualties has been commissioned and is expected to be completed by March 2022.	Ian Hughes	03-Feb-2022	31-Mar-2022
DBE09m (formally CR20) 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"> • Active City Network • User and stakeholder liaison • Schools programme 	Opportunities for campaigns, training and engagement continue to be limited due to lack of TfL grant funding this financial year. A new programme of education and engagement activities, to be launched in March 2022, is being developed by the Road Danger Reduction Partnership. In the meantime, we continue to provide cycle training and support the CoLP's education, engagement and enforcement activities and TfL's engagement and campaigns. Analysis of the location, pattern and nature of collisions to identify future campaign and engagement activities to reduce collisions and casualties has been commissioned and is expected to be completed by March 2022.	Ian Hughes	03-Feb-2022	31-Mar-2022

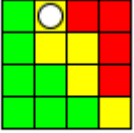
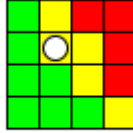

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DBE-PP-01 Adverse planning policy context 06-Mar-2015	Cause: A desire in Government and others to change the existing planning system in a way which may be detrimental to the City Event: Changes detrimental to the City are implemented Impact: Adverse changes cannot be prevented using local planning control	Likelihood  Impact	12	The risk is considered to be unchanged. Permitted development rights removal will take effect in August 2022, subject to no intervention by Government before then. The target date has been changed to Dec 2022. 02 Feb 2022	Likelihood  Impact	12	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	Permitted development rights removal will take effect in August 2022, subject to no intervention by Government before then.		18-Nov-2021	31-Dec-2022

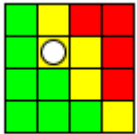
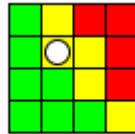
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DBE-02 Service/Pipe Subways 02-Dec-2015 Ian Hughes; Giles Radford	Cause: Provide safe access and egress for utilities and maintenance functions, whilst having operatives entering the confined space to undertake checks. Event: A lack of Oxygen, poisonous 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 02 Feb 2022	Likelihood  Impact	8	Accept	

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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 receive Royal Assent by April 2022, with expected implementation for Building Control around April 2023. 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 Bill across London, which is expected to commence April 2023.</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> <p>02 Feb 2022</p>	 Likelihood Impact	8	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	02-Feb-2022	31-Dec-2022
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

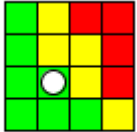
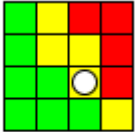

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DBE-TP-03 Major Projects and key programmes not delivered as TfL funding not received 27-Mar-2015 Bruce McVean	Cause: City of London fail to bid at the appropriate time or City of London lose credibility with TfL or Reduced funding from TfL Event: TfL funding for Local Investment Plan ceased or significantly reduced Impact: Unable to deliver highway investment & improvement programmes	 Likelihood	8	Assessment is unchanged. This reflects ongoing uncertainty around TfL funding and the unsuccessful 2022/23 capital bid to mitigate potential lack of funding Healthy Streets Minor Schemes programme. If TfL funding is not available for this programme then it is likely we will receive stakeholder complaints and will be less able to deliver localised accessibility and road danger reduction improvements. Lack of TfL funding next year will also impact other key programmes and activities such as the Transport Strategy review and road danger reduction campaigns. 23 Nov 2021	 Likelihood	6	30-Nov-2021 Reduce	

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DBE-TP-03a Annual Spending Submission	Send Annual Spending Submission to TfL	2022/23 Annual Spending Submission has been submitted to TfL, but funding available is still uncertain,	Bruce McVean	23-Nov-2021	30-Nov-2022
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 in 2022/23.	Bruce McVean	23-Nov-2021	30-Nov-2022

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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	<p>Cause: Staff are badly briefed in relation to the planning development needs of the City as a world business centre</p> <p>Event: Perception that we are not responsive to the planning development needs of the City as a world business centre</p> <p>Impact: The City's reputation suffers and we fail to deliver buildings that meet the needs of the City as a world business centre</p>	 <p>Likelihood</p> <p>Impact</p>	6	<p>Impact continues to be reviewed in relation to OMICRON variant, PSG groups have stood down given the improving picture though the position is under continuous review</p> <p>02 Feb 2022</p>	 <p>Likelihood</p> <p>Impact</p>	6	Accept	

