

DBE Corporate & Departmental Risks (*Port Health & Environmental Services Committee*)

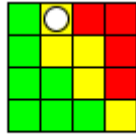
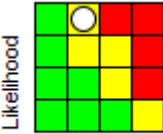

APPENDIX 2

Report Author: Richard Steele

Generated on: 29 December 2017

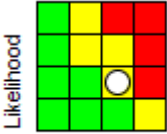
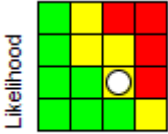

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Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-01c Business As Usual Mitigation	<p>Monitor the percentage of City of London staff who have completed Driver Check and ensure that it remains above 92.5%</p> <p>Monitor the percentage of City of London staff who have been identified, through Driver Check, as drivers (or managers of drivers) who have completed the Corporate Transport Policy online training course and ensure that it remains above 92.5%.</p> <p>Monitor overall completion rates for both driver check and the online training course and ensure that it remains above 92.5%.</p> <p>Monitor the collection and periodic monitoring of driver licence details (and, in the case of grey fleet drivers, vehicle details).</p>	<p>Over 92% of City of London staff have completed Driver Check and over 95% of staff who have been identified, through Driver Check, as drivers (or managers of drivers) have completed the Corporate Transport Policy online training course. The overall compliance is now over 91.5%.</p> <p>The Business As Usual target for overall compliance has been further increased to 92.5% (three months earlier than the planned date to increase to 90%).</p>	Jim Graham	20-Dec-2017	31-Dec-2018

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-12 Cleansing & Waste Contract - Commercials 20-Dec-2017	<p>Cause: The existing waste contractor has served notice to terminate the contract and we are therefore retendering the high value cleansing and waste contract and this is liable to result in (a) greater expense (for the same level of service); or (b) deliver a lower level of service (for the same cost) (or a combination of the two).</p> <p>Event: The competitive tendering process results in Members having to decide between options (a) and (b) (or some combination of the two).</p> <p>Impact: (a) higher costs to the City or (b) a lower level of service to the City (or some combination of the two).</p>	 <p>Likelihood</p> <p>Impact</p>	8	Initial Assessment 20 Dec 2017	 <p>Likelihood</p> <p>Impact</p>	8		 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-12a Effective Procurement Process	This project has very strong support from City Procurement to ensure that the tender process is robust.	Initial Assessment	Steve Presland	29-Dec-2017	31-Mar-2019
DBE-TP-12b Appropriate Contract Scope & Specification	Additional experience and capacity has been recruited to support the process of determining the contract scope & specification (including the creation of a draft Contract Manual).	Initial assessment	Jim Graham	29-Dec-2017	31-Mar-2019
DBE-TP-12c External Support – GLA	<i>We need to consult the GLA.</i>	<i>We have consulted the GLA and they have commented that they are supportive and their only recommendation is to include a City commitment to drive up recycling rates. They feel the contract will lead to innovative bids. [COMPLETED]</i>	Jim Graham	29-Dec-2017	31-Dec-2017
DBE-TP-12d External Support – Resource London	We will consult Resource London (the Local Authority support element of the London Waste and Recycling Board) to ensure that the contract is future-proofed for the circular economy.	The consultation has been submitted and a response is expected in the New Year.	Jim Graham	29-Dec-2017	31-Mar-2019

DBE-TP-12e Internal Consultation	A Corporate Steering Group including the Commercial Director and a representative of the Chamberlains department has been established and is ongoing.	A report has been submitted to Summit Group and the Chamberlain is briefing them on likely increase in cost for current service.	Jim Graham	29-Dec-2017	31-Mar-2019
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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-13 Cleansing & Waste Contract - Procurement Timings 29-Dec-2017	Cause: Delay to procurement or mobilisation process. Events: (1) tender process delays; (2) Contractual delays; (3) mobilisation delays. Impact: No cleansing or waste service on the day(s) following the termination of the existing contract.	 Likelihood	8		 Likelihood	8		 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-13a Provide data for OJEU	Ensure the deadline is met by review at the weekly Data Group meetings (which reports to the weekly Contract Procurement Group)	On target to have all the necessary data available in time for the OJEU.	Steve Presland	29-Dec-2017	23-Jan-2018
DBE-TP-13b Committee Timetable	Relevant committee meetings are included in the project timeline.	Where necessary Officers are negotiating with the chairman / Deputy Chairman to obtain agreement in principle to there being delegated power (with the Town Clerk and Director of the Built Environment) to deal with matters that do not fall within the Committee cycle.	Steve Presland	29-Dec-2017	31-Dec-2018
DBE-TP-13c Member involvement in the decision making process	In order to ensure that Members are able to make an award decision in a timely manner there will need to be regular briefings by the Director of the Built Environment to the Chairman and Deputy Chairman of the relevant committees.		Carolyn Dwyer	29-Dec-2017	31-Dec-2018
DBE-TP-13d Minimisation of likelihood of legal challenge (1)	In order to minimise the likelihood of a legal challenge representatives of Procurement and C&CS will be present at all "competitive dialogue" meetings with bidders and a full record of these meetings will be kept. Procurement will be the conduit for ALL other communications during the tender process.	Procurement and C&CS have been asked to provide appropriate representatives.	Steve Presland	29-Dec-2017	31-Dec-2018

DBE-TP-13e Minimisation of likelihood of legal challenge (2)	In order to minimise the likelihood of a legal challenge the Assistant Director will prepare a Code of Conduct for all staff who are (a) involved in the tender process; and (b) all staff who, although not involved in the tender process may, as a result of their other duties, have contact with one or more bidders (or potential bidders) during the tender process.	Guidance from Procurement and C&CS has been requested.	Jim Graham; Steve Presland	29-Dec-2017	19-Jan-2018
DBE-TP-13f Mobilisation - Vehicles & Plant	In order to ensure that vehicles and plant are available at start of contract, the bidders will, at competitive dialogue stage, be required to provide details of procurement/hire/other to demonstrate how they would have vehicles/plant on day 1 of the contract.	This subject has been included in the (draft) agenda for the Competitive Dialogue meetings	Steve Presland	29-Dec-2017	01-Jun-2018
DBE-TP-13g Mobilisation - Staff	In order to ensure staff can be TUPE'd on day 1 of new contract the Assistant Director will work with C&CS to ensure TUPE information is provided at the appropriate stages.	The Assistant Director will, by 15 Jan 18, establish when in the process the TUPE data will be required.	Jim Graham	29-Dec-2017	01-Jun-2018
DBE-TP-13h Delay in Competitive Dialogue stage	In order to avoid delays from COL side during competitive dialogue (a) the Director of the Built Environment will be asked (by the Director) to authorise a leave ban for affected staff the Tender Evaluation and Competitive Dialogue stages; (b) Managers will ensure that all staff affected block out appropriate time in the their diary; & (C) The Director will arrange for representatives (with the necessary skills/seniority to rule on matters at the time) from Procurement and C&CS to attend all Competitive Dialogue meetings.	Procurement and C&CS have been asked to provide appropriate representatives.	Steve Presland	29-Dec-2017	01-Mar-2018

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Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-07a Business Continuity exercise	Conduct annual DBE business continuity exercise	A Business Continuity exercise was successfully carried out in March 2017. The next exercise will be held in 2018 and the dates have been reset accordingly.	Steve Presland	07-Apr-2017	30-Sep-2018