

Audit Committee

Agenda

Thursday, 26 January 2023 at 6.30 p.m.
Council Chamber - Town Hall, Mulberry Place, 5
Clove Crescent, London, E14 2BG

Members:

Chair: Councillor Jahed Choudhury

Vice Chair: Councillor Ahmodur Khan

Councillor Saied Ahmed, Councillor Ohid Ahmed, Councillor Kabir Hussain, Councillor Rachel Blake, Councillor Mufeedah Bustin, Councillor Asma Islam and Councillor James King

Independent Member:

Charlotte Webster

Substitutes: Councillor Mohammad Chowdhury, Councillor Abdal Ullah, Councillor Ayas Miah, Councillor Abu Chowdhury and Councillor Ahmodul Kabir

[The quorum for the Audit Committee is 3 voting Members]

Contact for further enquiries:

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<http://www.towerhamlets.gov.uk/committee>



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A Guide to Audit Committee

The Audit Committee is responsible for considering the Council's arrangements for internal control, governance and financial management and recommending any actions accordingly.

This includes:

- Audit Plans.
- Reports from external audit (such as the Annual Audit Letter and Governance Report).
- The Annual Governance Statement.
- Anti-fraud and corruption initiatives.
- Authority's Risk Management Arrangements.
- The administration of the Council's financial affairs.
- Approving the Authority's Statement of Accounts.

Public Engagement

Meetings of the committee are open to the public to attend, and a timetable for meeting dates and deadlines can be found on the council's website.

London Borough of Tower Hamlets

Audit Committee

Thursday, 26 January 2023

6.30 p.m.

APOLOGIES FOR ABSENCE

1. DECLARATIONS OF INTEREST (PAGES 7 - 8)

Members are reminded to consider the categories of interest, identified in the Code of Conduct for Members to determine: whether they have an interest in any agenda item and any action they should take. For further details, see the attached note from the Monitoring Officer.

Members are also reminded to declare the nature of the interest at the earliest opportunity and the agenda item it relates to. Please note that ultimately it is the Members' responsibility to identify any interests and also update their register of interest form as required by the Code.

If in doubt as to the nature of an interest, you are advised to seek advice prior the meeting by contacting the Monitoring Officer or Democratic Services.

2. MINUTES OF THE PREVIOUS MEETING(S) (PAGES 9 - 16)

To confirm the minutes of the Audit Committee held on 24th November 2022.

3. KPMG Audit Update (to follow)

3.1 Management Letter of Representation to KPMG (to follow)

4. DELOITTE ITEMS FOR CONSIDERATION

4.1 Deloitte Audit Update (to follow)

4.2 Financial Accounts for 2018-19 & 2019-20 (to follow)

4.3 Management Letter of Representation to Deloitte (to follow)

5. TOWER HAMLETS ITEMS FOR CONSIDERATION

5.1 Internal Audit and Anti-Fraud Progress Quarterly Reports (22-23) Q3 (Pages 17 -



48)

- 5 .2 Corporate/Directorate Risks Register Report 22/23 Q3 (Pages 49 - 252)
- 5 .3 Internal Audit & Anti-Bribery Policy January 2023 (Pages 253 - 276)
- 5 .4 Treasury Management Mid-Year Report for 2022-23 (To Follow)
- 5 .5 Treasury Management Strategy Statement, Investment Strategy Report and Capital Strategy Report for 2023-24 (To Follow)
- 6. **AUDIT COMMITTEE WORK PLAN**
- 7. **ANY OTHER BUSINESS THE CHAIR CONSIDERS URGENT**

Next Meeting of the Audit Committee

Thursday, 13 April 2023 at 6.30 p.m. to be held in Council Chamber - Town Hall, 160 Whitechapel London, E1 1BJ



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Agenda Item 1

DECLARATIONS OF INTERESTS AT MEETINGS– NOTE FROM THE MONITORING OFFICER

This note is for guidance only. For further details please consult the Code of Conduct for Members at Part C, Section 31 of the Council's Constitution

(i) Disclosable Pecuniary Interests (DPI)

You have a DPI in any item of business on the agenda where it relates to the categories listed in **Appendix A** to this guidance. Please note that a DPI includes: (i) Your own relevant interests; (ii) Those of your spouse or civil partner; (iii) A person with whom the Member is living as husband/wife/civil partners. Other individuals, e.g. Children, siblings and flatmates do not need to be considered. Failure to disclose or register a DPI (within 28 days) is a criminal offence.

Members with a DPI, (unless granted a dispensation) must not seek to improperly influence the decision, must declare the nature of the interest and leave the meeting room (including the public gallery) during the consideration and decision on the item – unless exercising their right to address the Committee.

DPI Dispensations and Sensitive Interests. In certain circumstances, Members may make a request to the Monitoring Officer for a dispensation or for an interest to be treated as sensitive.

(ii) Non - DPI Interests that the Council has decided should be registered – (Non - DPIs)

You will have 'Non DPI Interest' in any item on the agenda, where it relates to (i) the offer of gifts or hospitality, (with an estimated value of at least £25) (ii) Council Appointments or nominations to bodies (iii) Membership of any body exercising a function of a public nature, a charitable purpose or aimed at influencing public opinion.

Members must declare the nature of the interest, but may stay in the meeting room and participate in the consideration of the matter and vote on it **unless:**

- A reasonable person would think that your interest is so significant that it would be likely to impair your judgement of the public interest. **If so, you must withdraw and take no part in the consideration or discussion of the matter.**

(iii) Declarations of Interests not included in the Register of Members' Interest.

Occasions may arise where a matter under consideration would, or would be likely to, **affect the wellbeing of you, your family, or close associate(s) more than it would anyone else living in the local area** but which is not required to be included in the Register of Members' Interests. In such matters, Members must consider the information set out in paragraph (ii) above regarding Non DPI - interests and apply the test, set out in this paragraph.

Guidance on Predetermination and Bias

Member's attention is drawn to the guidance on predetermination and bias, particularly the need to consider the merits of the case with an open mind, as set out in the Planning and Licensing Codes of Conduct, (Part C, Section 34 and 35 of the Constitution). For further advice on the possibility of bias or predetermination, you are advised to seek advice prior to the meeting.

Section 106 of the Local Government Finance Act, 1992 - Declarations which restrict Members in Council Tax arrears, for at least a two months from voting

In such circumstances the member may not vote on any reports and motions with respect to the matter.

Further Advice contact: Janet Fasan, Director of Legal and Monitoring Officer, Tel: 0207 364 4800.

APPENDIX A: Definition of a Disclosable Pecuniary Interest

(Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012, Reg 2 and Schedule)

Subject	Prescribed description
Employment, office, trade, profession or vacation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	Any payment or provision of any other financial benefit (other than from the relevant authority) made or provided within the relevant period in respect of any expenses incurred by the Member in carrying out duties as a member, or towards the election expenses of the Member. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.
Contracts	Any contract which is made between the relevant person (or a body in which the relevant person has a beneficial interest) and the relevant authority— (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged.
Land	Any beneficial interest in land which is within the area of the relevant authority.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the relevant authority for a month or longer.
Corporate tenancies	Any tenancy where (to the Member's knowledge)— (a) the landlord is the relevant authority; and (b) the tenant is a body in which the relevant person has a beneficial interest.
Securities	Any beneficial interest in securities of a body where— (a) that body (to the Member's knowledge) has a place of business or land in the area of the relevant authority; and (b) either— (i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or (ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

LONDON BOROUGH OF TOWER HAMLETS

MINUTES OF THE AUDIT COMMITTEE

HELD AT 6.32 P.M. ON THURSDAY, 24 NOVEMBER 2022

**COMMITTEE ROOM ONE - TOWN HALL, MULBERRY PLACE, 5 CLOVE
CRESCENT, LONDON, E14 2BG**

Members Present in Person:

Councillor Ahmodur Khan	Vice-Chair in the Chair
Councillor Saied Ahmed	
Councillor Ohid Ahmed	
Councillor Rachel Blake	
Councillor Asma Islam	
Councillor James King	
Charlotte Webster	Independent Person

Apologies:

Councillor Jahed Choudhury
Councillor Mufeedah Bustin

Officers Present in Person:

Agnes Adrien	(Head of Litigation, Legal Services)
Dr Somen Banerjee	(Director of Public Health)
Ann Corbett	(Director, Community Safety)
Janet Fasan	(Director of Legal & Monitoring Officer)
Katie O'Driscoll	(Director of Adult Social Care)
Denise Radley	(Corporate Director, Health, Adults & Community)
Warwick Tomsett	Joint Director, Integrated Commissioning
Aaron Winter	(Interim Head of Internal Audit, Anti-Fraud and Risk)
Farhana Zia	(Democratic Services Officer, Committees, Governance)

Officers In Attendance Virtually:

Kevin Bartle	(Interim Corporate Director, Resources & Section 151 Officer)
Nisar Visram	(Director of Finance, Procurement & Audit)

APOLOGIES FOR ABSENCE

Apologies for absence were received from the Chair, Councillor Jahed Choudhury and Councillor Mufeedah Bustin.

VARIATION IN THE ORDER OF BUSINESS

The Vice-Chair stated item 4.7 'Code of Corporate Governance' would be taken after item 4.1.

1. DECLARATIONS OF INTEREST

There were no pecuniary declarations of interest declared at the meeting by members.

2. MINUTES OF THE PREVIOUS MEETING(S)

The minutes from the meeting of 28th June 2022 were agreed to be an accurate record of the meeting and were approved by the Committee.

3. DELOITTE ITEMS FOR CONSIDERATION

There were no Deloitte items for consideration.

4. TOWER HAMLETS ITEMS FOR CONSIDERATION**4.1 Follow up work to the independent review on the Finance Improvement Plan**

Mr Kevin Bartle, Interim Corporate Director for Resources and Section 151 officer provided the Committee with a verbal update relating to the improvements made to accounting systems. He said the report in front of the Committee was the follow up report from the independent review conducted by Mr Peter Worth. He said the report provided a narrative of the progress made since the last review which was conducted in September 2020. He said there were two significant areas the Council needed to consider; (1) a restructure of the finance team and (2) whether the Council ought to move to an ERP – enterprise, resource planning system. He said a move to an ERP system would cause significant upheaval but may be the solution that the Council requires. He said an independent organisation had been appointed to advise if an ERP solution was best for the Council.

In response to comments and questions from members the following was noted:

- Mr Bartle reassured members that the errors talked about at page 30 of the agenda were not physical losses of cash. He said it referred to revisions and re-classifications of entries on the balance sheet for that year. He said these had been corrected and restated. He said the 2018/19 accounts were almost complete and he hoped they could be presented at the January 2023 meeting of the Committee.
- Councillor Saied Ahmed commented the report by Mr Worth was valuable in understanding the current position. He said he was concerned the auditing of the 2021/22 accounts had not commenced owing to the backlog of accounts awaiting approval.
- Referring to point 2, financial systems, Councillor Saied Ahmed asked what had been done to address the two outstanding issues relating to

reconciling items. He also asked about the TechForge system and if this was being used.

- Mr Bartle responded stated the two issues identified on page 29 had been resolved however the progress on the TechForge system for asset management had stalled. Mr Bartle said senior managers had met to reinvigorate this piece of work. He said this would not impact the opinion of the external auditors.
- Mr Bartle said the late approval of the accounts had had a significant impact internally such as officer time, resources, cost, plus the headache of solving the issues etc but externally the impact was reputational risk. He said whilst local authorities had to produce their accounts to a deadline, there was no formal commitment for external auditors on how long they took to complete their reviews.
- In relation to the 2 outstanding issues, Mr Bartle explained one was a national issue relating to 'infrastructure assets.' He said this related to council's accounting for roads, highways etc and practically these assets were difficult to define. Mr Bartle said the Government acknowledged this and were expected to announce and publish a statutory instrument (expected in December 2022) whereby these assets do not need to be accounted for. Mr Bartle said this would go some way to reduce the burden on Council's to quantify these types of assets.
- Regarding the second issue, Mr Bartle said this specifically related to Tower Hamlets called 'experienced item'. Mr Bartle explained that every 3 years the actuary provided a figure for the value of the pension fund. However, Deloitte's wanted enhanced paperwork to validate the figure provided. Mr Bartle said this would take time to produce.
- Referring to the KPMG accounts of 17/18, 19/20 and the final certificates, Mr Bartle said the accounts were complete, but much depended on Deloitte's who may raise further queries. If they do not, then the certificates can be issued.
- Mr Nisar Visram, Director for Finance, Procurement and Audit added that once the accounts are produced, they are audited by external auditors, who will refer their audits to a senior partner within their organisation for independent verification. He said its questions from this process that are generating further queries and delays in the accounts being finalised.
- Mr Bartle stated he was hopeful the 2018/19 and 2019/20 accounts would be signed off by January 2023, but he said he's been in this position before and therefore was unable to commit that this would be the outcome. He said his confidence had been shaken by the past missed deadlines.

The Vice-Chair thanked Mr Bartle for the update.

The Audit Committee **RESOLVED** to:

1. Note the contents of the follow-up report on the external independent review of the Council's closure of accounts processes.

4.2 Internal Audit and Anti-Fraud Progress Quarterly Reports (22-23) Q2

Mr Aaron Winter, Interim Head of Internal Audit, Fraud and Risk stated the report provided an update on the progress made against the delivery of the 2022/23 Annual Internal Audit Plan as well as provide an update on anti-fraud work undertaken by the team. He said the report highlighted any significant issues since the last report to the Audit Committee in June 2022.

Mr Winter referred members to paragraph 3.1 of the report and said he was pleased that two out of three vacancies had now been filled. Referring to paragraph 3.2 he said BDO had been awarded the contract to assist with undertaking some of the internal audit work.

In response to comments and questions from members the following was noted:

- Councillor Blake asked why 'land searches' was on the list of Audits given that the audit on 'Homelessness assessments' would be more appropriate to investigate and make recommendations on. Mr Winter responded stating the 'land searches' was a short-scoped item which would enable internal audit to provide assurance to that service. However, the Audit Plan was flexible and the 'homelessness assessment' audit was at the report drafting stage which would provide a more in-depth review.
- Referring to regeneration schemes and the tendering process, Mr Winter said that internal audit needed to be assured that the processes in place were robust even if one tender had been received. He said the recommendations made would be discussed with management.
- In response to how items are added to the Internal Audit Plan, Mr Winter said that feedback from members as well as Directorates was useful. He said the housing programme audit that had achieved a limited assurance would be reviewed and revisited. He said Internal Audit made time for project and contract management audit reviews, as this had significant consequences for the Council.
- Referring to the LCF audit that had been deferred, Mr winter confirmed this would be undertaken in the next quarter - Q1.
- Referring to the table at paragraph 3.6, Ms Webster asked how high and medium priority actions are followed up. Mr Winter said this remained a real focus for Internal Audit. They needed to be satisfied that all recommendations had been implemented and as such they worked closely with the Corporate Directors and CLT to ensure this was a key area of focus.
- Referring to limited assurance for 'looked after children' Ms Webster asked if the recommendations arising from the audit could be shared, especially in relation to the placement monitoring mentioned on page 43. Mr Winter said this was related to a review control to ensure the

check and balances have been done. He said Looked after children are discussed by the Local Safeguarding Partnership.

- **ACTION:** Mr Winter to provide the Committee with more information relating to the limited assurance report on “Commissioning and Monitoring of Looked After Children Leaving Care Placements.”

The Audit Committee **RESOLVED** to:

1. Note the contents of this report and the overall progress and assurance that will be provided for 2022/23.

4.3 Risk Management - Corporate and Health, Adults and Community Directorate Risk Registers

Mr Aaron Winter, Interim Head of Internal Audit, Fraud and Risk presented the Corporate Risk Register and stated that Ms Denise Radley, Corporate Director for Health, Adults and Community along with her Divisional Directors were present to answer question relating to her Directorate.

Mr Winter reminded the committee that Internal Audit provided oversight of the corporate risk register but responsibility for individual risks laid with the risk owner. He said the corporate risk register was regularly reviewed by the Corporate Leadership Team, with Directorate registers reviewed and updated with the assistance of Corporate Directors and the JCAD risk software.

In response to comments and questions from members the following was noted:

- Mr Winter said the upgrade to the JCAD software was imminent and would allow for data to show how much a risk had moved. He said his team were testing the functionality of this and would be rolled out soon. He said he hoped future reports to the Committee would show the movement in the risk.
- In reference to budget management for Adult Social Care Services, Ms Radley said a significant amount of training had been provided to budget managers, to manage the demand and cost of providing care. She said there were on going budget pressures with an overspend of £3 million. She said the announcements made by Government as part of the Autumn statement would also impact on social care budgets. Ms Katie O’Driscoll explained how manager met on a weekly basis to review, discuss and manage the budget spending in their areas of specialism.

The Audit Committee **RESOLVED** to:

1. Note the corporate risks, and where applicable request risk owner(s) with risks requiring further scrutiny to provide a detailed update on the treatment and mitigation of their risk including impact on the corporate

objectives at the next Audit Committee meeting (or separately before the meeting if urgent).

2. Note the Health, Adults and Community Directorate risks and where applicable request risk owner(s) with risks requiring further scrutiny to provide a detailed update on the treatment and mitigation of their risk including impact on the directorate's objectives at the next Audit Committee meeting (or separately before the meeting if urgent).

4.4 Annual Review of the London Borough of Tower Hamlets Anti-Money Laundering Policy and Guidance

Mr Aaron Winter, Interim Head of Internal Audit, Fraud and Risk said the report recommended the Committee to note and approve the Council's Anti-Money Laundering Policy and Guidance ('The AML Policy') that all council employees are expected to comply with.

In response to comments and questions from members the following was noted:

- Members had no questions for Mr Winter.

The Audit Committee **RESOLVED** to:

1. Note and approve the Council's AML Policy;
2. Note the equalities impact assessment / specific equalities considerations as set out in paragraph 4 of the report.

4.5 Annual Risk Report 2021/22

Mr Aaron Winter, Interim Head of Internal Audit, Fraud and Risk said the report summarised the risk management activity during the course of 2021/22 and provided an update on the progress made against the previously agreed actions as well as a proposed action plan for 2022/23.

In response to comments and questions from members the following was noted:

- Members had no questions for Mr Winter.

The Audit Committee **RESOLVED** to:

1. Note the annual risk management report and agree the proposed risk management plan for 2022/23.

4.6 Annual Insurance Report 2021/22

Mr Aaron Winter, Interim Head of Internal Audit, Fraud and Risk stated the report was presented annually to the Audit Committee and provided the Committee with an overview of the work of the internal insurance service and their performance.

In response to comments and questions from members the following was noted:

- Members had no questions for Mr Winter.

The Audit Committee **RESOLVED** to:

1. Note the contents of the report.

4.7 Code of Corporate Governance

Ms Janet Fasan, Director of Legal and Monitoring Officer presented the Code of Corporate Governance report. She said the code of corporate governance set out the Council's commitment to uphold the highest standards of good governance. She said the code was first created in 2018 and has been reviewed every year since. She said the report being presented was the 2022/23 review version for the Committee's comments and endorsement.

In response to comments and questions from members the following was noted:

- Ms Fasan confirmed protocols such as the member and officer code of conduct, member-officer relations protocol could be found on the intranet, as part of the council's constitution.
- Ms Fasan said that as part of the consultation process, each directorate was consulted and responsibility for the code lie with the Corporate Leadership Team. She said the code is reviewed each year to ensure it is up to date.
- Mr Winter added that Members had an opportunity to comment on the code as part of the Annual Governance Statement.

The Audit Committee **RESOLVED** to:

1. Review and comment on the revised Code of Corporate Governance
2. Endorse the Code and agree that it be published on the Council's website.
3. To delegate to the Head of Democratic Services, following consultation with the Chair of the Audit Committee and the Head of Internal Audit, Fraud and Risk, the authority to make minor changes to the Code as required before final publication on the Council's website.

5. AUDIT COMMITTEE WORK PLAN

Councillor James King suggested Deloitte and KPMG should be invited to the next meeting of the Audit Committee, to explain what the outstanding issues in relation to the accounts are. Councillor King said it was vital to understand how the deadlock could be broken, to get the outstanding accounts signed-off.

Mr Kevin Bartle confirmed they would be invited to the next meeting.


6. ANY OTHER BUSINESS THE CHAIR CONSIDERS URGENT

Mr Kevin Bartle, Interim Corporate Director for Resources and Section 151 Officer, Mr Nisar Visram, Director of Finance, Procurement and Audit, as well as Committee Members thanked Mr Aaron Winter, Interim Head of Internal Audit for his contributions to the Audit Committee, stating that they were thankful to Mr Winter for overseeing the responsibilities for Internal Audit over the last eight months. They wished Mr Winter the best for the future. Mr Bartle said they had recruited to the permanent position of Head of Internal Audit and were awaiting HR clearances before announcing the appointment.

Committee Members also thanked Mr Bartle for his contribution and enquired if he would be still in post for the January 2023 meeting. Mr Bartle said he hoped to attend this meeting.

The meeting ended at 8.26 p.m.

Vice-Chair in the Chair, Councillor Ahmodur Khan
Audit Committee

Non-Executive Report of the: Audit Committee Thursday, 26 th January 2023	 TOWER HAMLETS
Report of: Caroline Holland, Interim Corporate Director, Resources (S.151 Officer)	Classification: Open (Unrestricted)
Internal Audit and Anti-Fraud Quarterly Progress Report	

Originating Officer(s)	Bharat Mehta
Wards affected	(All Wards);

Executive Summary

This report provides an update on progress against the delivery of the 2022/23 Annual Internal Audit Plan, and an update on fraud prevention and anti-fraud work. The report also highlights any significant issues since the last report to the Audit Committee in November 2022.

Recommendations:

The Audit Committee is recommended to:

1. **Note** the contents of this report and the overall progress and assurance that will be provided for 2022/23.

1. REASONS FOR THE DECISIONS

- 1.1 The Accounts and Audit Regulations 2015 state that a relevant authority must ensure that it has a sound system of internal control which:

- facilitates the effective exercise of its functions and the achievement of its aims and objectives;
- ensures that the financial and operational management of the authority is effective; and
- includes effective arrangements for the management of risk.

