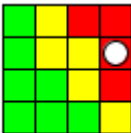
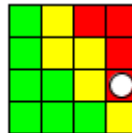



## DBE Corporate & Departmental Risks *(Planning & Transportation Committee)*

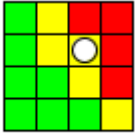
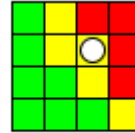

## APPENDIX 2

**Report Author:** Richard Steele

**Generated on:** 19 February 2020

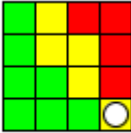
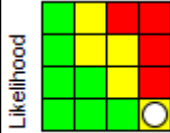

| Risk no, Title, Creation date, Owner                        | Risk Description (Cause, Event, Impact)  | Current Risk Rating & Score  |    | Risk Update and date of update  | Target Risk Rating & Score  |    | Target Date | Current Risk score change indicator   |
|---|--|--|----|---|---|----|-------------|---|
| <b>CR20 Road Safety</b><br><br>23-Oct-2015<br>Carolyn Dwyer | <p><b>Cause:</b> 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><b>Event:</b> The City Corporation's statutory duties and the measures outlined in the Transport Strategy are not fully and effectively implemented.</p> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <li>•The number of casualties occurring on the City's streets rises or remains unchanged instead of reducing</li> <li>•The safety and feeling of safety of the City's communities is adversely affected (Corporate Plan Outcome 1)</li> <li>•Physical or mental harm suffered by those involved in collisions and their associates</li> <li>•Economic costs of collisions impact on individuals, City businesses and wider society</li> <li>•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</li> </ul> <p>(revised risk description 27/6/19)</p> |  <p>Likelihood</p> <p>Impact</p> | 24 | The risk assessment is unchanged, reflecting the probability that a fatality is fairly likely to occur while mitigation measures are being implemented.<br><br><b>11 Feb 2020</b> |  <p>Likelihood</p> <p>Impact</p> | 16 | 31-Mar-2022 | <br><br>Constant |

| Action no,<br>Title,                                 | Action description  | Latest Note  | Action owner | Latest Note Date | Due Date    |
|--|---|--|--------------|------------------|-------------|
| CR20I 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"> <li>• Bank on Safety and All Change at Bank</li> <li>• RDR engineering programme</li> <li>• 15mph traffic limit</li> <li>• Ludgate Circus (lead by TfL)</li> </ul> | <p>Delivery of Bank on Safety interim scheme is underway and expected to complete June 2020. Continuing to engage with TfL on improvements to the junction at Bevis Marks/Wormwood and Bishopsgate and the Fenchurch Street/Lombard Street/Gracechurch Street Junction. Preparing 15mph request to DfT, with target submission date of June 2020. Safety improvements to Gresham Street/Old Jewry/Basinghall Street are currently being delivered.</p> | Zahur Khan   | 11-Feb-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"> <li>• Active City Network</li> <li>• User and stakeholder liaison</li> <li>• Schools programme</li> </ul>                                  | <p>Supporting the City of London Police's winter campaign to improve compliance with the 20mph speed limit.</p>  | Zahur Khan   | 11-Feb-2020      | 31-Mar-2022 |

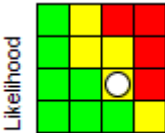
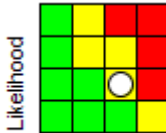

| Risk no, Title, Creation date, Owner  | Risk Description (Cause, Event, Impact)   | Current Risk Rating & Score   |    | Risk Update and date of update   | Target Risk Rating & Score  |    | Target Date | Current Risk score change indicator   |
|---|---|---|----|--|---|----|-------------|---|
| <b>DBE-PP-01</b><br><b>Adverse planning policy context</b><br><br>06-Mar-2015<br>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<br><br>Event: Changes detrimental to the City are implemented<br><br>Impact: Adverse changes cannot be prevented using local planning control | Likelihood<br><br>Impact | 12 | Both Impact and Likelihood have been reviewed and are unchanged.<br><br>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.<br><br>We continue to monitor draft regulations to ensure they reflect or adapted to accord with City Corporation priorities.<br><br>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.<br><br>The National Planning Policy Framework (NPPF) published in July 2018 did not address all the City's concerns and subsequent proposed relaxations of Permitted Development Rights cause further concerns. These have been reiterated to Government in response to the public consultation. A Planning White Paper is due in spring 2020.<br><br>The Housing Delivery Test is not appropriate to the City's circumstances. However, it was applied to the City and recent housing delivery has not met Government targets. The City Corporation agreed an Action Plan in July 2019 and a further Action Plan will be prepared in 2020. The City Corporation is discussing difference in housing delivery data with the Government.<br><br><b>14 Feb 2020</b> | Likelihood<br><br>Impact | 12 | 31-Dec-2020 | <br><br>Constant |

| Action no, | Action description | Latest Note | Action | Latest Note | Due Date |
|------------|--------------------|-------------|--------|-------------|----------|
|------------|--------------------|-------------|--------|-------------|----------|

