DBE Corporate & Departmental Risks (Planning & Transportation Committee)

APPENDIX 2

Report Author: Richard Steele **Generated on:** 18 August 2020

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
CR20 Road Safety 23-Oct-2015 Carolyn Dwyer	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 Event: The City Corporation's statutory duties and the measures outlined in the Transport Strategy are not fully and effectively implemented. Effect: 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 A LOSS OF CREDIBILITY AND/OR AUTHORITY (revised risk description27/6/19)	Likelihood	24	The risk assessment is unchanged, reflecting the probability that a fatality is fairly likely to occur while mitigation measures are being implemented. Measures to enable the safe return of the City's workforce and support COVID-19 recovery are being delivered in phases, with initial roll out expected to be completed in August 2020. Details of upcoming activities to reduce road danger will be set out in the 2020/21 - 2022/23 Transport Strategy Delivery Plan, which will go to Committee in September. 13 Aug 2020	Impact	16	31-Mar- 2022	Constant

Action no, Title,	Action description	Latest Note		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: • Bank on Safety and All Change at Bank • RDR engineering programme • 15mph traffic limit • Ludgate Circus (lead by TfL)	The Bank on Safety interim scheme continues and is expected to complete in September. Pavement widening has been completed and with work on signals underway in collaboration with TfL. The 15mph request to DfT will be submitted in autumn 2020. We have supported TfL's temporary interventions to improve safety and enable social distancing on Bishopsgate and Gracechurch Street. A range of on-street measures to enable the safe return of the City's workforce and support COVID-19 recovery are being delivered. Current and future road danger reduction projects will be outlined in the 2020/21 - 2022/23 Transport Strategy Delivery Plan which is due to go to Committee in September.	Zahur Khan	13-Aug- 2020	31-Mar- 2022
CR20m Road Danger Reduction campaigns and engagement	Campaigns and engagement activities to encourage safe behaviours and promote safe vehicles, including: • Active City Network • User and stakeholder liaison • Schools programme	Continuing to work with City of London Police on engagement and enforcement to support COVID-19 measures. Developing campaigns to encourage safe and considerate behaviours by all street users while temporary changes and social distancing requirements are in place. Current and future road danger reduction campaigns and activities will be outlined in the 2020/21 - 2022/23 Transport Strategy Delivery Plan which is due to go to Committee in September.	Zahur Khan	13-Aug- 2020	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	Impact	2	The risk has been reviewed and whilst there is an increase in both impact and likelihood neither is sufficient to result in a change in score. Whilst this risk (at 12) is above appetite (8) to reduce the risk to appetite would require increased engagement by the City Corporation's Senior Members with Government, Opposition and the GLA to ensure that national and strategic policy is always appropriate for the City. We continue to monitor draft regulations to ensure they reflect or that changes can be sought to accord with City Corporation priorities. The City Corporation has made its case on outstanding matters in the Draft London Plan at the Examination in Public earlier this year. The Inspectors' Panel Report has been published and recommended changes are broadly favourable. The National Planning Policy Framework (NPPF) published in July 2018 did not address all the City's concerns and subsequent relaxations of Permitted Development Rights and revisions to the Use Classes Order have caused further concerns. The Planning White Paper published August 2020 for consultation proposes radical changes to the planning system that could have a significant impact on plan-making and development management in the City. The City Corporation will respond to this consultation to raise its issues of concern. 12 Aug 2020	Impact	12	31-Dec- 2020	Constant

Action no, Title,	Action description			Latest Note Date	Due Date
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	Whilst this risk (at 12) is above appetite (8) to reduce the risk to appetite would require increased engagement by the City Corporation's Senior Members with Government, Opposition and the GLA to ensure that national and strategic policy is always appropriate for the City. We continue to monitor draft regulations to ensure they reflect or that changes can be sought to accord with City Corporation priorities. The City Corporation has made its case on outstanding matters in the Draft London Plan at the Examination in Public earlier this year. The Inspectors' Panel Report has been published and recommended changes are broadly favourable. The National Planning Policy Framework (NPPF) published in July 2018 did not address all the City's concerns and subsequent relaxations of Permitted Development Rights and revisions to the Use Classes Order have caused further concerns. The Planning White Paper published August 2020 for consultation proposes radical changes to the planning system that could have a significant impact on plan-making and development management in the City. The City Corporation will respond to this consultation to raise its issues of concern.	Paul Beckett	12-Aug- 2020	31-Dec- 2020