- 1.2 The Audit Committee has responsibility for oversight of the arrangements for governance, risk management and control and this report assists the Committee in discharging its responsibilities.

2. ALTERNATIVE OPTIONS

- 2.1 None.

3. DETAILS OF THE REPORT

Internal Audit

- 3.1 The Council's internal audit service has an establishment of three Senior Internal Auditors, two Internal Auditors, one Audit Practitioner (Apprentice) , one Fraud Prevention Officer and is led by an experienced Audit and Fraud Prevention Manager who is also the Deputy Head of Internal Audit. During 2022/23, the service carried three vacancies, but following the completion of a recent recruitment campaign, we have been successful in appointing one Senior Internal Auditor from December 2022. This leaves two vacancies at Internal Auditor level, which we have not been able to fill.
- 3.2 Following a re-procurement exercise, BDO – a professional services and accountancy firm was selected and the Council is currently in the process of letting the contract. It is expected that the contract will be awarded by mid-January 2023. As BDO was our previous provider, this will assist in providing continuity of service and provide the additional resource capacity to support the delivery of the 2022/23 Annual Internal Audit Plan.
- 3.3 The Audit Committee is provided with updates at each meeting on progress against the Annual Internal Audit Plan which was approved by the Audit Committee in March 2022. This report provides an update as at December 2022 against the 2022/23 Annual Internal Audit Plan. It should be noted that the Audit Committee meeting on 24th November 2022 received an update against the Audit Plan as at October 2022 and hence the present report includes audit activities and progress for a two month period only.
- 3.4 This report also provides an update on the 2021/22 audits which remain to be finalised and includes a summary of one audit finalised in December 2022 at Appendix A. Members will recall that the Head of Internal Audit Annual Report for 2021/22 was submitted to the June 2022 Audit Committee and provided detailed analysis of the progress and outcomes against the 2021/22 Annual Internal Audit Plan.
- 3.5 In addition, we also deliver internal audit services to Tower Hamlets Homes (THH) via a Service Level Agreement. Progress against their separate plan is reported to the THH Finance and Audit Committee on a quarterly basis. The THH plan includes eight audits and follow up activity for 2022/23.

Management's Progress in Implementing Agreed Actions

- 3.6 Management is responsible for implementing the agreed actions at the conclusion of an internal audit. During the course of 2022/23, Internal Audit has followed up some of the agreed actions to determine whether they have been fully implemented and are operating effectively. The table below provides further details.

Implementation of Agreed Management Actions for Follow Ups verified by Internal Audit between April 2022 and December 2022

	High Priority	Medium Priority
Number of Agreed Management Actions Followed Up	6	20
Number of Management Actions Fully Implemented	1	9
Number of Management Actions Partially Implemented	2	10
Number of Management Actions Not Implemented	3	1
% Fully Implemented	17%	45%
% Partially Implemented	33%	50%
% Not Implemented	50%	5%

To support Management in improving the implementation rates of agreed actions, the Head of Audit has developed follow up trackers for each Directorate which are then shared with the DLTs. These enable Management to self-assess and update the trackers directly in relation to their progress in implementing the agreed management actions. These are presented periodically at relevant Directorate Leadership Team meetings, providing an escalation route for any delays, and indicating when it is appropriate for Internal Audit to conduct a follow up review to verify the effective implementation of high and medium priority recommendations. Necessary escalation process is in place when agreed actions are not fully implemented.

Progress Update on 2021/22 Audits

- 3.8. The June 2022 Audit Committee was provided with a detailed analysis of the progress and outcomes against the 2021/22 Annual Internal Audit Plan. The following 2021/22 audits remain to be finalised:

Audit title	Progress up- date
Compliance with Failed Visits Procedures – Health, Adults and Community.	Management response awaited.
Property Disposals - Place	Revised report to be discussed with the Acting Director, Property & Major Programmes in January 2023
S 106 Planning Obligations – Place	Revised report to be issued in January 2023

Progress against the 2022/23 Internal Audit Plan

- 3.9. Following the approval of the Annual Internal Audit Plan for 2022/23 at the Audit Committee's meeting held on 24 March 2022, progress has been made in scoping and planning the following agreed reviews:

Audits at Planning Stage

Audit title	Current Target for draft report
Educational Psychologists - Service Review	February 2023
Equality Assessments	March 2023
Signing & Sealing of Documents (incl. retention)	March 2023
Council Tax	March 2023
Revenue Budgetary Control	March 2023
IT Cloud Strategy & Operation	February 2023
IT Virtual Infrastructure	March 2023
Children's Safeguarding Partnership – Monitoring of Action Plans	March 2023
Land Searches	April 2023 (Re-prioritised)

Audits in Progress (Fieldwork / Draft reporting)

Audit title	Current Target for draft report
Payments without orders (AP1)	Draft Report issued in Oct. 2022
Supporting Stronger Families Grant Certification	On-going monthly grant certification work
Readiness for the New Building Safety Legislation	Draft Report issued in Nov. 2022
Contract Management and Monitoring of a sample of IT Contracts	February 2023
Homelessness Assessments	March 2023
Management of Members' Interests, including Related Party Interests	January 2023
Acting Up and Honoraria Payments	January 2023
Compliance Testing of Bank Reconciliation Process	February 2023

Compliance Testing of Schools Licensed Deficit process	February 2023
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2022/23 Audits completed and finalised since November 2022 Audit Committee

Audit title	Date Audit completed/Final Report Issued
Management of Regeneration Projects	December 2022
Contract Monitoring of Electrical MTC Works	November 2022
Supporting Stronger Families Grant Certification	Monthly grant certification work

Summaries of the 2022/23 audits finalised since November 2022 are reported at Appendix B.

2022/23 Priority 1 Audits Requested by Management to be Deferred to 2023/24

Audit title	Directorate
Monitoring of Local Community Fund Grants (LCF)	Chief Executive's Office
CIPFA/SCIE action plan follow up	Health, Adults and Community
Holiday Playschemes	Children and Culture

2022/23 Priority 1 Audits Requested by Management

Audit title	Directorate
Management of Members' Interests	Corporate
Management and Support of Sports and Physical Activities by Clubs and Organisations – Advisory Review	Children and Culture
Management and Control of Cost of Living Payments	Place

- 3.10 As part of the plan, the recommencement of the school audit programme was agreed. A total of 15 schools have been selected, and audits have been scheduled, with fieldwork being delivered from May 2022 to October 2022. The following schools have progressed:

Audit title	Current Status	Assurance Opinion
Bangabandhu Primary School	Draft Report	Reasonable
Blue Gate Fields Junior School	Final Report	Limited
Central Foundation Girls Secondary School	Final Report	Reasonable
Chisenhale Primary School	Draft Report	Reasonable
English Martyrs Primary School	Final report	Reasonable
Hague Primary School	Final Report	Reasonable
Halley Primary School	Deferred	School audit deferred to next programme
Hermitage Primary School	Final Report	Reasonable
Mowlem Primary School	Final Report	Reasonable
Stepney All Saints Secondary School	Final Report	Limited
Stepney Park School	Fieldwork	N/A – Fieldwork in progress
St Mary's and St Michael's RC Primary School	Draft Report	Limited
St Peters London Dock Primary School	Draft Report	Reasonable
Stewart Headlam Primary School	Final Report	Reasonable
William Davis Primary School	Final Report	Reasonable

Summaries of those schools' audits finalised since November 2022 and receiving Limited Assurance opinions are reported at Appendix B. The Audit Committee will receive an Annual Report on schools' audits in March 2023 which will pull together key issues, risks and themes across all the schools audited in 2022/23.

Fraud Prevention Activities

3.11 The Internal Audit and Anti-Fraud Service includes a dedicated Fraud Prevention Officer role that reports to the Internal Audit and Fraud Prevention Manager. Work to date has included:

- Review of the Recruitment and Selection policy, Gifts and Hospitality Policy and Secondment Policy prior to roll out.
- Review and amendment of the single person discount online application.

- Delivered two fraud awareness sessions to schools; two fraud awareness sessions to the Direct Payments team; one fraud awareness session to the No Recourse to Public Funds Team and one fraud awareness session to the Lettings teams.
- The services of the Metropolitan Police have been secured in conjunction with the Civil Protection Unit to deliver training on fraudulent documentation detection. Two training sessions were held on 8th and the 29th September 2022. Sessions were made available via the Learning Hub for wider Council teams to attend. Further training was delivered on the 22nd and the 29 November 2022. Sessions were well attended and well received.
- Delivered the Fraud Awareness Week during w/c 18th July 2022. This was headlined by an Anti-Fraud message from the Chief Executive.
- Following from the Fraud Awareness Week, three potential fraud referrals were received. There have also been several enquiries concerning fraud related matters and requests for further fraud awareness training.
- Conducted a high-level review of the fraud prevention arrangements concerning Right-to-Buy applications.
- Conducted a high-level review of the housing application process with the Housing Options Team to consider how to identify anomalies and potential fraudulent applications.
- Provided anti-fraud support information and guidance to the No Recourse to Public Funds Team.
- Ongoing updates to Fraud Prevention information on the Intranet.
- A series of fraud awareness sessions is planned to be delivered to an estimated 300 THH staff over 3 sessions. First session due to commence in January 2023. In addition, currently planning Fraud awareness sessions to be delivered to Human Resources and Procurement teams.
- Work on anti-fraud e-learning training has been completed and is Scheduled to be rolled out to all staff via Learning Hub in February 2023.
- Ongoing reviews and updates are being made to the fraud risk register.
- The data sets for the NFI (National Fraud Initiative) 2022/23 exercise have been submitted and matching results are due to be released in the first quarter of next year.

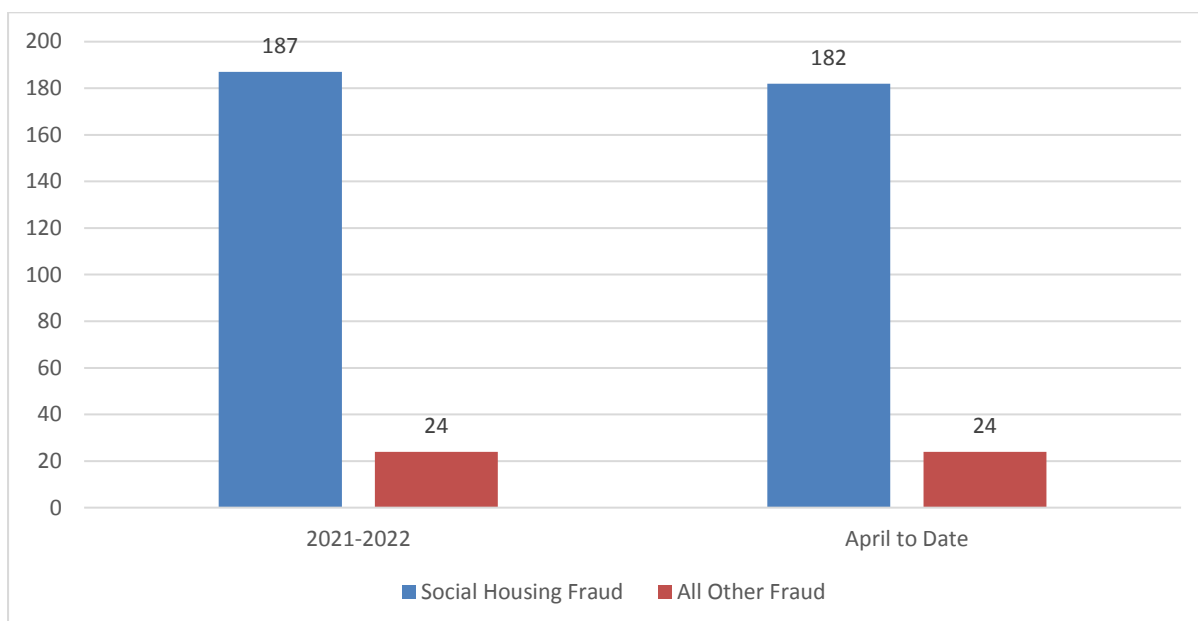
Fraud Investigation Activities

- 3.12 All investigation activities including social housing fraud, insurance fraud, internal fraud, and blue badge fraud are dealt with by the Investigation Team. The team consists of five Fraud Investigators, a Fraud Investigator Apprentice, two Social Housing Fraud Investigators (funded by Tower Hamlets Homes) and two Blue Badge Investigators (funded by Parking). The team is supported by an Intelligence Officer and led by an experienced Investigation Manager.

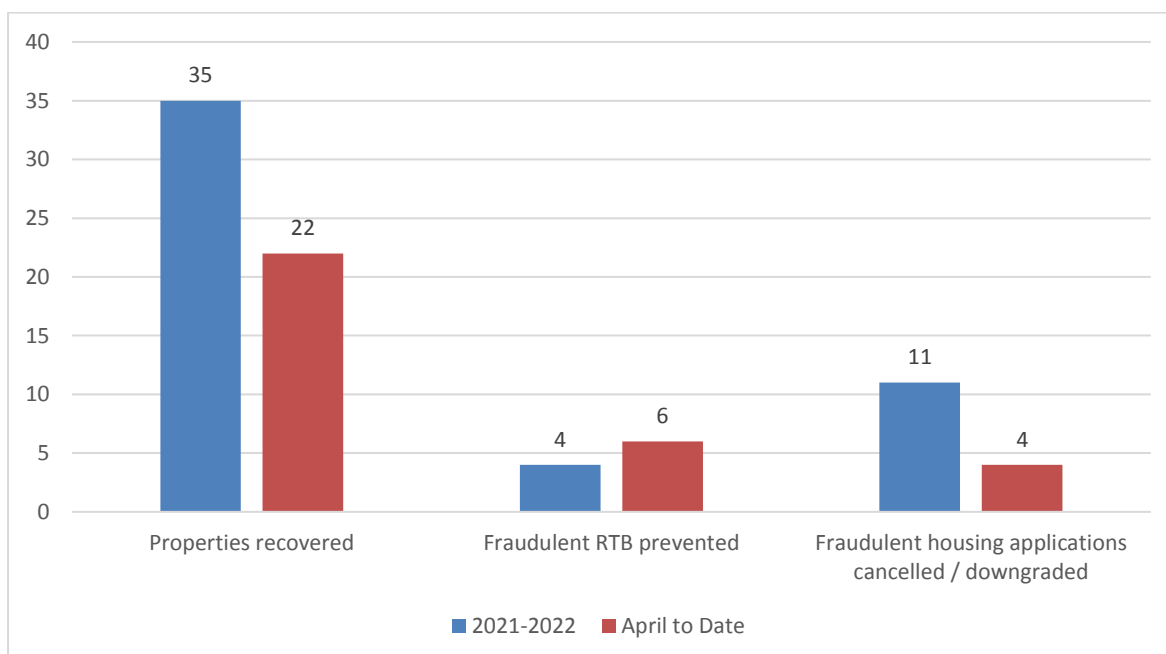
Summary of Caseloads, Referrals and Outcomes for 2022/23

A summary of referrals and outcomes for 2022/23 is shown below:

Referral Activity - Comparison 2021/22 to 2022/23 (To date)



Outcome Comparison 2021/22 to 2022/23 (To date)



3.13 In addition to the outcomes above, during 2022/23 to date, the team have secured one criminal conviction and two unlawful profit/compensation orders amounting to £121,000 in total. There is a further agreed compensation payment totalling £175,000 which has been agreed and is being legally formalised regarding compensation for a historic Right-to-Buy which was fraudulently obtained.

4. EQUALITIES IMPLICATIONS

4.1 There are no equalities implications.

5. OTHER STATUTORY IMPLICATIONS

5.1 This section of the report is used to highlight further specific statutory implications that are either not covered in the main body of the report or are required to be highlighted to ensure decision makers give them proper consideration. Examples of other implications may be:

- Best Value Implications,
- Consultations,
- Environmental (including air quality),
- Risk Management,
- Crime Reduction,
- Safeguarding.
- Data Protection / Privacy Impact Assessment.

5.2 Other than the Accounts and Audit Regulations 2015 there are no other statutory implications.

6. COMMENTS OF THE CHIEF FINANCE OFFICER

6.1 Other than the requirements on the authority and responsible financial officer set out in the Accounts and Audit Regulations 2015, there are no significant financial implications.

7. COMMENTS OF LEGAL SERVICES

7.1 This report is compliant with the Council's legal duties in respect of risk and internal audit. It also demonstrates compliance with the Corporate Director Resources' statutory duties under s.151 of the Local Government Act 1972.

Linked Reports, Appendices and Background Documents

Linked Report

- None.

Appendices

- Appendix A – Final audit summaries for 2021/22 audits
- Appendix B – Final audit summaries for 2022/23 audits

Local Government Act, 1972 Section 100D (As amended)

List of “Background Papers” used in the preparation of this report

List any background documents not already in the public domain including officer contact information.

- None.

Officer contact details for documents:

Bharat Mehta

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Summaries of Finalised Internal Audits for 2021/22

Assurance level	Significance	Directorate	Audit title
Limited Assurance	Extensive	Children and Culture	Management of SLAs for Traded Services with Schools

Limited / Reasonable Assurance

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
Management of SLAs for Traded Services with Schools	Dec. 2022	<p>This audit reviewed the effectiveness of management of SLAs for Traded Services with schools. There are 32 Traded Services operating within the Council, 9 of these are for children services. We selected a sample of 3 services, viz. School Library Service, Safeguarding Service and Education Psychology to test the systems and controls. The following good practices were identified:-</p> <ul style="list-style-type: none"> • There is a marketing brochure in place which details the services that can be purchased by schools, including the cost of services, how services are delivered and how to purchase the services on the SLA online portal. • We conducted interviews across three services, to assess the contractual arrangements between the Council and each school. Schools who make purchases of services on the SLA online portal automatically enter into a contract with the Council. We were provided with several completed feedback forms from each school, which detailed feedback on the Council’s services delivery. We are able to verify that the Council actively request and receives feedback from Schools. • A review of key documents including price lists, income and budget reports for the Library and Safeguarding Teams found that that both services have accurate costing calculations in place which detail the current budget, income to date, expenditure and variance forecast budget. We also noted that budgets are used to track the team’s income and monitor the annual income savings targets. 	Moderate	Limited

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<ul style="list-style-type: none"> <li data-bbox="725 288 1688 759">We also analysed the budgets for the Library and Safeguarding services, to ensure that monitoring of income and expenditure is regularly conducted. We found that both departments maintain spreadsheets which outline their monthly budget forecasts, and income and expenditure and we can provide assurance that there were sound financial monitoring processes in place. From reviewing the 21/22 Safeguarding and 20/21 Library services budget reports, we can confirm that Library Services had a surplus of £12,051.31. The budget vs current forecast for Safeguarding services states there was an underspend of £37,211.15. This information was taken from a budget report YTD however, we did not receive the final outturn report to confirm whether the current budget position was met. <p data-bbox="678 783 1375 815">The following key issues and risks were reported:</p> <p data-bbox="678 855 1675 1145">Strategy/Business Plan: There is currently some work being done on developing a strategy/ business plan for the delivery of the nine SLA traded services to schools as there is currently no strategy/plan in place. Our discussions with the three Heads of Services identified inconsistencies. We also noted that activities appeared to be uncoordinated, unstructured, and not aligned with the Council's Strategic Theme of "Working smarter together as one team with our partners and community".</p> <p data-bbox="678 1153 1659 1334">The role of the Head of School Governance and Traded Information Services is to provide coordination and structure to all traded services within Children's services. We were informed that they are in the process of drafting a business balanced score card, which will form a part of the Traded Services Strategy/business plan.</p>		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<p>Policies and Procedures There are no policies and procedures in place for the delivery of traded services to schools with no details on how services are supplied, delivered and quality assurance processes outlined. We also noted that roles and responsibilities, delegated authorities, management arrangements, time frames, and contingency arrangements have not been defined.</p> <p>Contractual Arrangements and Monitoring We found that the School Library Services and Safeguarding departments issue feedback forms for schools to complete once services have been delivered. However, we were unable to review any feedback forms from Education Psychology as these were not provided. However, we found that there are no formal contract management arrangements in place. As the necessary evidence was not submitted, we were unable to provide assurance on whether the services proactively act on the feedback received to inform improvements as we were not provided with evidence. In addition, we were informed that regular contract monitoring meetings are not undertaken to formally review the performance of the delivered service between the Council and customer/schools.</p> <p>Financial policy and monitoring arrangements We examined the costing calculations for the three traded services to ensure that these were costed appropriately and income that was generated sufficiently covered costs of resources and staff salaries. Although we found no issue with the way Heads of Services cost their services, we noted that there is no formal approval process on the agreed fixed fees for the services delivered for the year. Our review</p>		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<p>also highlighted that there are currently no formal charging/pricing policies in place for the nine Traded Services. Management advised that the Heads of the Service are responsible for deciding the price of the SLA services which are delivered.</p> <p>Billing and payment control</p> <p>We reviewed the billing and payment control processes to assess whether appropriate controls are in place to recover outstanding debts. The defined system for billing and payments control is that schools should order and pay for services from the online SLA portal. However we found that the online SLA portal is not consistently used for services to be procured and payments to be received. We we identified that some services, like safeguarding raise their invoices on the Council financial ledger system; Agresso. This made it difficult to clearly identify and account for all traded services income transactions.</p> <p>All findings and recommendations were agreed with the Head of School Governance and Traded Services. The final report was issued to the Corporate Director of Children and Culture, Director of Education and Strategic Head of Finance.</p>		

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Summaries of Finalised Internal Audits for 2022/23

Assurance level	Significance	Directorate	Audit title
Limited	Extensive	Children and Culture	Stepney All Saints Church of England Secondary School
Limited	Moderate	Children and Culture	Blue Gate Fields Junior School
Reasonable	Extensive	Place	Management of Regeneration Projects
Reasonable	Moderate	Place	Procurement and Contract Monitoring of Electrical MTC