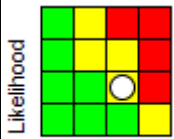
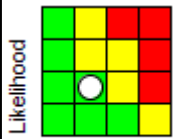
| Title,  |   |   | owner        | Date        |             |
|---|---|---|--------------|-------------|-------------|
| DBE-PP-01a<br>Business as usual mitigating controls | (1) Ongoing monitoring of government regulations;<br>(2) continue monitor progress of, and seek to influence, forthcoming legislation | <p>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.</p> <p>We continue to monitor draft regulations to ensure they reflect or adapted 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 proposed relaxations of Permitted Development Rights cause further concerns. These have been reiterated to Government in response to the public consultation. A Planning White Paper is due in spring 2020.</p> <p>The Housing Delivery Test is not appropriate to the City's circumstances. However, it was applied to the City and recent housing delivery has not met Government targets. The City Corporation agreed an Action Plan in July 2019 and a further Action Plan will be prepared in 2020. The City Corporation is discussing difference in housing delivery data with the Government.</p> | Paul Beckett | 14-Feb-2020 | 31-Dec-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   |
|---|--|--|---|--------------------------------------|---|---|-------------|---|
| <b>DBE-02 Service/Pipe Subways</b><br>02-Dec-2015<br>Ian Hughes;<br>Giles Radford | Cause: Provide safe access and egress for utilities and maintenance functions, whilst having operatives entering the confined space to undertake checks.<br><br>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.<br><br>Impact: Fatality / Major Injury / Illnesses | <br>Likelihood<br>Impact | 8 | No further update<br><br>27 Nov 2019 | <br>Likelihood<br>Impact | 8 | 31-Dec-2020 | <br>Constant |

| Action no, Title,                     | Action description  | Latest Note  | Action owner  | Latest Note Date | Due Date    |
|---------------------------------------|---|--|---------------|------------------|-------------|
| 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> <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> | All business as usual mitigations have been reviewed, they are very much current and continue to work effectively. | Giles Radford | 19-Feb-2020      | 31-Dec-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   |
|--|--|--|---|--|---|---|-------------|---|
| <b>DBE-DS-01</b><br><b>The District Surveyor's (Building Control) Division becomes too small to be viable</b><br><br>25-Mar-2015<br>Gordon Roy | Cause: Reduced Income causes the service to be unviable<br>Event: Development market fails to maintain momentum or our market share shrinks<br>Impact: Reduced staffing levels do not provide adequate breadth of knowledge and experience | <br>Likelihood<br>Impact | 8 | The risk is unchanged.<br><br>Following investigation of the insurance market we would be unable to obtain the necessary insurance at an acceptable price. As a result, the plans to create of a Local Authority Trading Company have been put on hold and will be reviewed in the light of any changes in the Building Control Regulation regimen that arise following the publication of the Hackett Report following the Grenfell fire (expected by late Summer 2020). The due date for this action has been adjusted to October accordingly.<br><br><b>14 Feb 2020</b> | <br>Likelihood<br>Impact | 8 | 31-Dec-2020 | <br><br>Constant |

| Action no, Title,                                   | Action description   | Latest Note  | Action owner | Latest Note Date | Due Date    |
|---|--|--|--------------|------------------|-------------|
| DBE-DS-01a<br>Business as usual mitigating controls | (1) Continue to provide excellent services [evidenced by customer survey];<br>(2) Maintain client links with key stakeholders;<br>(3) Continue to explore new income opportunities;<br>(4) Continue to undertake cross-boundary working. | Business as usual controls have been reviewed and are still appropriate and effective.   | Gordon Roy   | 14-Feb-2020      | 31-Dec-2020 |
| DBE-DS-01c<br>Business Plan development             | Following approval of Summit Group, a Business Plan is being developed and to be presented to members for consideration later this year.   | Following investigation of the insurance market we would be unable to obtain the necessary insurance at an acceptable price. As a result, the plans to create of a Local Authority Trading Company have been put on hold and will be reviewed in the light of any changes in the Building Control Regulation regimen that arise following the publication of the Hackett Report following the Grenfell fire (expected by late Summer 2020). The due date for this action has been adjusted to October accordingly. | Gordon Roy   | 14-Feb-2020      | 31-Oct-2020 |

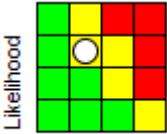
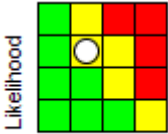

| Risk no, Title, Creation date, Owner   | Risk Description (Cause, Event, Impact)   | Current Risk Rating & Score   |   | Risk Update and date of update   | Target Risk Rating & Score  |   | Target Date | Current Risk score change indicator |
|--|---|---|---|--|---|---|-------------|-------------------------------------|
| <b>DBE-PL-06 S106 Controls</b><br><br><br><br><br><br><br><br><br><br>30-Nov-2018<br>Annie Hampson | <b>Cause:</b> Disjointed control mechanisms in relation to processing and monitoring S106 agreements.<br><br><b>Event:</b> Failure to implement Audit recommendations.<br><br><b>Effect:</b> Loss of funds; non-compliance with agreements and reporting; potential reputational damage | <br>Likelihood<br>Impact | 8 | The risk has been reviewed and remains unchanged at Amber.<br><br>The Audit Review has been worked through and most of the recommendations within it have been implemented.<br><br>A S106/CIL report was presented to the October 2019 Planning & Transportation Committee (P&T). This resulted in a number of questions including public access/transparency and further report confirming the S106 & CIL governance process was presented to P&T in December.<br><br>The Chamberlain's team are continuing to keep separate financial records (including on CBIS).<br><br><b>18 Feb 2020</b> | <br>Likelihood<br>Impact | 4 | 31-Mar-2020 | Constant                            |

