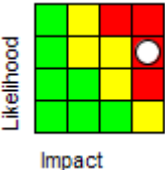
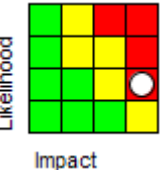



DBE Corporate & Departmental Risks *(Planning & Transportation Committee)*

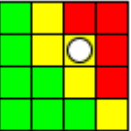
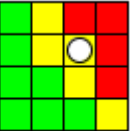

APPENDIX 2

Report Author: Richard Steele

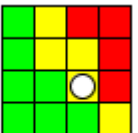
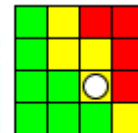

Generated on: 30 November 2020

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	<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 		24	<p>The risk assessment is unchanged, reflecting the probability that a fatality is fairly likely to occur while mitigation measures are being implemented. Delivery of range of on-street measures to enable the safe return of the City's workforce and support COVID-19 recovery will be substantively completed by the end of November 2020. Continuing to work with City of London Police on road danger reduction engagement and enforcement, including targeted action to tackle people cycling on pavements.</p> <p>24 Nov 2020</p>		16	31-Mar-2022	 Constant

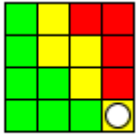
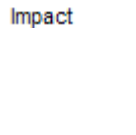
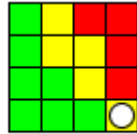
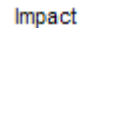
Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR20l Road danger reduction and Vision Zero	<p>A programme of projects to reduce road danger on the City's streets including:</p> <ul style="list-style-type: none"> • Bank on Safety and All Change at Bank • RDR engineering programme • 15mph traffic limit • Ludgate Circus (lead by TfL) 	The All Change at Bank, which will further improve safety at Bank junction, received Gateway 4 approval in October 2020. The project remains on programme to be completed in late October 2022, coinciding with the completion of the Bank Station upgrade. Delivery of range of on-street measures to enable the safe return of the City's workforce and support COVID-19 recovery will be substantively completed by the end of November 2020.	Ian Hughes	24-Nov-2020	31-Mar-2022
CR20m 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 	Ongoing delivery of cycle training and maintenance, including recent events in partnership with St Bartholomew's Hospital and Robert McAlpine. Continuing to work with City of London Police on road danger reduction engagement and enforcement, including targeted action to tackle people cycling on pavements and a campaign to remind people cycling of the need to carry and use lights.	Ian Hughes	24-Nov-2020	31-Mar-2022

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-PP-01 Adverse planning policy context	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 has been reviewed and there is no change in either impact or likelihood. 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 has responded to this consultation to raise its issues of concern. Many responses have been received from diverse parties and the Govt is now reconsidering the pace and scale of changes.	Likelihood  Impact	12	31-Dec-2021	
06-Mar-2015 Paul Beckett				19 Nov 2020				Constant

Action no, Title,	Action description	Latest Note	Action owner	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	<p>We continue to monitor draft regulations to ensure they reflect or that changes can be sought to accord with City Corporation priorities.</p> <p>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.</p> <p>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 has responded to this consultation to raise its issues of concern. Many responses have been received from diverse parties and the Govt is now reconsidering the pace and scale of changes.</p>	Paul Beckett	19-Nov- 2020	31-Dec- 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	Current Risk score change indicator
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. 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.</p> <p>19 Nov 2020</p>	 Likelihood Impact	8	31-Dec-2021	 Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
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.	An additional strand to the BAU control has been added ... Involvement with developers as part of the planning application process. Business as usual controls have been reviewed and are still appropriate and effective.	Gordon Roy	19-Nov- 2020	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.	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. 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.	Gordon Roy	19-Nov- 2020	30-Apr- 2022

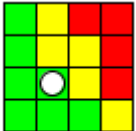
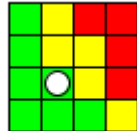