Limited / Reasonable Assurance

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
Stepney All Saints Church of England Secondary School	Nov. 2022	<p>The objective of this audit was to carry out an audit review of the school's governance, financial management, budgetary control, income and expenditure controls, procurement, asset management, HR/Payroll management, security management and other key financial administration processes. The school has an agreed budget for 2022/23 of £13,189,369 with brought forward balance of £1,378,685 from 2021/22 resulting in cumulative budgeted surplus for 2022/23 being £2,087,898. We understand that £478,500 of the brought forward balance was committed to agreed projects by governors for swimming pool re-development, rebranding and uniform. The following good practices were identified:</p> <ul style="list-style-type: none"> • Governors have received appropriate induction and on-going training for their role. Details of training available and attended by governors is recorded within the Governing Body meeting minutes • The Scheme of Delegation and Financial Procedures are up to date for the current year. • A whistleblowing policy is in place and was last reviewed in December 2021. The policy is accessible on the shared drive for all members of staff to access. Staff are further reminded of the whistleblowing policy each year in September. 	Extensive	Limited

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<ul style="list-style-type: none"> • School Improvement Plan identifies the financial cost and resources required for implementation and has been approved by the Governing Body. • We selected a sample of three leavers from August 2021 to April 2022 and confirmed that they had all been removed from payroll in a timely manner. Payroll reconciliations are carried out on a monthly basis, and are reviewed by the Head Teacher. • The school has a Business Continuity/ Disaster Recovery Plan in place that clearly outlines the current arrangements for restoring data and access to systems, alternative working arrangements/locations as well as protocols in the event of an emergency. We note that the plan is reviewed on an annual basis and was last reviewed in May 2021. <p>The following key findings/issues and risks were reported:-</p> <ul style="list-style-type: none"> • Governors' Declaration of Interests forms were not reviewed and signed off by the Chair and the Head Teacher to ensure that governors have declared the relevant business and other interests. • There is no evidence of monthly budget monitoring undertaken by the School Business Manager and the Head Teacher. • We identified two contracts where quotes had not been obtained and the rationale for not obtaining quotes was not recorded. One contract for a Building Maintenance Scheme totalled £39,015 and the second contract with Recruitment totalled £26,760.96. 		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<ul style="list-style-type: none"> • One of the school's bank account (used for making bursary payments) is not reconciled on a monthly basis. The closing balance at 1st April 2022 totalled £ 51,232. • For a sample of three payments made to individuals, our test identified that for all payments, the school had not completed assessments for individual's self-employed status vs employee via the HMRC CEST Toolkit, prior to making payments without the deduction of tax. • Evidence of inventory report completed in 2021 could not be located due to the IT Manager at the time having been new to post. The School Business Manager confirmed this was informally communicated to governors. • For a sample of three assets purchased from April 2021 to date, whilst we confirmed that these were physically present within the school, they were not yet recorded on the inventory register. <p>All findings and actions were agreed with the Headteacher. Final report was issued to the Chair of Governors, Corporate Director of Children and Culture and Strategic Head of Finance – Children and Culture.</p>		
Blue Gate Fields Junior School	Nov. 2022	This audit sought to provide assurance around the effectiveness of the school's governance arrangements, financial management, budgetary control, income and expenditure controls, procurement, asset management, HR/Payroll management, security management and other key financial administration processes. The school's approved budget for 2022/23 was £2,822,766 and the surplus brought forward from 2021/22 was £208,670.	Moderate	Limited

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<p>The following good practices were reported:-</p> <ul style="list-style-type: none"> • Minutes of Full Governing Body meetings from September 2021, December 2021 and February 2022 included updates regarding budget monitoring information. • The school has a whistleblowing policy in place dated September 2021 which is accessible on the shared drive and is communicated to staff at the beginning of each academic year. However, we noted that the policy was not published around the school. • Our review of the School Development Plan 2021/22 and 2022/23 (SDP) confirmed that it includes the financial cost and resources required for implementation and has been approved by the Governing Body. This School Development Plan is further broken down into specific categories to provide further detail for each plan. • For a sample of three leavers from April 2021 to April 2022, we confirmed that they had all been removed from payroll in a timely manner. • The school has a Disaster Plan (DP) / Backup Letter in place, which was last reviewed in September 2021, and is due to be reviewed again in September 2023, or upon a change to process or legislative change. The Disaster Plan clearly outlines the current arrangements for restoring data and access to systems, alternative working arrangements/ locations as well as protocols in the event of an emergency. • For a sample of four new starters, we noted that at least one panel member had received Safer Recruitment training. We also confirmed that all starters pre-employment checks had 		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<p>been completed including Disclosure and Barring Services (DBS).</p> <p>The following key findings/issues/risks were highlighted:-</p> <ul style="list-style-type: none"> • For a sample of five higher value payments, there was no evidence to demonstrate that three quotes had been obtained before the procurement of each good or service. The value of the payments ranged between £10,056 - £30,507.74. • The Finance Manual states expenditure over £15,000 requires Governing Body approval. For a sample of three higher value payments that exceeded £15,000, we were unable to verify whether the Full Governing Board had approved the payments, as stated in the Finance Manual. • We selected a sample of ten good/services to verify whether a purchase order had been created prior to the purchase being made. Our review identified that five samples, had no evidence to demonstrate that a purchase order had been raised. Additionally, we noted for one sample, whilst a purchase order was raised there was no evidence of it being authorised. • Our review highlighted that there is no segregation of duties as the Head Teacher reviews and signs off their own procurement card statement at month end. • We were informed by the Head Teacher and Finance Manager that the school has no Committees in place. The Full Governing Body assumes the role of all Committees. It was however noted that both the Finance Manual and the Scheme of Delegation makes reference to roles and responsibilities of Committees which do not in fact exist. 		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<ul style="list-style-type: none"> • Our review of the Scheme of Delegations (SOD) highlighted that expenditure limits for authorised personnel are not complete. For example, the SOD does not include expenditure limits for all members of staff with financial responsibilities. • We were informed that budget monitoring is undertaken monthly by the Finance Manager and the Head Teacher however, we were unable to assess the controls in place, as the process is not documented or signed off. • We selected a sample of four starters and found that for one case the interview sheet had not been completed. Furthermore, we noted for two starters the score marks had not been recorded on the interview sheets. • The school has a leavers checklist in place however, we noted that it is not completed for all leavers. Whilst payroll reconciliations are undertaken monthly and reviewed by the Head Teacher, evidence of the Head Teacher's review and approval was not documented. • We reviewed a sample of payments made to three individuals to determine whether the self-employed vs employee assessment via HMRC Toolkit had been used. We found that for all three samples, the school were unable to provide the supporting evidence. • The school has an inventory register; however, we noted that six newly purchased air conditioning units had not been recorded on the register. The school were unable to provide evidence to demonstrate when the last full inventory had been completed or confirm whether the register had been reported to the Full Governing Body. 		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<ul style="list-style-type: none"> We reviewed the Full Governing Board minutes and noted that training undertaken by Governors is recorded in the minutes. However, our discussions with the Head Teacher confirmed there is no formal training register maintained to record all training modules completed by Governors. <p>All findings and actions were agreed with the Headteacher. Final report was issued to the Chair of Governors, Corporate Director of Children and Culture and Strategic Head of Finance – Children and Culture.</p>		
Management of Regeneration Projects	Dec. 2022	<p>This audit reviewed the systems for governing, managing and monitoring Regeneration projects to provide assurance that the Council's procedures were followed and the projects achieved the objectives and priorities set within the approved Delivery Plan.</p> <p>To support Regeneration across the borough, a Delivery plan and an initial 5-year programme was drawn up with the assistance of business management consultants. The Delivery plan, dated May 2019, included eight 'regeneration outcomes'.</p> <p>The focus of this audit review was on the regeneration projects managed and delivered by the Regeneration Team. We selected a sample of 5 projects (out of 16 currently listed as being planned/delivered) to test the soundness and adequacy of controls. The following good practices were reported:-</p> <ul style="list-style-type: none"> There is a governance structure for the oversight of regeneration projects, namely the Regeneration Board, chaired by the Mayor and supported by 4 local area boards. The role, purpose and membership for the Regeneration Board, as well 	Extensive	Reasonable

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<p>as for the four area boards is set out in a Terms of Reference which was dated July 2020. There is also a Terms of Reference dated May 2020 for the Local Infrastructure Fund (LIF) Working Group whose role it is to approve the allocation of LIF funds for community projects.</p> <ul style="list-style-type: none"> • A governance structure for the delivery of the Council's capital programme was set up in 2019, which allows for the scrutiny and approval of bids and project proposals at the following levels: Capital Finance Assessment Working Group, Asset Management and Capital Working Group, Asset Management and Capital Delivery Board and Capital Strategy Board. • There was evidence that 2 projects in the audit sample of 5 had been included in the Council's capital programme and relevant growth bids and Project Initiation Documents (PIDs) had been reviewed and approved at the required Board levels. 3 other projects were funded via the LIF for which there is a different route for inclusion in the capital programme as they arise from consultation with the community. All 3 projects had been included in the Local Infrastructure Fund Programme reported to Cabinet. • Audit testing of 5 projects showed that PIDs, quarterly monitoring reports and other associated documents are in accordance with the Council's corporate project guidance and process, which aligns with the Prince2 methodology. • Project codes had been set up for each project in the audit sample of 5 to facilitate effective budget monitoring. 		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<p>The following issues and risks were highlighted for Management to address:-</p> <ul style="list-style-type: none"> • The Regeneration delivery plan and 5-year programme created in 2019 and based on 8 regeneration outcomes was to be overseen by the Regeneration Board. The stated purpose was to coordinate regeneration delivery within the Council, ensuring that there is a joined up / 'no silo' approach; and to steer a strategic approach to the securing of funds for regeneration. However, the delivery plan and programme have not been formally adopted by the Council through incorporating it into the Strategic Plan, nor have they been reviewed and updated since May 2019. • Regeneration projects are delivered by various services within the Council, such as Housing Regeneration, and Public Health as well as the Regeneration Team. However, the Regeneration Board appears to focus on projects delivered by the Regeneration Team only. While services such as Housing Regeneration were consulted when the 5-year programme was drafted, there has been little engagement with the Regeneration Board from Council Services that also manage and deliver other regeneration projects. • The role and responsibilities of the Regeneration Team needed to be clearly documented and agreed. The delivery plan document states that the Regeneration Team will be a small tactical team, will have an enabling role, developing programme and projects from inception to planning and then hand these over to others to deliver. In practice, however, the Regeneration Team manage and deliver projects themselves, 		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<p>but this change in role has not been reflected in the plan as it has not been reviewed since its issue in 2019.</p> <ul style="list-style-type: none"> • We noted that at the September 2022 meeting of the Regeneration Board, which was the first meeting under the new administration, the Board did not request/receive the terms of reference of the Board for review and approval; neither did the Board request the Delivery Plan for 2019 to 2023/24 and work plan for Regeneration Team for 2022/23 for review and approval. • Outside of the Board meeting, we understand that the Mayor has requested changes to the 2022/23 programme which were recorded in the Regeneration Team plan. Decisions outside of the Board meeting can lead to poor audit trail and lack of transparency. We were advised that the new administration is reviewing the current capital programme with a view to only progressing schemes that are aligned to the new strategic plan/manifesto. The revised programme will be finalised in December and will be submitted to Cabinet in January 2023 for full approval. Therefore, there are risks associated with this approach whereby long agreed projects which may have already commenced, funded, monies spent and are now being abandoned, may have financial and reputation risks. • Although there is evidence of monitoring within the Regeneration Team and that regular progress updates are provided to the Local Area Boards as well as Partnership Boards, we found that there is no formal corporate monitoring of capital schemes and projects, other than for those that are funded through the LIF, for which there is a separate monitoring process. Until a year ago, dashboards were 		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<p>compiled by the Programme Office within the Capital Delivery Service for the Asset Management and Capital Delivery Board, but this has lapsed. We were advised that a refreshed dashboard is in development.</p> <ul style="list-style-type: none"> • The Regeneration Board has not monitored the progress of the delivery plan through annual progress reports, although this is a purpose stated in its terms of reference • The Cabinet report of 2020 decided that the Regeneration Team would work with the Council’s Strategy, Policy and Performance directorate to monitor whether the delivery of the regeneration programme is achieving an improvement against the eight Regeneration Outcomes. We were informed that a range of existing and, where required, new indices will be brought together to measure the cumulative impact of additional regeneration activity. However, we found that the high-level reporting within the Annual Strategic Performance report (last report 2021-22 to Cabinet in August 2022) did not appear to relate to the 5-year regeneration programme as performance is based on “Measuring provisions towards regeneration outcomes achieved through planning consents including strategic sites and allocations in the Local Plan.” • There did not appear to be a clear record of completed/closed regeneration projects across the Borough. Audit was provided with 1 closing report for a small revenue funded project, Millwall Arches, which was signed off by the Head of Regeneration in November 2021. The Head of Regeneration advised that not many projects have been completed since the Regeneration Team was created in 2019. A recommendation was made to ensure that a system is put in place which allows 		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<p>to identify easily all live/closed projects so that completed or closed projects can be evaluated promptly and assessed as to whether the intended outcomes were achieved and reported upwards.</p> <p>All findings, issues and recommendations were discussed and agreed with the head of Regeneration and Final Report was issued to the Corporate Director of Place and the Chief Executive.</p>		
Procurement and Contract Monitoring of Electrical MTC Contract	Nov. 2022	<p>This audit sought to provide assurance around the procurement and contract administration of the Electrical MTC works undertaken by the Council. The contract for electrical works includes major plant and services renewals, maintenance, servicing, testing, repairs, and other related works to Council buildings which include Admin Buildings, Depots, Children's Centre's, Youth Centre's, Community Buildings, Park Buildings, Idea Stores/One Stop Shops and Libraries.</p> <p>The contract was awarded on 29th June 2022 for a period of three years with the option to extend for a further two years. The total estimated value of the contract was £3.75m and the spend to date is £1.4m (covering the period October 2021 – October 2022).</p> <p>During the audit we identified following areas of good practice:</p> <ul style="list-style-type: none"> The procurement process included a PIF (Project Initiation Form) and was subject to a full Tender Award Report. The tender evaluation was undertaken by Acting Head of Technical Services Team, Senior Electrical Engineer and Lead Building Project Surveyor. Officers undertaking the tender evaluation had completed a Procurement Declaration of Interest form with no interests declared. 	Moderate	Reasonable

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<ul style="list-style-type: none"> • The contractor delivery is monitored daily by the two LBTH Electrical Engineers and the Help Desk Supervisor, and any issues are escalated to the LBTH Senior Electrical Engineer and raised at the contract review meetings. These meetings are minuted and actions recorded. The contractor is currently required to report their performance on 7 KPIs which include the number of instructions completed in the month, the number of jobs completed/not completed within target, the number of outstanding jobs, etc. Testing showed that the contractor is meeting the KPI targets and no issues concerning contractors performance have been reported. • The contract monitoring meetings are also attended by a representative from the Corporate Procurement team who also receives the minutes from these meetings, so is aware of the contract performance and any issues. • There is a detailed specification for electrical works in place. The service specification covers fire alarms, emergency & fire equipment, periodic electrical inspections and testing and minor remedial works and materials & fittings schedule. • Testing and inspection requirements are clearly specified in ITT & Tender documents which form part of the contract and our testing showed that these programmes of testing/servicing as detailed in the procedures are being complied with. • There are documented technical procedures and process maps in place covering activities such as planned inspections, reactive 		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<p>inspections, pre-inspections, ordering process, post-inspection process etc. These are updated/reviewed annually, and version controlled.</p> <ul style="list-style-type: none"> Works instructions are issued and managed in Tech Forge Asset management database and are linked to the Agresso purchase order together with the contractors Application for Payment and corresponding invoice. Agresso blanket purchase orders are raised by the Technical Services team who periodically review any open orders from the previous financial year (2021/22) to ensure that the once outstanding works are completed and invoiced these are then closed. The management of commitments for the current financial year's open orders is achieved using reports within TF cloud which are reviewed monthly prior to the submission of monthly budget returns by the Head of Facilities Management. <p>Our key findings from this audit include the following:</p> <ul style="list-style-type: none"> There are clear operational procedures are in place covering the electrical testing and inspections requirements, however, the Contract administrator acknowledged that the Council's guidance on Contract Management Toolkit and Contract Handbook has not been followed. Post inspections are required on 10% of an engineer's instructed remedial works and 100% of jobs valued over £1,000 and our testing showed that this requirement is being complied with. However, the operational procedures only cover the 10% post inspection requirement. 		

Title	Date of Report	Comments / Findings	Scale of Service	Assurance Level
		<ul style="list-style-type: none"> • Our testing showed that in two cases, the required additional works were agreed by the engineer as the works progressed, however, they were not subject of a formal contract instruction. • At the time of audit, a copy of the contract was not available as it was still with Legal for signing and this was being chased up by Technical Services. Audit was advised that Technical officers were relying on the terms and conditions that are set out in the approved tender documentation pack which form part of the contract. • In one instance, repairs were undertaken to non-LBTH estate and in order to track the works instruction in Tech Forge, the address was classified as an Admin Building. Although the works had been authorised by management, this represents override of existing controls. Testing also showed that in 7/17 invoices tested (41%), the invoice downloaded from Agresso did not quote the contractors VAT Registration number. <p>All findings and actions were agreed with the Head of Facilities Management and final report was issued to the Corporate Director, Place.</p>		

Non-Executive Report of the: Audit Committee Thursday, 26 th January 2023	 TOWER HAMLETS
Report of: Caroline Holland, Interim Corporate Director, Resources (S.151 Officer)	Classification: Open (Unrestricted)
Risk Management - Corporate and Place Directorate Risk Registers	

Originating Officer(s)	Bharat Mehta
Wards affected	(All Wards);

Executive Summary

The management of risk is a key function for the Council. The Head of Internal Audit, Anti-Fraud and Risk coordinates risk management on behalf of the Council but the identification, assessment, justification, and mitigation of individual risks remains the responsibility of management.

This report presents the Audit Committee with the opportunity to review the Corporate Risk Register and Place Directorate Risk Register.

Recommendations:

The Audit Committee is recommended to:

1. **Note** the corporate risks, and where applicable request risk owner(s) with risks requiring further scrutiny to provide a detailed update on the treatment and mitigation of those risks including impact on the corporate objectives at the next Audit Committee meeting (or separately before the meeting, if urgent).

2. **Note** the Place Directorate risks and where applicable request risk owner(s) with risks requiring further scrutiny to provide a detailed update on the treatment and mitigation of their risks including impact on the directorate’s objectives at the next Audit Committee meeting (or separately before the meeting if urgent).

1. REASONS FOR THE DECISIONS

- 1.1 The Audit Committee has responsibility for oversight of the arrangements for governance, risk management and control and this report assists the Audit Committee in discharging its responsibilities.

2. ALTERNATIVE OPTIONS

2.1 None.

3. DETAILS OF THE REPORT

Corporate Risk Register

3.1 The Head of Internal Audit, Anti-Fraud and Risk continues to work with Corporate and service Directors to maintain the Corporate Risk Register. The updated register is attached at Appendix A. This register was presented to CLT in January 2023 for review and agreement.

3.2. The Audit Committee should review the Corporate Risks and be satisfied that the risks are appropriate. In doing so the Audit Committee may wish to consider the following questions:

- a. Are these the key, corporate level risks that might prevent the Council from achieving its objectives?
- b. Are there any key, corporate levels risks missing, bearing in mind there are many more risks being managed at Directorate and Service level?
- c. Do you want to request any of the risk owner(s) to provide a more detailed update on the treatment and mitigation of their respective risk(s) including impact on the corporate objectives?
- d. Do you require any independent assurance from Internal Audit or elsewhere that the corporate risks are being appropriately managed?

Recommendation

3.3. The Audit Committee is recommended to **note** the corporate risks, and where applicable request risk owner(s) with risks requiring further scrutiny to provide a detailed update on the treatment and mitigation of their risk including impact on the corporate objectives at the next Audit Committee meeting (or separately before the meeting if urgent).

Place Directorate Risk Register

3.4. The Audit Committee should review the Directorate risks and be satisfied that the risks are appropriate. In doing so the Audit Committee may wish to consider similar challenge questions as those presented above.

Recommendation

3.5. The Audit Committee is recommended to **note** the directorate risks, and where applicable request risk owner(s) with risks requiring further scrutiny to provide a detailed update on the treatment and mitigation of their risks including impact

on the directorate objectives at the next Audit Committee meeting (or separately before the meeting if urgent).

Future Directorate Risk Register Reviews

- 3.6. Going forward the Audit Committee will be presented with the other directorates risk registers on a rolling programme, in the following order:
- Resources
 - Children's and Culture.
 - The Chief Executive's Office

4. EQUALITIES IMPLICATIONS

- 4.1 There are no specific equalities implications.

5. OTHER STATUTORY IMPLICATIONS

- 5.1 This section of the report is used to highlight further specific statutory implications that are either not covered in the main body of the report or are required to be highlighted to ensure decision makers give them proper consideration. Examples of other implications may be:

- Best Value Implications,
- Consultations,
- Environmental (including air quality),
- Risk Management,
- Crime Reduction,
- Safeguarding.
- Data Protection / Privacy Impact Assessment.

- 5.2 The Accounts and Audit Regulations 2015 require authorities to ensure they have a sound system of internal control which:

- facilitates the effective exercise of its functions and the achievement of its aims and objectives;
- ensures that the financial and operational management of the authority is effective; and
- includes effective arrangements for the management of risk.

6. COMMENTS OF THE CHIEF FINANCE OFFICER

- 6.1 There are no specific financial implications arising from the content of this report. General comments with regards the importance of effective risk management and the consequences of failure to monitor and manage organisational risks are contained within the body of the report and the appendices.

7. COMMENTS OF LEGAL SERVICES

- 7.1 The management of risk has a direct impact on the Council's ability to deliver its functions in a manner which promotes economy efficiency and effectiveness. Therefore, the consideration of this report demonstrates the Council's compliance with its Best Value Duty.
- 7.2 The Council is also legally required to ensure that it has a sound system of internal control facilitating the effective exercise of the Council's functions. This includes arrangements for the management of risk and an effective system of internal audit to evaluate the effectiveness of its risks management, control, and governance processes, taking into account public sector internal auditing standards and guidance. This report also demonstrates compliance with these legal duties.
-

Linked Reports, Appendices and Background Documents

Linked Report

- None.