| Action no, Title,  | Action description   | Latest Note   |  |  | Action owner  | Latest Note Date | Due Date    |
|--|--|---|--|--|---------------|------------------|-------------|
| DBE-PL-06b<br>Ensure sufficient resources are available                  | Obtain approval for data capture.  | A S106/CIL report was presented to the October 2019 Planning & Transportation Committee (P&T). This resulted in a number of questions including public access/transparency and further report confirming the S106 & CIL governance process was presented to P&T in December.<br><br>The Exacom system is now acknowledged as representing the best means of achieving public access/transparency and the method of implementing this is being sought. It is anticipated that historic data will be added to Exacom during the summer and the due date for this action has been updated accordingly. |  |  | Annie Hampson | 18-Feb-2020      | 30-Sep-2020 |
| DBE-PL-06c<br>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. Once this is complete we will review the need for interaction between Exacom and CBIS and the options for reporting.  |  |  | Annie Hampson | 18-Feb-2020      | 30-Sep-2020 |

| Risk no, Title,<br>Creation date,<br>Owner  | Risk Description (Cause, Event, Impact)  | Current Risk Rating & Score     |   | Risk Update and date of update   | Target Risk Rating & Score      |   | Target Date | Current<br>Risk score<br>change<br>indicator   |
|---|--|---------------------------------|---|--|---------------------------------|---|-------------|--|
| <b>DBE-PL-02</b><br><b>Not being alive to the needs/requirements of the world business centre and the political environment</b><br>23-Mar-2015<br>Annie Hampson | <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>The risk has been reviewed and is assessed as unchanged. There continues to be uncertainty regarding the wider economic situation and in particular post-Brexit negotiations.</p> <p><b>18 Feb 2020</b></p> | <p>Likelihood</p> <p>Impact</p> | 6 | 31-Dec-2020 | <div style="width: 10px; height: 10px; background-color: blue;"></div> <p>Constant</p> |

| Action no, Title,                                   | Action description   | Latest Note   | Action owner  | Latest Note Date | Due Date    |
|---|--|---|---------------|------------------|-------------|
| DBE-PL-02a<br>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.<br>(2) To work closely with the development industry, the City Property Association and hold regular meetings with City agents.<br>(3) Participation at MIPIM. | The Business As Usual controls have been reviewed and we continue to work closely with the development industry, the City Property Association and hold regular meetings with City agents.<br><br>These controls, which have been implemented, are appropriate and effective. | Annie Hampson | 18-Feb-2020      | 31-Dec-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   |
|---|--|--|---|---|---|---|-------------|---|
| <b>DBE-TP-03</b><br><b>Major Projects and key programmes not delivered as TfL funding not received</b><br><br>27-Mar-2015<br>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<br>Event: TfL funding for Local Investment Plan ceased or significantly reduced<br>Impact: Unable to deliver highway investment & improvement programmes | <br>Impact | 6 | The overall score has increased to 6 from 3. The impact has been increased to 2 (Serious). This reflects the deferral of the City Cluster Phase 2 capital bid and the increased reliance on TfL Liveable Neighbourhood funding to deliver transport and public realm improvements in the City Cluster during 2020/21. The likelihood remains unchanged at 3 (possible). This reflects the possibility that TfL may not agree to release additional Liveable Neighbourhood funding ahead of the original funding schedule. The 2020/21 LIP allocation has been confirmed and is as expected.<br><br><b>11 Feb 2020</b> | <br>Impact | 6 | 31-Mar-2020 | <br><br>Increasing |

| Action no, Title,                        | Action description  | Latest Note   | Action owner | Latest Note Date | Due Date    |
|--|---|---|--------------|------------------|-------------|
| DBE-TP-03a<br>Annual Spending Submission | Send Annual Spending Submission to TfL                                  | 2020/21 Annual Spending Submission submitted to TfL. Action dates reset for the 2021/22 submission.   | Bruce McVean | 26-Nov-2019      | 29-Nov-2020 |
| DBE-TP-03b<br>TfL meetings               | Conduct quarterly meetings with TfL-                                    | Quarterly meetings being held as required.  | Bruce McVean | 25-Nov-2019      | 31-Mar-2020 |
| DBE-TP-03c<br>TfL Bid Process            | Submit bid(s) in line with TfL timetable (e.g. Liveable Neighbourhoods) | No bid this year due to ongoing delivery of City Cluster Liveable Neighbourhood. Participation in future bidding rounds will be kept under review. Action date reset for next year. | Bruce McVean | 26-Nov-2019      | 30-Nov-2020 |