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DBE-TP-11 Beech Street Roofing Panels 20-Nov-2020 Ian Hughes	<p>Cause: Water seepage from Barbican highwalk fails to be contained by drip tray capture and drainage system above the roof panels.</p> <p>Event: Corrosion of supports holding roof panels in place causes structural failure.</p> <p>Effect: Panels fall with the potential for death or serious injury if they strike pedestrians or vehicles.</p>	Likelihood  Impact 	8	<p>Following visual inspection from the carriageway in 2016 all panels showing signs of water damage were subject to further inspection and where there was deterioration in the supports the panels have been removed. The District Surveyor has confirmed that the removal of panels does not constitute an additional fire risk.</p> <p>The most recent visual inspection (November 2020) did not identify any further deterioration in the supports leading to the removal of any more panels. The next detailed inspection is planned, subject to contractor resources, road closures and COVID restrictions, to be completed before the end of 2020 but completion may not be possible until January 2021.</p> <p>An options appraisal will be completed by April 2021 and this will be followed by a report to Members.</p> <p>27 Nov 2020</p>	Likelihood  Impact 	8	31-Dec-2022	

Action no, Title,	Action description	Latest Note			Action owner	Latest Note Date	Due Date
DBE-TP-11a Inspection & reactive works	A programme of monthly visual inspections by our contractor has been established. Any panels where the supports are identified as being at significant risk of failure are removed.	The most recent visual inspection (November 2020) did not identify any further deterioration in the supports leading to the removal of any more panels. The next visual inspection is planned, subject to contractor resources, road closures and COVID restrictions, to be completed before the end of 2020 but completion may not be possible until January 2021.			Ian Hughes	27-Nov-2020	31-Jan-2021
DBE-TP-11b Options appraisal	Based on the consultant's report following the initial support failure and next detailed inspection an options appraisal process will be undertaken.	The next visual inspection is planned, subject to contractor resources, road closures and COVID restrictions, to be completed before the end of 2020 but completion may not be possible until January 2021. The options appraisal will be completed by April 2021 and this will be followed by a report to Members.			Ian Hughes	27-Nov-2020	30-Apr-2021

DBE-TP-11c Resolution of underlying problem	The underling problem is being addressed through the waterproofing programme which is being managed by the Department of Community and Children's Service (DCCS) and there is the potential for including the replacement of the roof panels within the City Surveyor's Beech Street refurbishment works.	Officers in DBE are liaising with officers in DCCS and City Surveyor's to ensure that they understand their respective projects and scope of works. This will inform the options appraisal process.	Ian Hughes	27-Nov-2020	30-Apr-2021
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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-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 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. 30 Nov 2020	 Likelihood Impact	6	31-Dec-2021	 Constant

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
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.	<p>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.</p> <p>MIPIM 2020 was cancelled and MIPIM 2021 has been postponed until next June in Cannes.</p> <p>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.</p> <p>The (non-MIPIM) controls, which have been implemented, are appropriate and effective.</p>	Gwyn Richards	30-Nov-2020	31-Dec-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	Current Risk score change indicator
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	4 Impact	<p>The risk has been reviewed and the likelihood and impact remain unchanged at Unlikely (2) and Serious (2). The risk remains GREEN.</p> <p>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. Due to competing pressures this discussion has not yet taken place,</p> <p>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.</p> <p>30 Nov 2020</p>	 Likelihood	4 Impact	31-Mar-2021	 Constant

Action no, Title,	Action description	Latest Note			Action owner	Latest Note Date	Due Date
DBE-PL-06b Ensure sufficient resources are available	Obtain approval for data capture.	The resources have been made available and work is underway. This action is therefore completed.			Gwyn Richards	30-Nov-2020	30-Nov-2020
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. Once this is complete we will review the need for interaction between Exacom and CBIS and the options for reporting.			Gwyn Richards	30-Nov-2020	31-Mar-2021