Appendices

- Appendix A – Corporate Risk Register
- Appendix B – Place Directorate Risk Register

Local Government Act, 1972 Section 100D (As amended)

List of “Background Papers” used in the preparation of this report

List any background documents not already in the public domain including officer contact information.

- None.

Officer contact details for documents:

Bharat Mehta

Email: bharat.mehta@towerhamlets.gov.uk

Detailed Risk Report (incl Control Measure Target Date)

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
CSD0016	Death or serious harm to a child that was or should have been in receipt of services, either from the council or a partner agency. There is an on-going need to ensure that services to all vulnerable children and young people have a focus on safeguarding and prevention of harm.	Our most recent Ofsted report (June 2019) rates Children's Social Care and Early Help service's as "Good". However, there will be a need to regularly review and scrutinise the quality of services for vulnerable young people. This scrutiny and challenge will need to have a focus on; <ul style="list-style-type: none"> Overall management oversight and quality of supervision. Compliance with core statutory and local requirements. Adherence to key safeguarding thresholds. Regular assessments of cases, and emerging /changing risks. Strong planning for children, with regular reviews to avoid drift and delay. Maintaining strong quality assurance and auditing mechanisms. 	<ul style="list-style-type: none"> Harm to individual Children and young people being left in situations of risk and or unassisted harm. Poorer than expected outcomes for a child. Poor audit/review findings Reputational damage to the council. Poor Staff development and competence. Poor Quality assurance and Performance Management Loss of experienced professional staff. Potential for legal proceedings against the council leading to financial loss 	<p>Monthly meeting of the Continuous Improvement Board, chaired by the DCS, and involving the Lead member.</p> <p>The Tower Hamlets Children's Safeguarding Partnership, delivering the statutory multi-agency oversight of safeguarding.</p> <p>The Tower Hamlets Safeguarding Children's Partnership is jointly led by the Council, Police and CCG, and benefits from the support and challenge of an Independent Scrutineer. The Partnership provides routine oversight of multi-agency data and quality assurance findings.</p> <p>Monthly service level performance meetings held by the Divisional Director.</p> <p>Underpinned by monthly Performance Surgeries held by each Head of Service.</p> <p>Practice Week which is held twice a year (May and November) which involves all Corporate Directors and members.</p>	5	5	25	4	4	16	James Thomas	People Are Aspirational, Independent And Have Equal Access To Opportunities.

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
								by summer 2022, which will provide external scrutiny of our safeguarding practice against the national inspection benchmarks. Annual Conversation with Ofsted indicated this will be within 12 months from July 2021. Focused Visit completed in July 2022 - letter to be published 31/8/22. James Thomas <u>Required Control Measure</u> Target Date: 31/03/2023 Tower Hamlets Safeguarding Children's Partnership and increased quality assurance. The THSCP has planned for 21/22 and 22/23 an increased level of quality assurance, including multi-agency case audits and Safeguarding Child Practice Reviews. On track. James Thomas <u>Required Control Measure</u> Target Date: 31/03/2023							
ORG0027	There is an ongoing risk of a cyber attack and/or major loss of IT.	Cyber attacks could include ransomware, denial of service, social engineering, phishing, malware and/or an active attack exploiting network security vulnerabilities. Attacks could be enabled through miss-sent emails, inappropriate sharing, insecure design, inappropriate access, introduction of unauthorized software to the network, users	Significant and prolonged loss of IT services. Inability to deliver critical and essential services. Failure to comply with statutory duties or other legal responsibilities. Breach of data protection legislation Financial loss Reputational damage	Current activity Internal internal and external reviews. Internal vulnerability scanning is on-going, occurring every week and the critical / high vulnerabilities discovered continue to be escalated for urgent remediation. Annual independent penetration tests. Implementation of a SIEM solution Recruiting additional specialist resources to support the SIEM. Take a risk-based approach to data security. Embed the risk assessment culture within service delivery.	4	5	20	Zero Tolerance to unsupported software in the council live environment without a mitigation plan in place. Recent events with a number of local authorities have led to severe disruptions and impacted their ability to deliver key services. In an attempt safeguard LBTH from such an event a Zero Tolerance approach to "unsupported software" will be adopted. This will include: - Run weekly vulnerability scan (NESSUS) - Identify and publicise any	4	3	12	Adrian Gorst			

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
		clicking on phishing scam email links, and/or divulging sensitive information		<p>Ensure architectural decisions taken are supported by adequate risk assessments.</p> <p>Ensure Policies are aligned with identified risks and communicated effectively.</p> <p>Ensure policy exceptions are supported with fully documented and signed off risk assessments and controls are continually monitored</p> <p>Review of BCP</p> <p>At the request of the Corporate Directors of Health, Adults and Community, Internal Audit reviewed a sample of BCP's in quarter 4 of 2021/22 to form a view on whether the BCP's adequately address a complete loss of IT infrastructure for a prolonged period. The outcome was complete and was presented to CLT members and the CCB in June 2022. Actions and recommendations shared to inform ongoing improvements.</p> <p>Proposed follow up of updates / improvements during 2022/23 IA Plan and beyond to maintain effectiveness of BCP plans.</p> <p>Cyber Security/Attack Exercise</p> <p>The Council has run a table top cyber security/attack scenario with both CLT and the CCB. Lessons learned have been identified and actions will be assigned to responsible officers and monitored by the CCB.</p>				<p>systems that have unsupported software installed</p> <p>- For those systems identified:</p> <p>- If non-production, disable immediately</p> <p>- if production, Applications Team to work with the Service and Information Security to identify the most appropriate course of action.</p> <p>11 Oct - moved owner to MU, remaining list of unsupported software to be supplied and action plan agreed to address by end of FY</p> <p>Mary Umoh</p> <p><u>Required Control Measure</u></p> <p>Target Date: 31/03/2023</p> <p>Governance</p> <p>The terms of reference for the Strategic Information Governance Board need to be reviewed and agreed by CLT. Consideration to include oversight of cyber security matters. The action is being incorporated into the IG Review which is progressing and reporting into the Support Services Board.</p> <p>New Head of IG starts in Oct and full review of the IGG and SIGB will be carried out</p> <p>Raj Chand</p> <p><u>Required Control Measure</u></p> <p>Target Date: 31/03/2023</p> <p>Information/Cyber Security Incident Response Procedures</p> <p>The Council's Information/Cyber Security Incident Response Procedures need to be reviewed and updated with key details .</p>				

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk L I Total	Required Control Measures	Target Risk L I Total	Responsibility	CPT
						<p>This has been updated to include the cyber security mailbox as first point of contact. Adding individual names would need the document to be updated regularly as staff leave and so this should be the roles rather than specific names and contact information. Roles to be included to be discussed at the most appropriate forum, tbd.</p> <p>12/01/23 - independent assessment due Q4 FY22/23 which will evidence be used to evidence the CM Mary Umoh</p> <p><u>Required Control Measure</u> Target Date: 19/01/2023</p> <p>Promote Cyber Security awareness using Training and Campaigns</p> <p>- one of the measures is to ensure that cyber security training is always part of the mandatory training required by all staff. Progress of mandatory training is monitored at DLT and CLT levels</p> <p>- in 2023 the council cyber security campaign culminating in National Cybersecurity Awareness Month in October Mary Umoh</p> <p><u>Required Control Measure</u> Target Date: 31/12/2023</p>			

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
RS0056	The Council may significantly overspend its budget, fail to deliver savings and continue to rely on dwindling reserves. As of September 2022 the Council is forecasting a £3.1m overspend against its budget for the year with savings at risk of non delivery. Reserves remain robust but there is a risk that the Medium Term Financial Strategy may require a significant draw down of reserves. Reserves can only be used once and therefore should not be used to plug permanent budget requirements.	COVID-19 Virus residual impacts and associated increase in costs. Loss of income in particular council tax, business rates and leisure events. Poor budget management Failure to deliver savings Demographic pressures in Adult Social Care, SEND related pressures in Childrens and Culture, Unfunded discretionary expenditure utilizing temporary reserves.	Significant financial losses, overspent budgets, further drawn down on reserves.	<p>Financial Measures</p> <p>CLT and SLT have prepared savings proposals to deliver savings across 9 themes which were presented Members for their agreement:</p> <ol style="list-style-type: none"> 1. New ways of working from the pandemic 2. Managing demand by enabling people to help themselves 3. Streamlining our back office 4. Greater use of community assets 5. Digital 6. Buildings 7. Non- statutory services 8. Joining up services 9. Headcount reductions <p>Financial Actions</p> <p>Increased focus on budget management. Budget Managers Handbook Issued. All budget managers directed by CLT to remain in budget. High risk budgets reviewed by the Corporate Director Resources or the Divisional Director of Finance, Procurement and Audit. Redoubled efforts to deliver previously agreed savings proposals.</p>	5	4	20	<p>Monitoring and Control</p> <p>Continual focus on budget management. Closely tracking delivery of savings and identifying alternatives if proposals become undeliverable. Regular budget reporting to CLT, Portfolio Leads, MAB and Cabinet.</p> <p>Allister Bannin</p> <p><u>Required Control Measure</u></p> <p>Target Date: 31/03/2023</p>	4	3	12	Nisar Visram			
RSB0023	There is a risk that the statement of accounts will received a qualified opinion for 2020-21.	External audit of the statement of accounts and the subsequent findings/outcome.	Qualified opinion on statement of accounts. Reputational damage to the Council.		4	4	16	<p>Improvement Plan</p> <p>An extensive improvement plan is in place and being actively delivered and monitored. Progress will be reported to CLT and the Audit Committee.</p> <p>Ahsan Khan</p> <p><u>Required Control Measure</u></p> <p>Target Date: 30/11/2022</p>	2	2	4	Nisar Visram	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
ASD0015	Death or serious harm to a vulnerable adult who was or should have been, in receipt of services, either from the council or a partner agency.	There is a failure of one or more of the controls in place to identify the degree of risk to a vulnerable adult (multi-agency safeguarding procedures) Poor practice, insufficient information sharing and/or inadequate management oversight. Failure of quality control systems. Service user fails to work to agreed partnership / agency arrangements. Poor communication and partnership work. Poor resourcing of service areas against increased demand. Local authority contracted out service do not have sufficiently robust safeguarding arrangements.	Harm to an individual. Reputational damage to the Council. Potential for legal proceedings against the council leading to financial loss. Loss of confidence in safeguarding capability.	Safeguarding issues as part of contract management procedures Procedures overseen by Joint Director for Integrated Commissioning - contract management procedures continue to focus on safeguarding. Care Quality Commission embargo list used. This list is available from the Care Quality Commission highlighting all providers where the CQC has raised concerns. London ADASS branch circulate any service suspensions or restarts due to safeguarding concerns and these are passed to the Brokerage service. Provider Concerns and interface with Adult Safeguarding is a standard agenda item at Joint Adult Social Care and Integrated Commissioning Senior Management Team meeting. Failed visit policy and procedures in place. The Failed visits policy and procedures were originally agreed in 2018 and have been reviewed over the last year. They are currently in use and should be reviewed and amended if necessary annually.	3	5	15	Oversight through management reporting Social workers have 1:1 supervision monthly on their casework includes safeguarding cases. Safeguarding case work is managed via s.42 Safeguarding Procedures in line with the Care Act 2014 High risk cases are present to the High-Risk panel The Senior Management Team managers are responsible for the review and monitor Adult Safeguarding cases in their services in supervision with their Team Managers. The Principal Social Worker leads on implementing learning from Safeguarding Adult Reviews in the Council alongside the Safeguarding Adults Board Katie O'Driscoll <u>Required Control Measure</u> Target Date: 27/02/2023 Information campaigns to raise awareness of safeguarding with oversight from Safeguarding Adult's Board This is an ongoing priority for the Safeguarding Adults Board and includes the annual 'Safeguarding Month' campaign in November each year. The Independent Chair takes a key role in this and all SAB partners participate. Specific campaigns are run at other times including financial abuse & scams, modern slavery, domestic abuse etc.	2	5	10	Denise Radley	People Are Aspirational, Independent And Have Equal Access To Opportunities.		

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		

Katie O'Driscoll
Required Control Measure
Target Date:
28/02/2023
 5 year (2019 – 2024)
 Safeguarding Adults Board Strategy
 The actions within the SAB strategy aim to mitigate the risks associated with safeguarding. These are linked to the principles of Safeguarding with is Empowerment, Prevention, Proportionality, Partnership, Protection and Accountability. They are also linked to the principles of Making Safeguarding Personal. The SAB will be focusing on 3 key priorities relating to transitions, self neglect and homelessness.
Katie O'Driscoll
Required Control Measure
Target Date:
28/02/2023
 Safeguarding Adult Reviews Action Plan - implementation of recommendations of all SARs
 We have a Safeguarding Adults Review Tracker in place to monitor and oversee the implementation of actions arising out of Safeguarding Adult Reviews.
 This is monitored for the Safeguarding Adult Review sub group and Board.
Katie O'Driscoll
Required Control Measure
Target Date:
28/02/2023

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
PLC0013	Following the Grenfell Fire tragedy residents of tower blocks in the borough are not safe or do not feel safe from fire following reassurance, advice, interim measures and completed, in progress or scheduled remedial actions to improve fire safety.	Accountability for fire safety is not correctly designated, communicated and understood Fire Risk Assessments: * are incomplete, inadequate or not carried out in accordance with the latest advice from DCLG and fire and rescue services * are not published in accordance with the Mayor's commitment * do not include the time limits on recommendations Fire Risk Assessment Action Plans: are not produced and/or delivered within appropriate timescales Limited current contractor supplier chain for scale of identified fire safety works Constrained and limited ability for Tower Hamlets Homes to complete all the Fire Risk Assessment work identified in the new round of comprehensive Fire Risk Assessments Unable to justify block prioritisation policy for programmes of Fire Risk Assessment works Leaseholders do not fit fire rated flat entry doors (ALL flat entrance doors in a block will need to be compliant to achieve	Loss of life Loss of housing stock Lobbying and/or protesting The council and local housing management organisations lose the trust of residents Individual prosecution under a number of Acts of Parliament and common law offences with potential penalties including unlimited fines and a maximum of life imprisonment Corporate prosecution with potential penalties of unlimited fines, remedial orders and publicity orders Adverse national media coverage Uninsured financial loss Council perceived as not having fulfilled statutory duty to keep local housing conditions under review	Work with MHCLG to ensure owners of private residential tower blocks are taking measures to ensure their residents safety Officers within the Council, representing Environmental Health, Planning and Building Control and Housing and Regeneration meet weekly at Fire Safety meeting, to discuss progress with the remediation of ACM from tall buildings, this also includes progress on responses to EWS survey. Information from the EWS survey are inputted onto the the Department for Levelling Up's (DfLU) DELTA system and details of information received are sent to a Technical Officer in the Building Control Team for analyses. Council Officers are in weekly contact with the GLA on the progress of each development's individual grant application to remediate ACM from particular buildings and this is reported back to the Fire Safety Meeting. This has now progressed to EWS work and applications to the Department for Levelling Up's (DfLU) BSF fund to remediate materials of concern other than ACM. Likewise Officers are in regular dialogue with DfLU on buildings which are of concern and also to discuss various freeholders and managing agents who are not communicating well or slow in responding for information requests.	3	5	15							Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.
								<u>Required Control Measure</u> <u>Target Date:</u>							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
		<p>good fire compartmentalisation and a 'Tolerable' fire safety standard)</p> <p>Fire safety measures are uncoordinated</p>		<p>Monthly meetings are held with DfLU and Council officers to monitor progress on each building of concern.</p> <p>Tower Hamlets Housing Forum , Council Officers and the London Fire Brigade have a close working partnership on resident consultation.</p> <p>LBTH Client Management</p> <p>Fire risk assessments for all buildings are up to date and FRA as fire risk assessor UKAS credited.</p> <p>There are</p> <p>No building categorised as substantial or intolerable level of risk.</p> <p>All high-rise buildings surveyed in early 2020 and none has been identified with High Pressure Laminate (HPL) or Aluminium Composite Material ACM cladding. Cladding on 2 tower blocks (malting & Brewster), where there were concerns, has been removed already.</p> <p>Joint working with THH in preparation of the Building Safety Bill including, a pilot of a building safety case, ICT preparation, and a paper which will spell out the roles and responsibilities including those of the Accountable Person and the Building safety Manager is earmarked for November Cabinet.</p> <p>A leading fire engineering consultancy has reviewed all buildings over 6 storey and identified those that may present a greater level of risk. Subject to approval of LBTH, we will shortly carryout external wall surveys on these buildings (by April 2022).</p> <p>Procurement is underway to</p>								

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
Page 62				<p>appoint more permanently a fire engineering consultant to complete fire strategies, means of escape reports and external wall surveys for all other buildings that require one.</p> <p>THH regularly communicate with residents through newsletters and resident association presentation in conjunction with the London Fire Brigade. We also meet with the LFB on a regular basis.</p> <p>THH/LBTH capital investment programme has been reviewed and refocussed the works programme to accelerate front door replacements and make provision for major works arising from EWS surveys and Type 4 fire risk assessments.</p> <p>THH report progress on major works projects as well as more broadly on compliance at regular liaison meetings with the LBTH client team.</p> <p>Fire Safety is also regularly discussed at QSM and the Mayor's Housing meeting</p> <p>A monthly compliance dashboard is in place that covers a wide range of compliance related KPIs including those relevant to fire.</p>								

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
ASD0038	<p>There is a risk that the Council will fail to comply with its obligations in relation to the Protection of Freedoms Act 2012 and therefore failing to meet the Code of Practice compiled under that Act by the Home Office Surveillance Camera Commissioner (SCC) for the operation of video surveillance systems. The Council may also fail to meet the requirements of the Data Protection Act 2018 related to the use and management of video surveillance systems.</p>	<p>A lack of appropriate governance, policy and standard operating procedures. No asset registers for surveillance systems. Out of date or missing Data Processing Impact Assessments No SLAs with major stakeholders such as the Police and Transport for London A lack of compliance with agreed governance, policy and procedures. An inspection by the Surveillance Camera Commissioner. An inspection by the Information Commissioner. A freedom of information request.</p>	<p>Financial, legal and reputational.</p>	<p>Service Actions Ensure an updated DPIA is in place for all departmental VSS systems. Ensure DPIAs are quality assured by Information & Governance Team and signed off Ensure robust information sharing agreements are in place where appropriate for all departmental VSS Ensure Asset management registers are maintained. Ensure DLTs and Directors are appraised of progress and risks.</p>	3	4	12	Improvement Action Plan Completion Update the action plan to ensure progress against the requirements & regulations - this is a cross-Council action plan as services sit within multiple directorates. Draft the Council policies and procedures. All the client departments such as Parks, FM, Parking and CCTV will need to ensure that they implement the action plan, policies and procedures. The action plan will be monitored by the Information Governance Board. Each client department to nominate a lead, a Single Point of Contact (SPOC) who will be responsible for all operational matters relating to surveillance cameras and they will act as the main contact point for anything related to surveillance camera systems. They SPOCs will support the SRO regarding compliance with Protection of Freedoms Act. Joseph Lacey-Holland <u>Required Control Measure</u> Target Date: 31/03/2023 Service Actions Ensure an updated DPIA is in place for all departmental VSS systems. Ensure DPIAs are quality assured by Information & Governance Team and signed off Ensure robust information sharing agreements are in place where appropriate for all departmental VSS Ensure Asset management registers are maintained.	2	2	4	Denise Radley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
									<p>Ensure DLTs and Directors are appraised of progress and risks. Peter Allnutt</p> <p><u>Required Control Measure</u> Target Date: 31/03/2022</p> <p>Service Actions</p> <p>Ensure an updated DPIA is in place for all departmental VSS systems. Ensure DPIAs are quality assured by Information & Governance Team and signed off Ensure robust information sharing agreements are in place where appropriate for all departmental VSS</p> <p>Ensure Asset management registers are maintained. Ensure DLTs and Directors are appraised of progress and risks. Michael Darby</p> <p><u>Required Control Measure</u> Target Date: 31/03/2022</p> <p>Service Actions</p> <p>Ensure an updated DPIA is in place for all departmental VSS systems. Ensure DPIAs are quality assured by Information & Governance Team and signed off Ensure robust information sharing agreements are in place where appropriate for all departmental VSS</p> <p>Ensure Asset management registers are maintained. Ensure DLTs and Directors are appraised of progress and risks. Chris Smith</p> <p><u>Required Control Measure</u> Target Date: 31/12/2021</p> <p>Service Actions</p>						

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
									<p>Ensure an updated DPIA is in place for all departmental VSS systems.</p> <p>Ensure DPIAs are quality assured by Information & Governance Team and signed off</p> <p>Ensure robust information sharing agreements are in place where appropriate for all departmental VSS</p> <p>Ensure Asset management registers are maintained.</p> <p>Ensure DLTs and Directors are appraised of progress and risks.</p> <p>Sam Brown</p> <p><u>Required Control Measure</u></p> <p>Target Date: 31/03/2023</p> <p>Service Actions</p>						
									<p>Ensure an updated DPIA is in place for all departmental VSS systems.</p> <p>Ensure DPIAs are quality assured by Information & Governance Team and signed off</p> <p>Ensure robust information sharing agreements are in place where appropriate for all departmental VSS</p> <p>Ensure Asset management registers are maintained.</p> <p>Ensure DLTs and Directors are appraised of progress and risks.</p> <p>A new DPO has been appointed and a new Head of IG is starting on 17th Oct. This action will be fully reviewed then.</p> <p>Raj Chand</p> <p><u>Required Control Measure</u></p> <p>Target Date: 30/12/2022</p>						

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
ASD0047	There is a risk of a significant health impact on the community in the short, medium and long-term from Covid-19 alongside seasonal flu and in the context of a challenging Winter period and cost of living crisis.	Low uptake of the flu/Covid vaccination in Tower Hamlets. Low capacity from NEL to provide vaccination support, including community clinics Covid-19 and variants of concern - whilst current rates of infection are falling, this may change. Winter is likely to be a difficult period given the current cost of living crisis on people keeping warm, well and safe combined with the risks around Covid and flu as above.	Increasing hospitalisations, care needs and deaths. Business continuity impact from staff absence. Impact on BAU services		3	4	12	Vaccination Programme Vaccine Delivery Plan for Flu & Covid underway through community pharmacies and East London Vacc. Centre. House bounds and care-based settings supported within their homes. Find and Treat service to support residents living in hostels and homeless settings. High profile vaccination event at East London Mosque. Vaccinations being delivered within special schools. Somen Banerjee <u>Required Control Measure</u> Target Date: 31/01/2023 Communications campaign & awareness-raising Planned campaigns around vaccination and keeping well in Winter and consideration of how these can best be targeted in the borough to ensure groups who may be less able to receive the messages and those hesitant around vaccines are supported to protect themselves this Winter. Bespoke community engagement and comms programmes to support targeted groups including: Faith / Community / Special Schools / Transitional Housing Somen Banerjee <u>Required Control Measure</u> Target Date: 31/03/2023	3	3	9	Somen Banerjee	People Are Aspirational, Independent And Have Equal Access To Opportunities.		