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
DBE-PL-02a Business as usual	(1) Continue to work closely with other parts of the department; the City Property Advisory Team; other City of London	The Business As Usual controls have been reviewed in the light of COVID-19 recovery and we continue to work closely, with the City Property Association and co-ordinate with the Recovery Taskforce.	Gwyn Richards	02-Feb-2022	31-Dec-2022

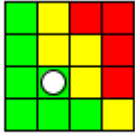
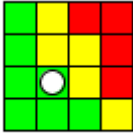

mitigating controls	Departments; & the Greater London Authority. (2) To work closely with the development industry, the City Property Association and hold regular meetings with City agents. (3) Participation at MIPIM. (4) Co-ordination with the Recovery Taskforce	MIPIM 2022, albeit smaller in scale, will be taking place 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.			
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CVD19 SGPS 25 Failure by BRONZE to deliver the Highways, Parking & Enforcement service required by SILVER (DBE) (RECOVERY) 17-Apr-2020 Ian Hughes	<p>Cause:</p> <ul style="list-style-type: none"> The pandemic leads to a critical number of staff (employed by our highway term contractor J B Riney) being unable to attend work due to illness/self-isolation/caring responsibilities. The pandemic leads to a critical number of staff (employed by our parking contractor Saba) being unable to attend work due to illness/self-isolation/caring responsibilities. The pandemic leads to a critical number of City of London staff being unable to attend work due to illness/self-isolation/caring responsibilities. The pandemic leads to a failure of the supply chain of our highway term contractor (J B Riney) <p>Event: Our contractors and/or City of London staff are unable to provide a highway maintenance and/or parking service.</p>	 <p>Likelihood</p>	4	<p>This impact has been and continues to be reviewed in light of the ongoing impact of OMICRON variant. To this point absence levels have been manageable and no significant changes to services have been required.</p> <p>18 Jan 2022</p>	 <p>Likelihood</p>	8	<p>Accept</p>	

<p>Impact:</p> <ul style="list-style-type: none"> • Failure to maintain the highway in a safe state leading to personal damage injuries. (1, 3 and 4) • Increased inability to manage car parks leading to increases potential for crime and anti-social behaviour, increased fire risk and associated loss of income (2 and 3). • Failure to manage on-street parking leading to loss of access by emergency services to residential and business premises (2 and 3). • Failure to monitor 3rd party on-street activities licenced by the City of London leading to unsafe systems of work. 						
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CVD19 SGPS 25a Contractor liaison	Working with contractors to ensure that they are adequately forecasting staff or supply chain issues to ensure that the City received adequate warning of the need to decrease service levels any further allowing decisions to be taken in a timely and reasonable manner. Where works are continuing we have worked with the contractor to ensure that they have adequate risk assessments and method statements in place to minimise the infection and other risks to staff.	Works are continuing as scheduled – BAU	Ian Hughes	02-Feb-2022	31-Dec-2022
CVD19 SGPS 25b City staff resilience	Reducing the overall number of City of London staff on duty in the City at any one time. This reduces the risk to individual members of staff and therefore the risk of staff shortage in the future. Monitoring of the	Staff monitoring on-street activities by developments, utilities and City contractors continues. Staff have been reminded to continue to follow best practice guidelines including protocols. Risk assessments up to date. Staff returning 2 day minimum return from Feb as per request by Town Clerk.	Ian Hughes	02-Feb-2022	31-Dec-2022

	full range of on-street activities is being achieved by sharing of resource between teams on a rota.				
CVD19 SGPS 25c Saba staff resilience	Enforcement of the Bank on Safety scheme traffic order transferred to working from home. Appropriate policies and procedures have been put in place to ensure compliance with data protection legislation.	Normal services for both enforcement of on-street parking/moving traffic contraventions and car parks (off street parking).	Ian Hughes	02-Feb-2022	31-Dec-2022
CVD19 SGPS 25e Public communication of change	Where there are alterations to services have been authorised by Members/GOLD we are issuing clear public communications on the City website, social media and email to interest groups.	The City's website continues to be updated throughout the Covid-19 period	Ian Hughes	02-Feb-2022	31-Dec-2022

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DBE-PL-06 S106 Controls 30-Nov-2018 David Horkan; 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	4	The risk has been reviewed and the likelihood and impact remain unchanged at Unlikely (2) and Serious (2). The risk remains GREEN. 02 Feb 2022	 Likelihood	4	Accept	

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
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