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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	Impact	The risk has been reviewed and the scoring is unchanged. The plans to create of a Local Authority Trading Company are still on hold and will be reviewed in the light of any changes in the Building Control Regulation regimen. HMG has issued the draft Building Safety Bill (Summer 2020) which the City of London is currently reviewing with a view to identifying opportunities for increased business activity. The City of London is working with MHCLG to ensure that we are a Centre of Excellence in accordance with the anticipated Building Safety Act. 13 Aug 2020	Impact	31-Dec- 2020	Constant

Action no, Title,	Action description			Latest Note Date	Due Date
usual mitigating	 (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. 	Tr -r	Gordon Roy	- 0	31-Dec- 2020
DBE-DS-01c Business Plan development	members for consideration later this year.		Gordon Roy		31-Oct- 2020

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and key programmes not delivered	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	Tikelihood		LIP and Liveable Neighbourhood funding is currently suspended and we are awaiting confirmation of future allocations. Bids to the Streetspace fund for Phases 1 and 2 of the City's COVID-19 recovery programme were successful. 11 Aug 2020	_	6	31-Nov- 2021	Constant

Action no, Title,	Action description	Latest Note	Latest Note Date	Due Date
DBE-TP-03a Annual Spending Submission	1 0	1 0	15-May- 2020	29-Nov- 2020
DBE-TP-03b TfL meetings	Conduct quarterly meetings with TfL-	Frequent meetings and discussions relating to COVID-19 recovery and Streetspace funding. LIP quarterly meetings currently on hold while funding is suspended.	11-Aug- 2020	31-Mar- 2021
	Submit bid(s) in line with TfL timetable (e.g. Liveable Neighbourhoods)	Opportunities to participation in future bidding rounds will be kept under review.	15-May- 2020	30-Nov- 2020

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DBE-PL-02 Not being alive to the needs/require ments of the world business centre and the political environment 23-Mar-2015	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	Impact	6	The risk has been reviewed and although there continues to be uncertainty regarding the wider economic situation, post-Brexit negotiations, COVID-19 the likelihood and impact are unchanged. The changes in Planning legislation introduce further uncertainty – this is being closely monitored and may result in an increase in the risk score. Given the level of uncertainty meeting with stakeholders are continuing at an increased frequency. 18 Aug 2020	Impact	6	31-Dec- 2020	Constant

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controls		continue to work closely, meeting remotely, with the development industry, the City Property	-	18-Aug- 2020	31-Dec- 2020

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DBE-PL-06 S106 Controls	Cause: Disjointed control mechanisms in relation to processing and monitoring S106 agreements. Event: Failure to implement Audit recommendations. Effect: Loss of funds; noncompliance with agreements and reporting; potential reputational damage	Impact	4	The risk has been reviewed and whilst the likelihood remain unchanged at Unlikely (2) the mitigations and actions taken have reduced the financial exposure to the point where the impact is reduced from Major (4) to Serious (2). As a result the risk score is reduced from 8 to 4 (which is the Target Risk) and the risk is now GREEN. 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.	Impact	4	31-Mar- 2020	•
30-Nov-2018				The Chamberlain's team are continuing to keep separate financial records (including on CBIS). We will be reviewing the need for interaction between Exacom and CBIS and the options for reporting. 18 Aug 2020				Decreasing

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DBE-PL-06b Ensure sufficient resources are available	Obtain approval for data capture.	Following agreement that the Exacom system represents the best means of achieving public access/transparency and we have identified a who can undertake the addition of historic data to Exacom. This took slighter longer than expected and the data capture is now expected to happen during the autumn and the target date has been adjusted accordingly.	Gwyn Richards	18-Aug- 2020	30-Nov-2020
software supplier &	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. Once this is complete we will review the need for interaction between Exacom and CBIS and the options for reporting.	Gwyn Richards	18-Aug- 2020	20-Dec-2020