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
COVID0001	Risk to essential service delivery, the workforce and public safety as a result of the coronavirus and variants of concern.	Third wave of the virus and/or new variants. Vaccines are ineffective against new strains. Vaccine take up is low. Increase in infection rates. National or local restrictions on movement and/or social contract are re-introduced.	Death of members of the public, service users and staff. NHS and hospitals unable to cater for increase in population requiring hospitalisation and intensive care. Collapse or significant reduction in public services including local government, significant down turn in the economy.	Local Outbreak Management Plan The Council has prepared and successfully implemented a local outbreak management plan (surveillance, testing, vaccination, prevention & outbreak management, equalities, communication & engagement) as well as clear and robust governance made up of CLT Gold, Health Protection Board and Local Engagement Board and workstream groups, effective community mobilisation, visible professional and political leadership, data flow from national system, collaboration with London Coronavirus Response Cell and North East London Incident Management Team, and a communications plan. The plan now has a status of business as usual and governance is via the ongoing Health Protection Board chaired by the Director of Public Health. Separate risk registers stood down and integrated into main JCAD. Stepped up Response In response to the Omicron variant and increased infection rates, the Council stepped up its local outbreak management plan to manage and mitigate the situation, including the GOLD meetings. This included staff working from home whenever possible/practical, requesting two mobile testing units to be added to capacity, providing lateral flow tests across the borough in addition to community pharmacy provision and home test kits that could be ordered through the national system. There was an ongoing communications and engagement programme particularly	3	4	12							Will Tuckley	A Borough That Our Residents Are Proud Of And Love To Live In.
								<u>Required Control Measure</u> <u>Target Date:</u>							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
				<p>working with groups that were disproportionately impacted by the pandemic and are at particularly high risk.</p> <p>Ongoing Monitoring CLT and Public Health will continue to monitor the situation and closely and step up the Councils response as and when required. Monthly monitoring by CLT has continued and in October we have seen a rise in infections with anticipated risks over Winter. Target date for ongoing monitoring extended to March 2023 to cover the Winter period. Increased review frequency to monthly.</p>								
DRPCD00 62 Page 68	Town Hall - delay with completion beyond 2022 - impacting fit out and moves programme by Dec 2022	Programme delays in completing main build works.	Delay in achieving Practical Completion, delaying fit out and moves programme from Mulberry Place by the end of Dec 2022.	<p>Programme review with BYUK and EA tracking milestones on Current programme is for Dec 2022 completion of main works - fortnightly review with project team and EA. Impact to Moves is tracked and mitigative measures taken Building completion projected end of Jan 2023 - staff moves from Jan 23 to Feb 23.</p> <p>Co-ordination with contractor on site 1st staff moves from 16.01.23</p>	3	4	12				Yasmin Ali	A Borough That Our Residents Are Proud Of And Love To Live In.

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
ICT0085	<p>Electricity Supply Emergency Code (ESEC) - Controlled blackouts this winter</p> <p>If a prolonged electricity shortage affects a specific region, or the whole country, electricity rationing may be necessary. The Electricity Supply Emergency Code (ESEC) outlines the process for ensuring fair distribution nationally while still protecting those who require special treatment, using a process known as 'rota disconnections'.</p>	<p>3.1 In an electricity supply emergency it may be necessary to restrict customers' consumption of electricity. Restrictions over the longer term can be achieved by one or more of the following methods:</p> <ul style="list-style-type: none"> Public appeals by the UK Government for voluntary restraint; Orders or directions under the Energy Act 1976 requiring restrictions on consumption by industry, commerce and other undertakings; Directions under the Energy Act 1976 or the Electricity Act 1989 requiring rota disconnections and associated restrictions. <p>3.2. Orders and directions under the Energy Act 1976 or the Electricity Act 1989 to restrict consumption by industrial, commercial and other sites may contain a schedule exempting certain premises and purposes from the scope of the order or direction. The categories exempted in these schedules are likely to be more extensive than the categories of sites protected from rota</p>	<p>Winter Blackouts, option 3</p> <p>Not nationwide</p> <p>Predefined periods - 3 hours</p> <p>Notice in advance</p> <p>Target to reduce consumption by 5%</p> <p>Protected sites; hospitals oil refineries etc.</p> <p>Households – 3 levels</p> <p>3 times a week</p> <p>6 times a week</p> <p>Up to 27 hours in a week</p>		3	4	12	<p>Communication Plan</p> <p>Build on the significant work to date to remind staff that access to council systems is not dependent on location, this has been the case over the covid period</p> <p>Adam Evans</p> <p><u>Required Control Measure</u></p> <p><u>Target Date:</u></p> <p>Business Continuity Plans</p> <p>Work with CCB to to be aligned with the Council Approach to planned outages</p> <p>CCB to promote Service owners to update their BC plans</p> <p>When the notice is given (up to 48 hours) message to the relevant team the working measures to be adopted - outages will be in 3 hr blocks</p> <p>Adam Evans</p> <p><u>Required Control Measure</u></p> <p><u>Target Date:</u></p>	2	2	4	Adrian Gorst	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
		<p>disconnections. In order to use the powers under the Energy Act 1976 to their fullest extent, an Order in Council would need to be made and be in force before any order could be made or any directions could be given.</p> <p>3.3. One of the orders which could be made under the Energy Act 1976 to restrict the use of electricity in industrial, commercial and other premises would require consumption to be reduced by a certain percentage. (This is to be distinguished from a direction instituting rota disconnections). It is an alternative to an order which would restrict the use of electricity to specified days of the week. If a percentage reduction order was made, it might also be necessary for directions to be given to suppliers requiring them to provide information showing sites whose consumption was above a certain level, so as to enable the UK Government to monitor observance of the order.</p> <p>3.4. If the BEIS ERT considers that rota</p>										

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
		<p>disconnections must be introduced, the Secretary of State may implement the emergency powers in the Energy Act 1976 by making an Order in Council. Once that Order in Council is in force, BEIS can give a direction to all Network Operators affected to implement a schedule of rota disconnections across their licence area(s) throughout the period of the emergency. Under this direction and within the provisions of the Grid Code, NGESO will instruct Network Operators to restrict the supply of electricity to sites, other than Protected Sites, by rota disconnections to achieve a specified level of reduced demand. The period over which the overall process of rota disconnections continues, together with the level(s) of disconnection, will be decided by the Secretary of State in light of advice from the BEIS ERT. Subsequent changes to that period and/or level(s) of disconnection will be confirmed by the giving of an amended direction.</p> <p>3.5. A shortfall in</p>										

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
		available generation could initially be handled via Grid Code arrangements. If the shortfall were to worsen or be prolonged, this may make it necessary for the Secretary of State to invoke ESEC. Alternatively, the electricity supply emergency could When and how ESEC will be used dictate an orderly and planned move to rota disconnections without utilising the Grid Code arrangements if, for example, the situation developed over the weekend and it is clear that there is likely to be a substantial difference between demand and available generation on the Monday.										
ORG0026	There is a risk the Council will be unable to deliver critical and essential services.	Denial of access to, or loss of one or more of the following (4 P's): People – Example -Staffing loss due to industrial action or pandemic Places – Example - Premises/ Location unable to carry out services due to fire/flood/utility failure etc. Processes – Example - Essential Software loss due to Cyber Attack, Office Equipment, Mobile Devices or Vehicles	Loss of one or more of the 4 P's may impact on these area's - Inability to deliver, or disruption to Critical Services - Finance - Reputation - Delivery of KPI's - Safeguarding/ Health & Safety	A fully functioning and embedded Business Continuity Framework The Corporate Leadership Team has adopted a business continuity policy and civil contingencies arrangements. The development & maintenance of these arrangements is managed through the Civil Contingencies Board which is chaired by Denise Radley. The CCB meeting quarterly and more frequently when required. In 2019/20, new business continuity software (Clearview) to support directorates and services to manage key risks was implemented. This software will be upgraded to 'Castellan' during late 22/23 once all BC plans are up to date on the	3	4	12	3	4	12	Will Tuckley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
		Providers – Example – Failure of Commissioned Providers & Suppliers		current ClearView system.								
								are found, record the action that is taken to rectify. N.B. Directors				
								- Approve all BC plans and reviews in their areas on time				
								- Ensure Service Managers take ownership of their plans, that they are updated and submitted for review every 6 months				
								- Confirm plans have manual workarounds in the event of failure/denial of one or more of the 4 P's				
								- Ensure BC Plans of commissioned providers within their areas are audited in line with the services RTO's (Recovery Time Objectives)				
								- Require Service Managers to attend relevant BC and ClearView training, and Charles Griggs				
								<u>Required Control Measure</u>				
								Target Date: 31/03/2023				
								Provision of monthly management information to DLT's, and Directors.				
								The CPU will provide a monthly report from the Business Continuity Management System providing relevant management information to DLTs and directors, and the provision of support to directors to achieve good levels of compliance.				
								Charles Griggs				
								<u>Required Control Measure</u>				
								Target Date: 31/03/2023				
								Annual Audit of Business Continuity Plans				
								In 2022 a consultancy review 'Testing of Business Continuity				

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
PLC0023	Failure to prepare and take action in relation to the proposed Building Safety Bill	Lack of leadership Insufficient resources Poor understanding of the requirements and consequences Passage of the bill is faster than anticipated	Potential Injury or death of residents Criminal and/or civil litigation for the Council and/or individual senior leadership Delays in construction Regulatory breaches Financial penalties Poor building safety Reputational damage	Research, Legal Advice and Monitoring Key officers are involved in researching the implications of the bill Legal advice has been sought LBTH/THH Building Safety Bill Group monthly meetings to monitor impact and progress and sub-groups to consider impacts and develop new processes. Liaise with London wide forums and Federation of ALMOS on implementation Obtain Human Resources advice when required.	3	4	12	2	3	6	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
								<p>legislation, with updates being shared with the relevant people/groups. New members and the Mayor have been briefed on the Building Safety Act.</p> <p>c. Working with LBTH, Legal Services, CLT and Members to examine the responsibilities linked to the Bill. Complete: Presentations/discussion are taking place, taking into consideration the changes from the draft Bill to the Bill that was published on 5 July 2 and factsheets published in Oct 21. The Building Safety Bill received Royal Assent 28 April 22 - the Building Safety Act Working Group discusses the impacts and preparedness considering any changes from the Bill. LBTH will assist with any clarifications the Building Safety Act group require in relation to changes made to the Act when it was enacted and subsequent legislation.</p> <p>d. Calculate the additional resources required to comply with the Bill when enacted Complete: THH and LBTH building safety bill related growth proposals for 2022/23 onwards have been approved as part of the budget setting process. Both growth proposals are for funding the new additional roles required to deliver the building safety regime. LBTH's growth proposal is for £108K for 2021/22 and £356k thereafter. THH approved growth proposal is £476k p.a</p>							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
								<p>from 2022/23 onwards. In additional THH had £350k previously approved for 2021/22. Additional growth may be required in response to the Government releasing secondary legislation.</p> <p>e. Consider appointing a building safety lead in the council to undertake the assurance work needed for the council to carry out its Accountable Person role. Complete: David Leslie, commenced with the Council as our Building Safety Lead. The Building Safety Lead will be responsible for the preparations for the building safety regime. Once the Building Safety Act is fully implemented the Safety Lead will oversee relevant department's/THH's delivery of aspects of the Council's building safety regime, ensuring the Council is compliant with the Act. David will be the named person (on behalf of the Council, as Accountable Person) for the Building Safety Regulator and will review all statutory returns before submission to the Regulator.</p> <p>f. Consider appointing a specialist advisor for support with the Safety Case reviews. Complete: THH has procured Adelard to assist with developing the Safety Case template, provide licences and training to use their IT system and support for a period. THH will commence training with Adelard towards the end of April 22.</p>							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		

g. The Council's Building Safety Bill guidance will be updated regularly by Counsel. Complete: Bevan Brittan are updating their advice and providing clarifications to some queries since the Bill received royal assent on 28 April 22. Bevan Brittan has provided updated advice since the release of the Building Safety Bill on 5 July 21. A comparison to the draft bill and questions related to the Oct 21 factsheets have been provided.

h. Potentially review existing contracts to ensure they comply with the Bill's requirements. In progress: LBTH Legal has been asked to carry out the review.

i. Investigating digital storage methods to maintain the "Golden Thread of information" (GTI). In progress: Goy Roper and his colleagues from Socitm Advisory have provided an interim IT scoping report which considers the options for the GTI and other ICT requirements related to delivering LBTH's building safety regime. Theo Langlais, IT Project Manager will take the IT scoping/delivery project forward alongside the Building Safety Lead. Further scoping of the technology requirements will be progressed. David Drury 'Business Analyst' has been assisting with scoping for the ICT project to ensure relevant stakeholders are

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT		
					L	I	Total	L	I	Total	L	I	Total				
									involved. An ICT solution 'www.activeplan.co.uk' has been secured by THH on a year's contract to allow more time us to investigate a more bespoke system . j. Seek Cabinet approval. In Progress: A Shadow Building Safety Framework report was approved by Cabinet on 27/11/21. Approval included progressing appointing to the Building Safety Lead role, appointing THH as interim Building Safety Manager (amendments made to the Bill in April 2022 removed the Building Safety Manager role with all duties now sitting under the Accountable Person) and make necessary changes to the constitution where necessary. As the Bill received royal assent on 28 April 2022 there will be consideration into whether the Council's (including THH's) building safety framework for residential buildings needs revising. This is pending the publication of secondary legislation and an understanding of the full requirements of the Act. Cabinet approval will be sought for any changes to the framework around the time of full implementation of the Act (prior to October 2023). k. Review THH's Preparedness for their building safety responsibilities (previously classed as the Building Safety Manager)								

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
ICT004	Exploitation of supply chain security vulnerability impacting vendors/partners/services	Cyber attack exploits vulnerability of key supplier Key supplier has inadequate DR and BC to recover from attack in a timely fashion	Inability to deliver services as a result of service outage or disruption – e.g. exploitation of log4j vulnerability in line of business applications Attack is terminal for the supplier i.e. triple threat - ransom of data, deletion of data, publicly expose data		2	3	6	Procurement process [new suppliers] Partner with IT Security, legal and procurement to implement stage gate for security as a default Detail the questions we will ask/criteria Adam Evans Required Control Measure Target Date: 31/03/2023 Where we don't do service reviews [existing suppliers] Draft a questionnaire for mandatory completion Define plan, timeline, roles and responsibilities to conduct this and share the outcomes/generate actions	2	2	4	Adam Evans			

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk L I Total	Required Control Measures	Target Risk L I Total	Responsibility	CPT
Page 80						<p>Adam Evans</p> <p><u>Required Control Measure</u></p> <p>Target Date: 31/01/2023</p> <p>Service reviews [existing suppliers]</p> <ul style="list-style-type: none"> o Review approach by segment <p>Addition of agenda item on cyber security, DR plan, to service review</p> <p>For vendors where we don't have regular service reviews – send a questionnaire – Mary to add questions DHLU (department for levelling up)</p> <p>Cyber essentials plus (we ask for this over cyber essentials) – certification vendor should produce based on independent assessment.</p> <p>Incident management – how and when will they tell us</p> <p>BCP/DR protocols</p> <p>Adam Evans</p> <p><u>Required Control Measure</u></p> <p>Target Date:</p>			



Detailed Risk Report (incl Control Measure Target Date)

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
DRCPD0057	(New Town Hall Project): That the contingency budget allowance of £5m is not sufficient.	Discoveries that fit outside of the Design and Build contract.	Additional time and money cost to the project.	<p>Design workshops are being held with BYUK, Client side Design Guardians and Cost consultants. Additional works relating to the retained building are being reviewed - the contingency is now committed to the Roof and Façade repairs. Review of the residual risks on the project impacting cost and programme are being worked through with the contractor and Employers agent.</p> <p>Additional discoveries outside of the Design and Build Contract The team are reviewing all variations and client instructions against the available budget. The contingency needs to be increased from £5m and will be progressed via required governance process - Capital programme Board.</p> <p>The client held contingency has been exceeded. The £5m risk allowance has been committed and additional contingency is being sought via the capital governance process. The capital budget for the Town Hall was increased from £123.35m to £131.75m with the addition of the £8.4m contingency for committed schemes which was determined in January 2021 to cover known COVID and inflation risks. commercial negotiation continues</p>	5	5	25	<p>The £5m contingency was exceeded - £8.4m is earmarked from the capital programme</p> <p>The capital budget for the Town Hall was increased from £123.35m to £131.75m with the addition of the £8.4m contingency for committed schemes which was determined in January 2021 to cover known COVID and inflation risks. Commercial negotiation continues.</p> <p><i>Yasmin Ali</i> <u>Required Control Measure Target Date:</u> <i>31/05/2022</i></p>	5	5	25	Yasmin Ali	A Borough That Our Residents Are Proud Of And Love To Live In.		

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
HPSS0003	Hand over cannot take place until the Council has discharged planning condition- CPM	Contractor has not completed this piece of work before the project commenced.	Reputational damage to the council Risk to GLA funding Concerns related to audit		5	4	20				2	2	4	Peter Elia	OLD *** A Great Place To Live
								<u>Required Control Measure Target Date:</u>							
LLV010004	Land in LBN for a bridge landing cannot be secured.	Negotiations with land owners fail.	Land for bridge landing becomes unavailable and project cannot go ahead.		4	5	20	Progress land acquisition	Productive dialogue with USS has been ongoing with LBN leading (and LBTH pushing for progress) and the principle of a deal is accepted. LBN property team now appointed to lead acquisition for boroughs and dialogue is ongoing. LB Newham will back with potential CPO if necessary, so ultimately this is probably more a timing matter and may mean we can't draw down GLA funds by March 2024.	2	4	8	James McCormack		
								James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023							
LLV010026	Ailsa Wharf developer Country Garden may not go ahead with the Ailsa Wharf scheme.	Financial troubles within the company and/or the current economic outlook.	This would likely result in the loss of the GLAs funding worth £2.4M which is tied to the delivery of 785 units - and likely the boroughs would not be able to plug this funding gap. In this case, the project is stalled or cancelled.		4	5	20						James McCormack		
								<u>Required Control Measure Target Date:</u>							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
LLV020004	Land at TMC cannot be secured	Negotiations with TMC fail.	The land is CPO'd which could increase project costs - either the boroughs plug the finance gap or the project does not go ahead.		4	5	20	Negotiation LLDC already has rights to land required for the bridge and intends to transfer these to one of the boroughs. LBN has commenced negotiation to acquire additional land should this be necessary. Ground risk work will identify potential property implications. When a design team is appointed it will be instructed to design a structure deliverable within available land, with the backstop of agreements negotiated by LBN should this not prove possible. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	2	5	10	James McCormack			
LLV020008	LBN is unable to provide funding, LBTH funding is diverted and the capital funding gap cannot be secured.	Lack of budget in LBN, re-direction of revenue funding towards Lochnagar Bridge to cover shortfalls due to cost increases.	Bridge does not come forward in the next 5 years.		4	5	20	Assessment of Funding Options Assess all options available to re-distribute funding. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	1	5	5	James McCormack			

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Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
SDBCD0002	If there is insufficient funding for the whole of the project, the bridge might not be delivered and the £7m SIP grant funding from London Councils will likely be lost. The bridge is currently estimated to cost circa £20m with additional resources required for its operation and maintenance, the funding is coming from a number of different sources, some as yet to be identified. The project costs will likely increase due to the potential provision of a pontoon alongside the bridge and other issues such as inflation and construction costs. This risk has therefore increased.	Insufficient project budget.	Failure to secure sufficient funding will result in the project being delayed or cancelled.		5	4	20	Funding Ongoing review of funding opportunities, including opportunities for sponsorship and advertising for the bridge and, early identification of funding gaps. <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/12/2024	3	4	12	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
DRD0062	Insufficient resources to deliver the Capital Delivery Service's Work Programme	Client teams do not have sufficient budget to commission the internal Capital Delivery team to deliver work Recruitment and retention (inability to offer adequate remuneration packages in a highly competitive market) Funding uncertainty Lack of capacity in key support services including legal and procurement	Inability to deliver projects on time	Council-wide Capital Programme Funding Strategy Since September 2020, the Approved Capital Programme agreed by Cabinet has funding sources identified to ensure that every project can be afforded. The approach to funding is set out in each subsequent Cabinet report where budget approvals are sought.	4	4	16	Reviewing staff resources within the team to reduce reliance on agency workers Alternative recruitment options were considered, resulting in two agency workers moving to permanent positions, and one to a fixed term contract. The ability to appoint agency staff provides flexibility within team to adjust the level of resources as required. Market supplements have not been explored. It remains difficult to attract agency staff for day rates of less than £400 a day. An updated resource plan is being prepared	3	4	12	Jane Abraham	A Borough That Our Residents Are Proud Of And Love To Live In.

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
								<p>Jane Abraham <u>Required Control Measure Target Date:</u> 31/03/2023</p> <p>Seek alternative ways to fund priority projects</p> <p>The use of external grant, s106 and CIL has been maximised and where capital receipts are required, to avoid prudential borrowing, a list of property for disposal has been identified.</p> <p>Jane Abraham <u>Required Control Measure Target Date:</u> 31/03/2023</p>							
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Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
DTLC0003	<p>Local Land Charges section provide information on property being purchased in the borough through 'search requests'. Searches answer a series of legally drafted questions as part of the wider conveyance process. The Local Land Charges search is a small transaction in terms of cost to a prospective purchaser, but is extremely important in informing whether there are any limitations, charges etc. that can impact future living or development potential. The search can allow the purchaser to take on a property having assessed any risk identified. This can include for example details such as planning site constraints which may impact future development/use or plans. Data informing the search is pulled from sources within different parts of the Council. Some services are not aware that information must be provided to LLC department in order that it can be revealed or data is often not updated regularly. Changes to the public realm structure and</p>	System failure- The system is already failing on a regular basis	Compensation claims possible if information, especially that relating to financial charges is not revealed		4	4	16	<p>Review all Sources of Data</p> <p>Review of all source data held spatially and in all other formats. This will involve different departments across Place with project and potential collaboration, where possible to ensure information provided is accurate and up-to-date always. Process reviews likely required.</p> <p>Umbreen Qureshi</p> <p><u>Required Control Measure Target</u></p> <p><u>Date:</u></p> <p>03/04/2023</p> <p>Acquisition of New database</p> <p>03/10/2022 - Project has gone into live .Consultancy is employed to assist with drafting specification to procurement to data data migration and finally implementation. Current project timetable estimated at approximately 2 years.</p> <p>11/10/21 Work ah commenced on project to acquire new replacement system - full funding yet to be agreed</p> <p>Acolaid database is used for the whole of the P&BC service and holds the Council-wide Local Land and Property Gazetteer. The database is over 30 years old with very little interoperability and API functionality. The dependency on this one out-of-date system, now with limited supplier support and no future development opportunity, must be replaced at the earliest opportunity to enable a timely service providing the correct data.</p>	4	2	8	Umbreen Qureshi	A Borough That Our Residents Are Proud Of And Love To Live In.

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	<p>processes has resulted in knowledge loss in this area of work, and highlights need for automation.</p> <p>The current database is hampered by its limitations and large data volume. As data continues to accumulate and grow, this results in the system unable to cope. Intermittent results can be given with information that is either missing, partial or false. Additionally GIS functionality is extremely slow impacting on turnaround times and risking property transactions to fall through. This information is pulled through on public browsers where members of the public will view and take information as provided. Again issues with the source data remain and continue to leave exposed</p>														
LLV010009	<p>Planning Application is not submitted in time to meet GLA and LUF funding draw-down deadlines.</p>	<p>Planning Application not submitted by 31 May 2023.</p>	<p>Programme is delayed and the councils lose £4.4M worth of external funding.</p>		4	4	16	Direct Control	<p>The council has stepped in to take control of the design and delivery of the PA which gives the council more control over the pace of delivery.</p>		1	4	4	James McCormack	
								<p>James McCormack</p> <p><u>Required Control Measure Target Date:</u></p> <p>31/05/2023</p>							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
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LLV010011	Planning permission is refused for the bridge.	Planning permission is refused for the bridge.	Development of the bridge is not permitted in the current design. A new design is commissioned and new planning application is submitted, causing delay to the programme and cost increases.		4	4	16	Planning briefing Regular briefings with planning and place-shaping to guide the design through the planning process. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	1	3	3	James McCormack			
LLV020001	Construction costs are higher than original expectations.	Requiring a higher bridge due to airgap requirements / requiring more land than is safeguarded / ground risks etc.	Construction costs increase, either borough plugs the finance gap or the project does not go ahead.		4	4	16	Ground Risk Assessment Current activity focused on assessing ground related costs ahead of design. Land safeguarded is likely to be sufficient for a fixed bridge with ramps, meeting PLA requirements. James McCormack <u>Required Control Measure Target Date:</u>	3	3	9	James McCormack			

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PAR0060	<p>Building control team not having the right resources to deal with the requirements of the Building Safety Act</p> <p>1. Building safety and in particular fire risk is a major national concern. The risk of fire in tall, higher risk, buildings in the borough is one which can endanger resident's lives (and that of fire fighters) and remains until all our buildings, especially those with any of the dangerous cladding on them have been fire safety reviewed and assessed (and reviewed regularly thereafter). This work will involve our building control staff working along with staff reporting to the new Building Safety Regulator (BSR). Reputationally it will be important for the council to take an assertive lead in reviewing the boroughs high risk building stock and providing confidence to its many residents.</p> <p>2. Tower Hamlets likely has more higher risk tall buildings than any other local authority so we will be a high profile, influential, performer and need to respond to the</p>	<p>Unable to develop a fit for purpose structure to deal with the requirements of the building safety act, unable to fulfill statutory functions.</p> <p>Unable to recruit and retain the competent people needed to deal with the tall buildings in the borough.</p>	<p>Workload becomes unmanageable for team -risk of losing staff and making mistakes in checks - financial and reputational risk</p> <p>Building safety cases do not get completed in a timely manner, meaning people could be living in unsafe buildings for longer than necessary</p> <p>Placed into special measures by Government - financial and reputational risk</p> <p>Work to ensure that buildings are safe is no longer carried out by the borough - borough has no role in ensuring safety and work could go to private Building Control Approvers - financial and reputational risk</p>		4	4	16	<p>Ensure a fit for purpose BC team with the right number of skilled professionals to deal with work load</p> <p>Secure growth funding for expanded and amended BC team to ensure the skills needed are secured at the level needed. MABSAP attended - 14 September 2022 JP presented a growth bid to the mayor for what, based on the information available about the impact of the BSA on the role and responsibilities of our building control team. Following a discussion and concern about the level of growth, an updated bid was developed, further looking at options.</p> <p>This exercise led to the identification of a number of options and risks associated, which were presented to the Mayor. An option "1b" was supported by the Mayor. However, following a broader discussions of budgets, the agreed amount was reduced considerably, below the amount identified in the options work as being the absolute minimum.</p> <p>This means that while we can recruit to year one, year two increases, which have been identified as necessary to meet the requirements of the act, are not currently funded. This means a review of year 2 during year will be required, which can also take account of any new burdens funding and the working of the cost recovery process, to</p>	2	4	8	Jennifer Peters	Tower Hamlets Homes 2020-2026 Business Plan - Great Homes

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	<p>challenge. If we do not, this will carry a risk for all our residents and building users, and it would also not reflect well reputationally on the local authority.</p> <p>3. Without a review and rethink there is a risk that overtime the building control service will, as its experienced surveyors retire and other staff continue to be tempted away to the private sector or even to other public sector jobs that can offer better salaries, we slowly surrender more competitive business to the private sector and not be able to take on work from the BSR. This will mean the reduced capacity service will not be able to offer residents and businesses the professional high-quality service backed by a confidence in the council. For example, current major clients range from Canary Wharf PLC to Berkely Homes and Ballymore to residents and business across the borough and bring in around a £1 million in fees. In addition, the BSA puts an expectation on local authorities to ensure they have a building control</p>							<p>assess if additional general fund is needed to deliver the required structure.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 31/03/2023 Establish new BC structure</p> <p>Develop the new BC structure, including new JDs where relevant and recruit to those roles.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 03/04/2023 Training and support</p> <p>Identify and develop an internal training package that can help support BC officers in their new roles.</p> <p>John McGeary <u>Required Control Measure Target Date:</u> 31/03/2023</p>							

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Page 91	<p>service to reflect their profile of buildings, as such we would be expected to have one of the biggest services in the country. If we don't have an adequate service, then the work from the BSR will go elsewhere (either another local authority or to the private sector).</p> <p>4. We must have the required number of Registered Building Inspectors (RBI) to be able to take on the high-risk building work from the BSR (the Health & Safety Executive [HSE]. If we do not the BSR can put the council into special measures, which is likely to have both financial and reputational risks.</p> <p>5. Skills required are in short supply and competent professionals are commanding high salaries that don't necessarily fit with the usual salary scales and JDs for Local authorities</p>											

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PLC0024	The Council may fail to adequately discharge its health & safety and/or other statutory compliance responsibilities for its property estate that is outside of the Corporate Landlord Model (CLM) and for property that is inside CLM but excluded from its scope.	Compliance and/or maintenance requirements cannot be passed to occupiers via a lease. The Council has inadequate resources to undertake compliance checks and remedial action.	Potential for death or serious injury to tenants, building occupiers. Failure to meet statutory responsibilities, breach of regulatory framework. Reputational damage. Financial loss from fines and other claims.	<p>Monitoring and Escalation As soon as the risk was identified weekly meetings were set up between asset management and facilities management to address the concerns. The first step has been to identify the properties that are associated with the risk. In parallel, steps are being taken to secure appropriate resource in order to conduct checks of the leases and other arrangements that dictate where responsibility for compliance lies. The matter has also been raised with the Corporate Director, Place.</p> <p>A full programme of regular inspections by the AM Estates Team are being organised, which will assist it picking up these issues</p> <p>Legal Advice and Resource Requirements We need to take legal advice on the extent to which we can pass on responsibility to the occupiers of our buildings even though they may not be aware and may not have adequate knowledge, experience and capacity.</p> <p>Increase resources for the in-house Facilities Management Team to undertake compliance activity and coordinate remedial action and/or maintenance.</p>	4	4	16				2	2	4	Stephen Shapiro	A Borough That Our Residents Are Proud Of And Love To Live In.

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SDBCD0003	Insufficient resources to acquire land, air and water rights or provide compensation to landowners (if required) causing delay in moving the project from the feasibility and design stages to the delivery phase.	Once the land assessment work has been carried out, the Council will seek advice regarding the level of action needed to assemble the land necessary to build the bridge and the infrastructure to support it. At this point a firmer assessment will be made regarding the cost. Risk has increased due to the requirements for the CRT feasibility study for a pontoon and potential delivery of a pontoon alongside the bridge which will increase costs.	Delay in moving the project from the feasibility and design stages to the delivery and construction phases.		4	4	16	As below Ongoing review of budget. Contingency plan. Confirmation of the additional £5m funding in 2021 which covers landowner compensation, has made the risk more manageable overall. <i>Jaskaren Mahil-Sandhu</i> <i>Required Control Measure Target Date:</i> <i>31/07/2023</i>	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0029	If the contracts for the appointment of consultants and contractors are not awarded in a timely manner then this could have an impact on the overall delivery of the project, as it will hinder the progression of the works and appointment of sub-consultants.	Delays with procurement approvals and legal processes / signing-off paperwork / issuing contracts.	significant delays with project delivery and bridge opening Project on hold.		4	4	16	As below Building in extra time for the procurement and appointment of consultants and contractors. Engaging with the Procurement team and Legal Services to communicate the tight timeframes for the project Looking at other options such as appointing existing corporate suppliers where possible. <i>Jaskaren Mahil-Sandhu</i> <i>Required Control Measure Target Date:</i> <i>30/09/2023</i>	4	3	12	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

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LLV010008	Increase in construction costs.	Rising markets, main contractor & sub-contractor capacities, labour availability (Brexit and inflation).	Project costs increase and finance needs to be raised from internal or external sources, or else one or more bridges do not come forward.		5	3	15	Robust Procurement Process & Contingency Measures Early stage project budgets have factored in abnormalities and contingencies. Procurement process - ensure robust procurement process to ensure contractors invited to bid have effective processes in place to ensure they can weather labour shortages. This risk has increased in recent months due to rising inflation, energy and material costs. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	3	3	9	James McCormack	
LLV010021	Intrusive Surveys fail to complete prior to design work on the East Bank.	Obtaining license is delayed, lack of resource.	Programme is delayed, potentially jeopardising external funding.		5	3	15	<u>Required Control Measure Target Date:</u>	2	3	6	James McCormack	
LLV030004	Land at the EMR site does not come forward	Negotiations with EMR fail.	No land available for a bridge landing and the project cannot proceed.		3	5	15	Engagement with EMR LBN (partial owner) is currently in dialogue with EMR and its development partner. Securing bridge land is a key priority for LBN through both commercial negotiations and as a planning requirement of any scheme at EMR. LBN officers are also considering whether land required for the bridge and river path can be brought forward	2	5	10	James McCormack	

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Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
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								early and ahead of wider development at the site. The key risk factor is the timing of when EMR is released rather than whether it will be released - both landowners support development of the site. James McCormack <u>Required Control Measure Target Date:</u> 30/09/2021					
OPIG0003	Insufficient Budget	Contractors required 15% uplift before contract award	Budget overspend		5	3	15	Exception Report Drainage design confirmed. Exception report submitted December for AMWG in January. Wendy Harrington <u>Required Control Measure Target Date:</u> 01/02/2023	5	3	15	Wendy Harrington	

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PLC0013	Following the Grenfell Fire tragedy residents of tower blocks in the borough are not safe or do not feel safe from fire following reassurance, advice, interim measures and completed, in progress or scheduled remedial actions to improve fire safety.	Accountability for fire safety is not correctly designated, communicated and understood Fire Risk Assessments: * are incomplete, inadequate or not carried out in accordance with the latest advice from DCLG and fire and rescue services * are not published in accordance with the Mayor's commitment * do not include the time limits on recommendations Fire Risk Assessment Action Plans: are not produced and/or delivered within appropriate timescales Limited current contractor supplier chain for scale of identified fire safety works Constrained and limited ability for Tower Hamlets Homes to complete all the Fire Risk Assessment work identified in the new round of comprehensive Fire Risk	Loss of life Loss of housing stock Lobbying and/or protesting The council and local housing management organisations lose the trust of residents Individual prosecution under a number of Acts of Parliament and common law offences with potential penalties including unlimited fines and a maximum of life imprisonment Corporate prosecution with potential penalties of unlimited fines, remedial orders and publicity orders Adverse national media coverage Uninsured financial loss Council perceived as not having fulfilled statutory duty to keep local housing conditions under review	Work with MHCLG to ensure owners of private residential tower blocks are taking measures to ensure their residents safety Officers within the Council, representing Environmental Health, Planning and Building Control and Housing and Regeneration meet weekly at Fire Safety meeting, to discuss progress with the remediation of ACM from tall buildings, this also includes progress on responses to EWS survey. Information from the EWS survey are inputted onto the the Department for Levelling Up's (DfLU) DELTA system and details of information received are sent to a Technical Officer in the Building Control Team for analyses. Council Officers are in weekly contact with the GLA on the progress of each development's individual grant application to remediate ACM from particular buildings and this is reported back to the Fire Safety Meeting. This has now progressed to EWS work and applications to the Department for Levelling Up's (DfLU) BSF fund to remediate materials of concern other than ACM.	3	5	15				1	5	5	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.

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		<p>Assessments Unable to justify block prioritisation policy for programmes of Fire Risk Assessment works Leaseholders do not fit fire rated flat entry doors (ALL flat entrance doors in a block will need to be compliant to achieve good fire compartmentalisation and a 'Tolerable' fire safety standard) Fire safety measures are uncoordinated</p>		<p>Likewise Officers are in regular dialogue with DfLU on buildings which are of concern and also to discuss various freeholders and managing agents who are not communicating well or slow in responding for information requests.</p> <p>Monthly meetings are held with DfLU and Council officers to monitor progress on each building of concern.</p> <p>Tower Hamlets Housing Forum , Council Officers and the London Fire Brigade have a close working partnership on resident consultation.</p> <p>LBTH Client Management Fire risk assessments for all buildings are up to date and FRA as fire risk assessor UKAS credited. There are No building categorised as substantial or intolerable level of risk. All high-rise buildings surveyed in early 2020 and none has been identified with High Pressure Laminate (HPL) or Aluminium Composite Material ACM cladding. Cladding on 2 tower blocks (malting & Brewster), where there were concerns, has been removed already. Joint working with THH in preparation of the Building Safety Bill including, a pilot of a building safety case, ICT preparation, and a paper which will spell out the roles and responsibilities including those of the Accountable Person and the Building safety Manager is</p>								

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				<p>earmarked for November Cabinet.</p> <p>A leading fire engineering consultancy has reviewed all buildings over 6 storey and identified those that may present a greater level of risk. Subject to approval of LBTH, we will shortly carryout external wall surveys on these buildings (by April 2022).</p> <p>Procurement is underway to appoint more permanently a fire engineering consultant to complete fire strategies, means of escape reports and external wall surveys for all other buildings that require one.</p> <p>THH regularly communicate with residents through newsletters and resident association presentation in conjunction with the London Fire Brigade. We also meet with the LFB on a regular basis.</p> <p>THH/LBTH capital investment programme has been reviewed and refocussed the works programme to accelerate front door replacements and make provision for major works arising from EWS surveys and Type 4 fire risk assessments.</p> <p>THH report progress on major works projects as well as more broadly on compliance at regular liaison meetings with the LBTH client team.</p> <p>Fire Safety is also regularly discussed at QSM and the Mayor's Housing meeting</p> <p>A monthly compliance dashboard is in place that covers a wide range of compliance related KPIs including those relevant to fire.</p>											

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PLC0021	No buildings insurance for Chater House	Failure to manage the building Failure to inspect and maintain Shop tenants unidentified	Financial Loss over £12M Reputational loss	<p>Tenant Audit Programme to be implemented Programme to include regular review of tenants fire and safety management - Fire risks, electrical safety, property owners liability guidance, housekeeping, maintenance</p> <p>Protection of unoccupied units Inspection to take place, utilities disconnected, combustible materials removed</p> <p>Cooking extractions cleaned Tenants to be made aware of the risk and their obligations to have cooking extractions cleaned to minimise fire risk.</p> <p>Gas Cylinders removed Tenants to be advised. Use of gas cylinders to cease as this is a fire hazard.</p> <p>Process to be implemented with Legal Action to be taken against shop tenants who fail to adhere to their lease, fail to insure and carry out maintenance relating to health and safety</p>	3	5	15	1	5	5	Stephen Shapiro	Risk Corporate Plans

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SDBCD0024	<p>If South Dock Bridge is not delivered or not delivered in a timely manner, it may significantly hinder or halt the delivery of housing and commercial development on the Isle of Dogs and will limit pedestrian and cycle access in and around South Quay. This risk has intensified due to the objections/hold on the planning application and delays caused by Covid-19 and other factors.</p> <p>This risk has increased due to the objections on the planning application and delays caused by Covid-19 and other factors.</p>	Election results / funding sources / not getting planning consent / not agreeing land use issues / other project delays.	Scheme is suspended or significantly delayed.		3	5	15	<p>As below</p> <p>Maintain stakeholder, public and political support for the project, including thorough early engagement and positive comms</p> <p>Regularly review and manage project programme</p> <p>Seek external funding opportunities and advertising and sponsorship to secure project delivery.</p> <p><i>Jaskaren Mahil-Sandhu</i></p> <p><u>Required Control Measure Target Date:</u></p> <p>31/12/2024</p>	3	4	12	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0035	<p>There is a risk that findings from surveys and ground investigation at Stage 4 Detailed Design could potentially change the scope of the bridge design or the landscaping works.</p> <p>There is also risk that planning conditions imposed on the bridge could generate significant changes. These issues would add significant costs and time delay to the project.</p>	Outcomes of the Satge 4 Design. Planning outcomes.	Cost and time delay.		3	5	15	<p>As below</p> <p>Regular meetings with design team. The appointment of Arcadis for Stage 4 onwards will help manage this risk as they know the project and can deal with any changes efficiently.</p> <p>Regularly monitoring of the project programme and budget.</p> <p>Consider alterative/back-up options for works such as the landscaping improvements.</p> <p><i>Jaskaren Mahil-Sandhu</i></p> <p><u>Required Control Measure Target Date:</u></p> <p>31/03/2023</p>	3	4	12	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

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CLC010-0001	There is a risk that if effective monitoring is not in place, it could lead to an increase in street waste, complaints from residents and a public health concern.	1.Limited interest from Volunteers and Champions leading to not enough carrying out the function. 2.Where there is sufficient interest, not having an effective and robust training programme which empowers effective monitoring. 3. Where volunteers have initially expressed interest, this subsides, leading to limited numbers available to carry out the function.	Failure to do this may potentially result in monitoring being delayed or not being carried out. This may lead to increased street waste that gets accumulated over time resulting in reputational damage.	Sought assistance from the Localisation Manager to identify the cohort	3	4	12	draft training material Training material is being drafted. This needs to be signed off by the service Richard Williams <u>Required Control Measure Target Date:</u> 29/06/2018	2	4	8	Richard Williams	A Borough That Our Residents Are Proud Of And Love To Live In.
CLPRCG0050	The Council is unable to continue delivery front line environmental operation services effectively to all residents and commercial customers due to Union Strike Action	Poor communication with the Union; ignoring concerns. Inability to resolve disputes with the Union through dialogue and negotiations.	Inability to deploy full workforce and subsequent inability to deliver front line environmental operation services effectively to all residents and businesses in the Borough	Engagement Continued dialogue, engagement and regular meetings with the Union and staff to discuss and resolve any potential issues that may arise.	4	3	12	<u>Required Control Measure Target Date:</u>	2	3	6	Oli Kapopo	A Borough That Our Residents Are Proud Of And Love To Live In.
CLPRCG0051	With the current shortage of HGV drivers across the country, there is a risk that our staff can be lured to other organisations who may be offering better salaries and conditions. Additionally, there is a risk of accessing temporary HGV drivers when FTEs go off sick.	Skills shortage across the country	The service will not perform to its optimum level as there will be no drivers to operate the vehicles.		4	3	12	Tolerate This risk will have to be tolerated and monitored. The council offers good pay and conditions of service, so this is one that will need to be observed to see how things progress. Although, there is a risk of not getting staff from agency due to the HGV driver shortage.	3	3	9	Oli Kapopo	OLD *** A Great Place To Live

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								Oli Kapopo <u>Required Control Measure Target Date:</u> 31/03/2023					
CLPRCG00 52	Waste crews carry a lot of keys/Fobs to access properties and bin stores. The keys and fobs usually get lost and creates a situation where collections cannot be made. In the event that a lot of the keys go missing, the crews will be unable to access properties creating a series of perceived missed collections which can severely affect business continuity	Keys go missing	Properties cannot be accessed and bins will inevitably not be collected		3	4	12	Ask properties owners to provide access as stipulated in the EPA 1990 A conversation with managing agents/Landlords need to be put on the agenda with a view to pass the responsibility to them to provide access to our vehicles Oli Kapopo <u>Required Control Measure Target Date:</u> 29/12/2022	3	3	9	Oli Kapopo	OLD *** A Great Place To Live
DRCBDD0 062	Town Hall - delay with completion beyond 2022 - impacting fit out and moves programme by Dec 2022	Programme delays in completing main build works.	Delay in achieving Practical Completion, delaying fit out and moves programme from Mulberry Place by the end of Dec 2022.	Programme review with BYUK and EA tracking milestones on Current programme is for Dec 2022 completion of main works - fortnightly review with project team and EA. Impact to Moves is tracked and mitigative measures taken Building completion projected end of Jan 2023 - staff moves from Jan 23 to Feb 23. Co-ordination with contractor on site 1st staff moves from 16.01.23	3	4	12	<u>Required Control Measure Target Date:</u>				Yasmin Ali	A Borough That Our Residents Are Proud Of And Love To Live In.

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DRD0063	There is a risk that uncoordinated processes within Capital Programme delivery and Client Teams will lead to delays in achieving outputs as set by the Strategic Plan and Mayors priorities covering housing and mixed site developments.	<p>Incomplete business plans and briefs RIBA stage 1</p> <p>Duplication of resourcing through RIBA stages 2 - 4.</p> <p>Direct approaches to procurement with no Business Case, Client Brief or PID in place / delays in design sign off.</p> <p>Communications plans not in place</p> <p>The use of non-standard project and programme documentation</p>	<p>Delays in the delivery of the Council's Housing and mixed site Non Housing development programme.</p> <p>Negative effect on resource allocation leading to high burn programming</p> <p>Failure to deliver Capital Projects on time</p> <p>Reputational risk to the council</p>	<p>MAP Medium Priority Recommendation Collect process data and examine for future use</p> <p>MAP Medium Priority Recommendation Design toolbox Write Handbook with Hyperlinks Scope and launch Intranet Channel Build revised file sharing Complete and sign off governance Sign off Publish</p> <p>MAP Medium Priority Recommendation Build project plan for published material and action following client group consultation and revisions to current monitoring and reporting protocols.</p>	4	3	12	2	2	4	John Mitchell	A Borough That Our Residents Are Proud Of And Love To Live In.

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DRD0064	There is a risk that 229 Bethnal Green Road (The Professional Development Centre) will not achieve its full development potential.	Difficulties / delays arising from current service arrangements on-site Difficulties / delays arising from the current use of the Gym and Disabled Adaptations demo unit Incomplete Architects Brief Misinterpreted Client Brief	Inefficient use of Council Assets On-going costs not meeting budget setting targets Repirational risk to the Council	Commision a concept site feasibility To appoint an Architect to provide a range of best use site options with the best possible capital and revenue yeald Issue coprehensive brief To ensure that that the architects brief clearly sets out objectect and expectations Monitor Architects output To ensure the a stepped approvals process whilst the brief is in progress Issue report and recomendations To issue a detailed report and business case to the Asset maximisation board followed by capital bid ad PID though governance reporting as required. Monitor Feasibility outputs Outputs to be monitored through a number of agreed check points	4	3	12	<u>Required Control Measure Target Date:</u>			2	2	4	John Mitchell	A Borough That Our Residents Are Proud Of And Love To Live In.
GED0010	Increase in the number of vacant shops in local high streets and town centres	Business can no longer afford to operate in the borough due to the economic impact of the pandemic, rising inflation and knock-on impacts like increased energy bills and a reduction in consumer spending.	Town centre businesses close their business unit as they can no longer afford to trade in their premises. Town centre seems 'closed' due to the increased number of shops and business units with security shutters pulled down. The town centre offer is weakened with less variety of shops and business activity		4	3	12	<u>Required Control Measure Target Date:</u>			2	2	4	Chris Burr	A Borough That Our Residents Are Proud Of And Love To Live In.

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LLV0004	Ongoing adoption or maintenance arrangements cannot be agreed or future liabilities prove to be onerous.	Cross-borough or developer negotiation cannot be agreed.	Dispute.		3	4	12	MOU / BDA Currently these cost are estimated as a percentage of construction costs. Initial cost analysis is being undertaken with ongoing maintenance and management liabilities in mind. Estimates as to these costs should become clear relatively early in the project's development. Highways teams from both boroughs are involved in the project, and discussions as to which body will adopt the structure and how this will be funded are scheduled to commence in 2021. <i>James McCormack</i> <u>Required Control Measure Target Date:</u> 31/05/2024	2	4	8	James McCormack	
LLV0006	Total project costs (including, property, fees, license, consents and construction) exceed current budget provisions	Budget provisions are exceeded.	If it proves not possible to design a structure within these financial parameters, the councils will need to consider raising additional finance, either internally, externally or from adjacent developments either through planning mechanisms or commercial negotiation.		4	3	12	Design Development, De-risking, cost control The sufficiency of the original cost estimate will become clearer in 2021/22 following design work. This work will be driven with the objective of designing a structure deliverable within the initial funding envelope from the earliest stage. However, if it proves not possible to design a structure within these financial parameters, the councils will need to consider raising additional finance, either internally, externally or from adjacent developments either through planning mechanisms or commercial negotiation. Property costs are likely to be minimal for the Poplar Reach project, given land on both sides of the river is	2	4	8	James McCormack	

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								within local authority control. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023					
LLV0007	Political support for the bridge falls away and the project becomes less of a priority.	National/regional strategic or political changes/upheaval impacting on the viability of the project. 2022 Mayoral Election.	Bridge(s) become less of a priority, funding is re-directed and bridge(s) do not come forward.		3	4	12	Mayoral Briefings Obtain buy-in at Mayoral level about the benefits of the project. Ensure outcomes of the benefit analysis work is shared. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	1	3	3	James McCormack	
LLV010002	PLA's request for higher airgap is rejected.	The council rejects the higher airgap request.	This results in A) significant/onerous financial compensation demands for air rights for the bridge or B) objection to or otherwise frustration of the planning process. If this event does materialise, either the boroughs plug the finance gap, or the project does not progress and GLA funds are not drawn down.		3	4	12	Legal Counsel Negotiation with the PLA. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2022	2	4	8	James McCormack	
LLV010022	Islay Wharf sale falls through.	Mayor pausing LBTH land sale of strip of land owned by LBTH, and an NMA to amend the scheme not supported by Planning.	Opportunity for stepped access at IW site could be lost.		4	3	12	Mayoral Lobbying Briefing the Mayor on the link of the site sale to the timescales for the bridge design. Design a bridge option that lands only in the Ailsa Wharf site. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	2	3	6	James McCormack	

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LLV010027	Appetite to proceed with a moveable bridge option is reduced.	The results from the time lapse data capture has shown hardly any vessel activity on the river.	Feasible / available design options for the west landing that minimise impact on the public realm and could be supported by planning are reduced.		3	4	12	<u>Required Control Measure Target Date:</u>				James McCormack	
LLV010028	Inconsistent and/or confusing feedback for the design team, resulting in abortive work.	The multi-stakeholder and cross-borough context of the bridges.	Delays to the programme / loss of time-limited external funding.		4	3	12	<u>Required Control Measure Target Date:</u>				James McCormack	
LLV020006	St William does not make land available for construction and public access in order to construct and open the structure in line with current timeframes	Discussions with St. William end in dispute.	The project cannot be delivered within the current timeframes.		3	4	12	S106 and Developer liaison This matter is addressed in the S106 agreement. Officers are in dialogue with St William as to the expected programme of the two schemes and St William has indicated a willingness to provide land and support for the construction of the project and to create and maintain public access routes to in post PC of the bridge, and while the LR scheme remains under construction. Further, it is in St William's interest for the bridge to be delivered and as early as possible, as long as this can be achieved without impacting its own construction programme.	1	4	4	James McCormack	

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								James McCormack <u>Required Control Measure Target Date:</u> 31/05/2024					
LLV020009	Planning permission is refused for the bridge.	Development of the bridge is not permitted in the current design	The design goes to appeal or a new design is commissioned and new planning application is submitted - causing delay to the programme and cost increases.		3	4	12	Planning Engagement Regular Engagement with Planning to ensure planning are overseeing the design. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	1	4	4	James McCormack	
LLV030001	Construction costs are higher than original expectations.	Cost increases at tender / construction stages.	Should the expected cost rise a number of actions are available to the council, from deciding not to pursue the scheme through to seeking to raise additional funding notably from planning events and EMR and / or Leven Road, commercially negotiated contributions from developers, funding from LBN or alternative public sector external funding.		3	4	12	Cost Control and Cost Certainty Current options work is looking to identify the best value design option to progress to more detailed design, with civils, M&E and structural QS advice brought in at an early stage. The council should have a clearer picture as to the cost of the project later in 2021 ahead of committing to further activity an cost. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2025	3	3	9	James McCormack	
LLV030008	Ground conditions result in excessive or abnormal costs.	Desktop and intrusive survey outcomes.	Either the boroughs plug the finance gap or the project does not progress.		3	4	12	Site surveys, early de-risking Desk based surveys to be undertaken at early stages, relying also on intrusive survey information from Leven Road. Remediation, River Wall works, site levelling and service media connections to be delivered at Leven Road by St William under wider planning obligations. Keep options for EMR under active	2	3	6	James McCormack	

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									review with LBN including passing ground risk matters to the developer of the wider site. James McCormack <u>Required Control Measure Target Date:</u> 30/06/2022						
PAR0002	Unable to recruit and retain suitably qualified and experienced Planning and Building Control staff	Staff leave, better salary opportunities available elsewhere in particular the private sector Too few candidates for more senior vacancies	Failure to achieve one or more strategic plan objectives Reductions in performance Poor quality decision making could result in building collapse (due to high winds), fire safety issues and dangerous structures. Reputation of service services Increased pressure on remaining staff Sickness levels increase Cost of recruitment	Complete service restructures - new posts, duties and sections confirmed The final phase, the restructure of the Building Control Service has yet to finally launch although its completed in draft and is now due to targeted to launch in February 2017. Pressure on existing staff due to staff shortages has meant the manager has not been able to complete core restructure preparation. The restructure will not now complete until 17-18. Review existing recruitment and retention package for Building Control Surveyors Refresh service wide training plan for Planning & Building Control including Leadership & Management Framework This has in part been superseded by more assertive corporate training proposals however there are still aspects to review especially as far as utilising cost effective approaches to training, L&D. Use PDRs and 1-2-1's to invest in staff development and pick up on staff concerns To hold an open day to stimulate interest and raise awareness	4	3	12	Investigate recruitment and retention packages including market supplement for Development Management Recruitment problems in Development Management still exist however a recent sustained recruitment drive is looking much more positive. Work has been done on profiling the borough and the opportunities and Tower Rewards is helping some of the grades/packages to become competitive. Further work is needed on packages overall including the possible use of market supplements. Paul Buckenham <u>Required Control Measure Target Date:</u> 03/04/2023	3	3	9	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.		

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PAR0009	Building Control Trading Account deficit	More business goes to private sector providers Unanticipated rise in specialist contractor costs Building Control trading income reduces significantly	Financial - posts deleted, loss of skilled professional resources and space in structure for expansion if economic conditions/responsibilities changed Ultimately have to review service position and operational model	Review charges schedule charges amended as is at market rate when assessed via benchmark system Plan for reduced finances regular meetings with Beatrice Mensah of TST will assist in finding the discrepancy between agraeso and acolaid	3	4	12	Quarterly financial assessments within one month of end of each quarter date see review John McGeary <u>Required Control Measure Target Date:</u> 26/03/2021 Produce and initiate a Building Control Marketing Plan Marketing plan framework is being developed John McGeary <u>Required Control Measure Target Date:</u> 04/06/2021	3	4	12	John McGeary	A Borough That Our Residents Are Proud Of And Love To Live In.		
PAR0042	Essential ICT databases are not available or functioning correctly. Databases include Acolaid, Laserfiche, GIS,	System error presents Officer leaves post Officer on leave	Unable to quickly resolve technical issues with the geographical information system due to lack of specialist support/expertise in GIS relating to P&BC set up. This system is vital to the work of the Planning and Building Control Division Unable to meet performance targets, potential for increase in customer complaints Government Penalty as yet undefined.- Local Land Charges		4	3	12	<u>Required Control Measure Target Date:</u>	3	3	9	Umbreen Qureshi	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

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PAR0047	<p>Planning decisions are overturned in the absence of up-to-date evidence on conservation.</p> <p>There are 58 conservation areas in Tower Hamlets. Each one has an adopted character appraisal and management guidelines document. These describe the architectural and historic character and significance of each area, and provide guidance to residents, businesses and other stakeholders about how the character can be preserved and enhanced. The current strategy for updating the 58 Conservation Character Appraisal and Management Plans' will take 15 years to complete in-house with existing resource i.e. by 2033. In the interim the existing appraisals will continue to be relied upon and we are already experiencing a number of challenges through Planning Inquiries and Hearings.</p>	<p>No change to current strategy i.e. no additional resources found to speed up roll out of updates. The Planning Inspectorate decide that our decisions are not justified by the evidence in the Conservation Area Character Appraisals and Management Plans as they currently stand.</p>	<p>Financial: Cost of officer resource to defend planning decisions challenged at Public Inquires and Hearings (approx. £1.65million cost to defend 11 Inquiries in 2018/19). Costs awarded to the appellant are not factored in this and potential lost planning contributions e.g. S106.</p> <p>Physical: The physical impact on the borough is also negative. Development take place against Council recommended planning decisions. This erode the character and quality of the unique places that make up Tower Hamlets. In particular, the Council has seen increasing challenges related to decision on tall buildings in this regard.</p> <p>Performance: Failure to deliver Manifesto Pledges: * Oppose buildings that are too tall or dense other than in areas where they are already allowed (essentially Canary Wharf & the City) * Oppose clustering, where single tall building is used to justify the building of others</p>		4	3	12	<p>Roll out of phased update to the existing CCAMPs starting with areas under greatest threat from development</p> <p>Whitechapel/Aldgate completed. Phased 5 year roll out of updates to remaining conservation areas including work taking place alongside the local plan work.</p> <p>Marissa Ryan-Hernandez <u>Required Control Measure Target Date:</u> 29/12/2023</p>	3	3	9	Marissa Ryan-Hernandez	A Borough That Our Residents Are Proud Of And Love To Live In.

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PAR0053	<p>Unable to fulfil statutory functions because of lack of skills and resources in the team.</p> <p>Team sign off buildings that do not meet building regulation requirements.</p>	<p>Experienced building control staff are in short supply and in high demand currently. The BC team have been running a number of vacancies due to challenges in recruiting and are reliant on agency workers, which can mean an inconsistency in service. Lack of capacity or adequate experienced officers to deal with the complex developments in the borough could lead to errors being made in assessments or sign offs. Currently the team has a case load over and above the case load of the BC officer working on Grenfell, and lack of time to put to the task is seen as one of the failings of that project.</p> <p>Requirements of the BSB put more pressure on the team, increase work load and require more specialist skills.</p>	<p>Reputational, legal and financial implications if errors are made or assessments not carried out in a timely manner.</p>	<p>Ensure full understanding of new requirements of the emerging Building Safety Bill</p> <p>The Building Safety bill will introduce new requirements on building control bodies - exactly what these will look like is still being developed. The team will ensure that they keep up to date with the bill as it passes through the stages and link in with the key bodies who will be involved in regulating the new requirements. As more detail is provided, we can better understand what it will mean for the team in terms of day to day work and responsibility.</p>	3	4	12	<p>Ensure correct level of skills and experience in the team</p> <p>We are currently working on an incentive package to ensure we can recruit and retain the right skills and experience in the team. For the short term, the proposal is for a two year market supplement and a relook at the team's JDs in the longer term - to reflect the expert and in demand, skills required for these roles.</p> <p>This is particularly important now as we have a number of the team who are at or near retirement age. We are aiming to start the recruitment campaign in April</p> <p>John McGeary <u>Required Control Measure Target Date:</u> 31/01/2023</p> <p>Ensure that the team is structured and resourced in a way that can meet the requirements of the building safety act</p> <p>We have put in a growth bid to ensure that the BC team can be structured and resourced in such a way that it can deliver on the requirements of the Building Safety Act. This is a complex task as while there is now the act there still remains many areas of uncertainty.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 31/03/2023</p>	2	4	8	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.		

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PAR0054	<p>The P and BC team is now heavily reliant on income - it is 85% income funded. The income sources range from pre-app fees, PPAs, CIL and S106 admin fees, Land Charges, SN and N and planning application fees. Each of the different sources have their own rules and regulations about what the income can be used for etc. All are reliant on the continuation of development in the borough at similar levels to that we have seen in the last few years and also the system of income generation staying largely the same as at the moment. There are a number of reasons this may not be the case - explored in the triggers. A linked risk is an increase in appeals/JRs - there is no specific budget for such costs.</p>	<p>* Development in the borough slows down considerably - leading to reduced income across P and BC</p> <p>* Changes at the national level which reduce ability to raise income and or increase staffing requirement</p> <p>- planning white paper proposals would see a radical change to the approach to applications - potentially removing the potential for PPAs, pre-apps and even a large number of planning fees as permission is given through planning documents (there is also the broader issue of how a new local plan would be resourced - explored in a separate risk).</p> <p>- Land charges income is significant for the team, but the government is moving that to the land registry - early discussions suggest the upshot of this is LBTH will be required to do much of the work still, but without the benefit of the income to fund it. While there are burden payments, these are considered small in comparison to the income potentially lost.</p> <p>- A slowdown in delivery will impact CIL income -</p>	<p>If there is not enough income to pay for the teams then in the short term there would be pressure on the GF/reserves to pay for the teams. Depending on the reason for the development slow down, a restructure maybe necessary to reduce the cost of the teams.</p> <p>However, it should be noted that development cycles are by their nature cyclical and it would be a false economy to reduce the size of the teams significantly one year, only to need to scale up again soon after (particularly given the nature of development in the borough and the lack of people with the skills and experience to deal with them).</p> <p>Changes to the planning system may well require a relook at the structure of P and BC and we will continue to follow and reflect on any information from government on planning reform.</p> <p>Cost impact could vary significantly depending on the scale of development slow down or government change</p>		3	4	12	<p>Clear understanding of income</p> <p>Increase understanding of income expected across a year - linked to tracking of development activity, to understand what schemes are coming through and what income they may bring for P and BC. To do this effectively we need the coding project in Finance/IT to be delivered as at present much of our income goes into the same account and there is a manual exercise to ensure it is in the correct account.</p> <p>In addition, we are working on a tracker to track schemes through the system, from initial pre-app discussions to final completion - this will require some IT input.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 28/01/2023</p> <p>Set up a 'smoothing' reserve</p> <p>Set up a reserve fund that can ensure that the service can function in years where there is less income. This would allow us to keep the team in place needed and could be 'topped up' when the service has a year where there is an income surplus.</p> <p>While this has been supported as an idea by the Mayor and Lead member, no progress has yet been made and ultimately it is a finance decision.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 01/04/2023</p>	3	3	9	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.

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		<p>this is used to fund the infrastructure team (a proportion of the income can be used on admin) and the team has no general fund allocation. In addition, the broader CIL pot, through LIF pays for a number of other initiatives, including much of the work of the regeneration team, in addition CIL is a key element in the boroughs capital program therefore a significant slowdown in development in the borough would have implications for the funding for a number of teams and programs.</p> <p>Increase in decisions being challenged via appeal or JR - large draw on resources which is not budgeted for.</p>													
PLC0023	<p>Failure to prepare and take action in relation to the proposed Building Safety Bill</p>	<p>Lack of leadership</p> <p>Insufficient resources</p> <p>Poor understanding of the requirements and consequences</p> <p>Passage of the bill is faster than anticipated</p>	<p>Potential Injury or death of residents</p> <p>Criminal and/or civil litigation for the Council and/or individual senior leadership</p> <p>Delays in construction</p> <p>Regulatory breaches</p> <p>Financial penalties</p> <p>Poor building safety</p> <p>Reputational damage</p>	<p>Research, Legal Advice and Monitoring Key officers are involved in researching the implications of the bill</p> <p>Legal advice has been sought</p> <p>LBTH/THH Building Safety Bill Group monthly meetings to monitor impact and progress and sub-groups to consider impacts and develop new processes.</p> <p>Liaise with London wide forums and Federation of ALMOS on implementation</p>	3	4	12	Key actions	<p>a. Develop appropriate Resident Engagement Strategies and inform tenants and leaseholders about the Building Safety Act 2022.</p> <p>In Progress: THH have communicated with residents in the September 2022 leaseholder newsletter.</p> <p>A Letter to landlords and building owners in the borough has been prepared and sent to all building owners with buildings above 18m to try and ensure that they are aware of their responsibilities.</p> <p>The resident engagement</p>	2	3	6	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.	

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				Obtain Human Resources advice when required.				<p>strategy needs to be produced before April 2024, the strategy will require consultation with residents.</p> <p>b. Communicate the likely impact of the Building Safety Bill/Act to Members, CLT and DLT. Complete: Presentations have been made to CLT, DLT and discussion with members have taken place regarding the Act. Conversations have continued as the Act passed through Parliament and has become legislation, with updates being shared with the relevant people/groups. New members and the Mayor have been briefed on the Building Safety Act.</p> <p>c. Working with LBTH, Legal Services, CLT and Members to examine the responsibilities linked to the Bill. Complete: Presentations/discussion are taking place, taking into consideration the changes from the draft Bill to the Bill that was published on 5 July 2 and factsheets published in Oct 21. The Building Safety Bill received Royal Assent 28 April 22 - the Building Safety Act Working Group discusses the impacts and preparedness considering any changes from the Bill. LBTH will assist with any clarifications the Building Safety Act group require in relation to changes made to the Act when it was enacted and subsequent legislation.</p>							

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									<p>d. Calculate the additional resources required to comply with the Bill when enacted Complete: THH and LBTH building safety bill related growth proposals for 2022/23 onwards have been approved as part of the budget setting process. Both growth proposals are for funding the new additional roles required to deliver the building safety regime. LBTH's growth proposal is for £108K for 2021/22 and £356k thereafter. THH approved growth proposal is £476k p.a from 2022/23 onwards. In additional THH had £350k previously approved for 2021/22. Additional growth may be required in response to the Government releasing secondary legislation.</p> <p>e. Consider appointing a building safety lead in the council to undertake the assurance work needed for the council to carry out its Accountable Person role. Complete: David Leslie, commenced with the Council as our Building Safety Lead. The Building Safety Lead will be responsible for the preparations for the building safety regime. Once the Building Safety Act is fully implemented the Safety Lead will oversee relevant department's/THH's delivery of aspects of the Council's building safety regime, ensuring the Council is compliant with the Act. David will be the named person (on behalf of the Council, as Accountable Person) for the Building Safety Regulator and will</p>						

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								<p>review all statutory returns before submission to the Regulator.</p> <p>f. Consider appointing a specialist advisor for support with the Safety Case reviews. Complete: THH has procured Adelard to assist with developing the Safety Case template, provide licences and training to use their IT system and support for a period. THH will commence training with Adelard towards the end of April 22.</p> <p>g. The Council's Building Safety Bill guidance will be updated regularly by Counsel. Complete: Bevan Brittan are updating their advice and providing clarifications to some queries since the Bill received royal assent on 28 April 22. Bevan Brittan has provided updated advice since the release of the Building Safety Bill on 5 July 21. A comparison to the draft bill and questions related to the Oct 21 factsheets have been provided.</p> <p>h. Potentially review existing contracts to ensure they comply with the Bill's requirements. In progress: LBTH Legal has been asked to carry out the review.</p> <p>i. Investigating digital storage methods to maintain the "Golden Thread of information" (GTI). In progress: Goy Roper and his colleagues from Socitm Advisory have provided an interim IT</p>							

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								<p>scoping report which considers the options for the GTI and other ICT requirements related to delivering LBTH's building safety regime. Theo Langlais, IT Project Manager will take the IT scoping/delivery project forward alongside the Building Safety Lead. Further scoping of the technology requirements will be progressed.</p> <p>David Drury 'Business Analyst' has been assisting with scoping for the ICT project to ensure relevant stakeholders are involved.</p> <p>An ICT solution 'www.activeplan.co.uk' has been secured by THH on a year's contract to allow more time us to investigate a more bespoke system .</p> <p>j. Seek Cabinet approval. In Progress: A Shadow Building Safety Framework report was approved by Cabinet on 27/11/21. Approval included progressing appointing to the Building Safety Lead role, appointing THH as interim Building Safety Manager (amendments made to the Bill in April 2022 removed the Building Safety Manager role with all duties now sitting under the Accountable Person) and make necessary changes to the constitution where necessary.</p> <p>As the Bill received royal assent on 28 April 2022 there will be consideration into whether the Council's (including THH's) building safety framework for residential buildings needs revising. This is pending the</p>							

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								<p>publication of secondary legislation and an understanding of the full requirements of the Act. Cabinet approval will be sought for any changes to the framework around the time of full implementation of the Act (prior to October 2023).</p> <p>k. Review THH's Preparedness for their building safety responsibilities (previously classed as the Building Safety Manager) - LBTH Internal Audit has examine THH's arrangements and plans for readiness for implementing the Building Safety legislative requirements and meeting regulatory requirements for Council's owned-buildings managed by THH. The Audit report provided "reasonable assurance" in June 2022. THH have delayed the initial pilot safety case a number of months now, staffing seems to be the biggest issue. The Building safety roles that were agreed by cabinet have not be filled yet and are unlikely to be filled before April 2023.</p> <p>Karen Swift <u>Required Control Measure Target Date:</u> 11/04/2023</p>							

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PMP0001	Directorate level service delivery plans do not enable a council wide determination of why we hold each council building	Engagement with relevant officers is not sufficiently robust and/or timely Partial completion resulting	An incomplete review that does not maximise benefits of rationalising and transforming assets Failure to deliver: * a programme of asset rationalisation and transformation * additional household units		3	4	12	A lease is in place for all retained council buildings This will be validated during the asset review project and any required action will then take place Alan McCarthy <u>Required Control Measure Target Date:</u> 31/03/2020 Reviewing all council assets The full strategic asset review project is in the process of being launched. There will be 4 complementary work streams collating information and engaging with other colleagues to form options and recommendations. The timetable is to be agreed but this will be an iterative process and take 18 - 24 months Alan McCarthy <u>Required Control Measure Target Date:</u> 31/03/2020 Identifying twenty worst performing council buildings This piece of work is largely completed and will be used to partly inform the asset strategy activity and retention options. The asset review programme will pick up these issues as part of the project going forward. Richard Chilcott <u>Required Control Measure Target Date:</u> 31/01/2020 Obtaining value for money for all properties that are rented out This task is ongoing and is one of the streams in the strategic asset review activity which will be	2	4	8	Alan McCarthy	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

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									rolled out over the next 18 months or so Alan McCarthy <u>Required Control Measure Target Date:</u> 31/01/2020							
RGP0002	Lack of key stakeholders' buy-in into the regeneration engagement structures	lack of interest from the local community distrust of local community lack of interest from the local developers and landlords resistance from the Development Management colleagues to engage resources to manage Community Development Panel political resistance to create community advisory body through appointment	increased level of conflict between local communities, developers and LBTH which will negatively impact development management and regeneration outcomes	Communications plan set up communications strategy leading to recruitment of panel members and regular reporting from the EDF programme, operations of CDP (where possible - confidentiality) presentation of the programme to the Councillors Getting feedback, gaining buy in from the local politicians for the programme and engaging community Splash session about the Regeneration Delivery Plan for the Development Management division Presentation and getting feedback on the regeneration delivery plan in general and plans for setting up new engagement platforms	3	4	12				<u>Required Control Measure Target Date:</u>	2	4	8	Agnieszka Zimnicka	A Borough That Our Residents Are Proud Of And Love To Live In.

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
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SDBCD0007	To ensure effective and inclusive engagement on the project, all relevant stakeholders should be identified, including local residents, elected Members, TfL, GLA, landowners, other relevant stakeholders and businesses in the area, local groups and other individuals and organisations who may have an interest or impact on the development. Failure to do so will result in the project not being fully supported and issues and solutions not being identified. This could halt the project and cause delays.	Poor response to consultation or complaints from stakeholders of a lack of engagement.	There are potentially two major consequences of not engaging the correct stakeholders. -The project could be delayed or halted. -The Council could face negative publicity from stakeholders dissatisfied with the consultation process or the design of the structure.		4	3	12	As below Early communication with stakeholders, particularly, TfL, CRT, Berkeley Homes, Canary Wharf Group and the Dockland Scout Project. Thorough public consultation. Ongoing engagement and positive comms strategy to communicate the benefits of the bridge. Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/12/2024	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0009	The Council will construct South Dock Bridge but responsibility for management and maintenance must fall to a body with the skills and resources to provide the service. Ideally that role could fall to the Canal and River Trust, however early discussions indicate that they may not be willing to take on this responsibility (depending on the commercial agreement) so another operator may need to be sought.	LBTH will enter discussions with the Canal and River Trust and other potential operators regarding management and maintenance of the bridge, failure to reach agreement by the time the bridge has started construction will trigger this risk.	If LBTH is unable to reach an agreement with the Canal and River Trust over management of the bridge an option is to identify an alternative body with the expertise to deliver the service. This would ultimately present additional challenges as Canal and River Trust have a responsibility for management of the waterways, dockside and moorings around the bridge.		3	4	12	Discussions to be had once bridge design has been reached. Ongoing discussions with the Canal and River Trust and other stakeholders, and seeking alternate options. Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/10/2023	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

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SDBCD001 2	Increase in construction costs due to rising markets, main contractor & sub contractor capacities, labour availability (Brexit and inflation) and other issues.	Procurement - tender returns	Delay to programme Cost increase		3	4	12	Procurement processes Procurement process - fixed cost to be agreed pre-contract. Seek best value during procurement process. Regular financial reviews, processes in place to manage costs and contract variations. Build in contingency into the budget for delivering the bridge on site. Ensure robust procurement process to ensure contractors invited to bid have effective processes in place, to ensure they can weather labour shortages.	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
								Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/12/2024					
SDBCD001 4	Acquisition of land - unable to reach agreements to acquire necessary land, air and water rights from landowners.	Dependent upon negotiations with landholders and results of land searches undertaken. Canal and River Trust or other title holder refuse to reach an agreement on disposal.	CPO process is lengthy and will delay delivery and increase costs.		3	4	12	As below Early engagement with landowners. Timely commencement of identifying title holders. Procurement of specialist services to support the process. Early advice to be sought on the CPO process to ensure timely action is possible should it be necessary. Develop contingency programme (CPO timetable).	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
								Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/07/2023					

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SDBCD0023	The May 2022 local elections have resulted in a change of Mayor and administration at Tower Hamlets, which could change the political support for the delivery of the project and/or change how the scheme is delivered.	Elections, Mayoral review of projects	Delayed / aborted scheme of projects		3	4	12	Ongoing liaison with Members on project Regular Mayoral and Members briefings on South Dock Bridge to highlight the strategic importance of the bridge and maintain the momentum for the project. Ensure the project aligns with Mayoral objectives. Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 13/02/2023	2	4	8	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0025	The project may be delayed or halted by several years if air and water rights are not agreed or negotiable with CRT and agreement on suitable mitigation for loss of CRT moorings are not reached. This risk has intensified due to CRT's objection on the planning application citing the need for pontoons.	Communication breakdown.	Financial and delayed delivery date Risk has intensified due to the Canal and River Trust's objection on the planning application citing the need for a pontoon to mitigate loss of moorings. CPO needed.		3	4	12	CRT communication Ensure regular project meetings with CRT. Higher level meetings with CRT, senior managers and politicians. CRT input into bridge design. Early CPO/legal advice. Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/07/2023	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0027	Requirement for CPO may cause delay to contractors or other suppliers that have been procured to the deliver bridge.	Dependent upon making CPO.	Delay to programme Additional cost.		3	4	12	See below Early CPO/legal advice to be sought to avoid delays. Develop CPO timetable to set clear timeframes Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/07/2023	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

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SDBCD0034	There is a risk for not reaching agreements with landowners on usage of land/power for powering South Dock Bridge. If agreements can not be made, this may add more costs to the programme for finding alternative options, as well as impacting the project timetable.	Not reaching a suitable agreement for powering the bridge.	If agreements can not be made, this may add more costs to the programme (e.g. changing to a battery option) as well as impacting the project timetable.		3	4	12	As below Thorough and early discussions with landowners. Thorough investigation of options for powering the bridge. Including discussions about powering the bridge as part of wider land use agreements. <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/03/2023	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
WSPP0021	Understanding impact of government recycling reforms linked to the new Environment Act 2021.	Change in government policy linked to the new Environment Act 2021.	Government policy reforms will have impact on future recycling collection systems. Such as mandatory collection of food waste and expected requirement to collect paper and card separately from other mixed dry recycling.		4	3	12	Being managed as a major project with a working group This is a major project with a working group and governance arrangements in place (led by Dan Jones). To understand, plan for implementation and manage impact of potential service changes. <i>Fiona Heyland</i> <u>Required Control Measure Target Date:</u>	4	2	8	Richard Williams	A Borough That Our Residents Are Proud Of And Love To Live In.
EPBTS0005	Beatrice Tate School Temporary Accommodation - Survey results / Planning requirements impact delivery / cost / programme	Survey results	delay to programme incur additional cost		5	2	10	Further foundation issues due to tree and existing historical foundations Investigating a revised foundation option due to structural engineer advice <i>Kathryn Maund</i> <u>Required Control Measure Target Date:</u>				Babatunde Balogun	A Borough That Our Residents Are Proud Of And Love To Live In.

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LLV030006	Land required in LBTH will not be as per the Leven Road Safeguarding and S106 agreement.	Design development determining more/different land is required.	S106 needs to be varied.		5	2	10	<p>Developer negotiation and variation to S106.</p> <p>Early design work indicates that the land originally safeguarded will not be required. However, early dialogue has taken place with St William as to this possible. The bridge lands in a later phase of the scheme, which gives time, and St William appear amenable to amending the safeguarded area and integrating the bridge design within wider site landscaping. It is quite possible that the bridge will take less land than originally anticipated, or land towards the boundary of the Leven Road site, potentially offering St William options to apply for an amended scheme with additional housing and/or other value generating uses.</p> <p>James McCormack <u>Required Control Measure Target Date:</u> 31/12/2022</p>	5	1	5	James McCormack	
PAR0003	Property address cannot be identified by emergency services The Council has an obligation to accurately identify street names and property numbers	Inaccurate / incomplete information being provided by applicants Inaccurate data input to key systems (LPG/NLPG/NSG) Substantial financial penalties Likelihood of disrupted service and failure, Unfamiliarity of processes and systems Team restructure just completed Legacy project revealing inconsistency	Blue light services unable to find properties in emergency situations (potentially life threatening) Complaints and Member Enquires increase Geoplace takeover service Investment affected as development cannot be occupied Delayed collection of Council Tax and Non Domestic Rates (key council income streams) New residents delayed from occupying legitimate	<p>Establish new Street Name & Numbering Team and Legacy Project Team The restructure posts have been appointed to with one withdrawn acceptance being re-advertised during February 2018.</p> <p>Establish weekly monitoring and reporting system workflow alerts exist on BC related issues - John Pulman has initiated workflow for SNN but teething issues relating to existing data in laserfiche to be resolved and purchase of laserfiche for individual staff members</p> <p>Ensure process and service manuals are produced including</p>	2	5	10	<p>Detail and implement work programme for resolution of all outstanding identified legacy cases and address queries.</p> <p>Project manager and team mobilised. Project initiation complete and in-flight. Regular Board-level project reviews and Highlight reporting also established. Work programme output monitored through Scrum and 1:1 supervisory meetings with case officers.</p>	2	5	10	Jennifer Peters	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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			properties	<p>clear service standards and defined duties The SNN system and work process manual and guidance is in place.</p> <p>Ensure compliance with all established processes and manuals. Ensure that all team processes are captured and documented. Ensure that SNN Acolaid manual is updated to reflect best practice. Ensure that SNN staff are trained and monitored in process and systems usage.</p>				<p>Daniel Aiano <u>Required Control Measure Target Date:</u> 30/06/2021</p>							
PAR0012	Danger to person(s) from a dangerous structure	<p>G-Dit Call Centre fail to notify Building Control authorised officers</p> <p>Authorised Building Control do not respond to call from G-Dit Call Centre</p> <p>No contractor on standby</p>	<p>Danger continues with potential structural collapse and loss of life</p> <p>Litigation</p> <p>Reputational damage including negative press</p> <p>Potential loss of building including historic buildings</p>	<p>Ensure availability of 24/7 emergency works contractor via membership of London Dangerous Structures Consortium</p> <p>Keep call-out rota updated</p> <p>Monitor every incident</p> <p>Report non-conformance by G-Dit</p>	2	5	10	<p><u>Required Control Measure Target Date:</u></p>	1	5	5	John McGeary	A Borough That Our Residents Are Proud Of And Love To Live In.		
PAR0052	Incorrect Planning Decisions being taken and Permissions Issued & Local Land Charge Searches Issued without Core Planning Layers and Information Included on the GIS layers (they do not pull through as part of automated processes).	<p>Solicitors and business contacting the council for clarification on details provided in searches relating to matters covered by the local plan.</p> <p>Solicitors and property owners/developers contacting the council with queries/clarifications about their planning permission and their property.</p> <p>Residents contacting the council having found out</p>	<p>- The council faced with financial claims (being sued) for providing incorrect information on property transactions. These could amount to millions of pounds if it was shown the absence of incorrect information has led to a purchase being made when the purchaser may well not have done so;</p> <p>- Reputational damage and trust issues arising around core council responsibilities and</p>	<p>Local Plan Layers Assessment & GIS Uploading Project</p> <p>An initiative has been launched commissioning ICT, working with planning and building control to deliver a fully complaint set of GIS layers translating the new Local Plan and replacing the out-dated layers from the previous local plan.</p> <p>- Detailed analysis as to what is required with a business case, business plan and work programme has been drafted. ICT have brought in a consultant and assessed needs.</p> <p>- There are 92 affected layers</p>	2	5	10	<p><u>Required Control Measure Target Date:</u></p>	2	4	8	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.		

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		they are unable to do something in relation to their property that they thought they would be able to do so.	statutory processes (Determination of planning applications and Local Land Charge service as part of property conveyancing). - Potentially having to revoke planning permissions with accompanying compensation costs. This could run into millions depending on the development, lost value associated with the proposal etc. - Council having to manage and/or then dispose of assets it acquires by default. Additional costs likely.	including around 800 polygons. Within this a range of existing detailed polygons also needed testing and clarifying as to their accuracy. A project board with ICT resources and staff from planning and building control has been set-up to take the project forward. This work is already behind schedule, as its taken too long to arrive at this approach and therefore needs accelerating to ensure as prompt a completion as possible.								
CLPR M00 76	Parking Services to ensure that the Enforcement Agents contract meets its expected annual income; revenue expectations now managed by Revenue Services	Parking Services have no control over the enforcement debt collection Loss of revenue in comparison to previous years	Loss of revenue over 2 years Revenue services have collected approx. £50k over 2 years		3	3	9	3	3	9	Michael Darby	A Borough That Our Residents Are Proud Of And Love To Live In.

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DRPCDO009	(New Town Hall project) A failure to have a clear and approved funding strategy for the Town Hall due to a change of business case assumptions	A strategic move away from disposal-led funding to the use of reserves/borrowing, together with a change in client brief	Lack of clarity on funding strategy leads to greater scrutiny; failure to gain stakeholder support (internal and external), programme delay	<p>Cabinet Report of 27 June 2017 detailed updated capital estimate and funding strategy</p> <p>The Business Case that will form part of the June Cabinet Report will consider the viability of the scheme in terms of both asset disposal funded and/or borrowing finance routes.</p> <p>Section 19 of the Cabinet Report of 27 June 2017 details the funding option in relation to the Council adopting the Capital Estimate.</p> <p>19.3 - It is therefore the responsibility of the Executive to implement the budget and financial plan/strategy and any decisions taken must not be contrary to, or not wholly in accordance with, that approved framework.</p> <p>19.4 - Part of the funding for the project may be generated by prudential borrowing and section 8 of the report describes the nature of borrowing proposed. The Council is permitted by section 1 of the Local Government Act 2003 to borrow money for any purpose relevant to its statutory functions or for the prudent management of its financial affairs. The Council must stay within its determined borrowing limit.</p> <p>19.5 - Accordingly, provided the decisions to adopt a capital estimate and to authorise the use of prudential borrowing are in line with the budget and plan/strategy agreed by full Council, then the proposed recommendations are permissible.</p> <p>Resources directorate to ensure overall project budget is incorporated into the Capital</p>	3	3	9	<p>Budget approval for costs that sit outside approvals to be sought.</p> <p>Following Budget approval via Chief executive decision CEO002 on 04.05.22, costs are to be reported to cabinet in June 2022 and reconciliation of cost that sit outside of current approvals regularised, currently in process of review via capital governance process.</p> <p><i>Yasmin Ali</i></p> <p><u>Required Control Measure Target Date:</u> 31/03/2023</p>	3	3	9	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.		

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				<p>Programme to be reported to Full Council Resources directorate to ensure overall project budget is incorporated into the Capital Programme to be reported to Full Council</p> <p>Council confirm funding strategy for project in order to give market certainty that the contract can be let in June 2018 The Council needs to confirm the funding strategy for the project in early 2018 in order to give market certainty that the contract can be let in June 2018.</p>								
DRPCDO 026	(New Town Hall project) Failure to demonstrate VfM and project protocols in a timely and transparent manner	Requirement for project audit	Prepare for ad hoc and/or planned audit/governance reviews	<p>Benchmarking of costs during RIBA stages 4 On going with Contractor and Employers Agent. Commercial discussions and challenge on cost continue- business case update is being prepared with Finance team for approval.</p> <p>Robust file structure and file audit in place The structure is in place and change control process managed and approval sought and saved</p> <p>The Building that's delivered achieves what the buisness case set out to achieve. Taking into account the budget envelope Reviewing original business case at key intervals alongside agreed budget.</p>	3	3	9	1	4	4	Yasmin Ali	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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DRPCDO043	(New Town Hall project) Failure to provide appropriate car parking facilities for Blue Badge Holders and Essential Car Users	Discharge of Planning Conditions 29 & 32 (Full Travel Plan & Full details of the proposed arrangements for Blue badge holders and Essential Car Users prior to occupation). Colleagues in HR unable to make the reasonable adjustments necessary for current blue badge holders.	The operational needs of building users is not met.	<p>Prepare and produce a travel plan for the new Town Hall TPP consultants have been commissioned to produce the new Town Hall Travel Plan, the brief outlines the following objectives: -Understanding travel to work in a post-Covid world -Understanding LBTH and partner blue badge parking requirements -Undertake staff survey to better understand anticipated travel movements to the new Town Hall -Prepare information on car-free travel to the new Town Hall -Completion of the travel plan ahead of submission to LPA in March 2022</p> <p>Travel Plan has been submitted to the LPA. Further meetings are taking place with NWOW to look at the provision of ECU/MVP and future management of these permits with Parking Services.</p>	3	3	9	<p>Occupation Health Assessments</p> <p>- HR to engage OH professionals to make assessment of the 22 blue badge holders to better understand needs and requirements. - Outcomes of assessments to be shared with senior officers for decision on how to proceed - Future parking opportunities continue to be explored including Sainsburys</p> <p>Charlie Carter <u>Required Control Measure Target Date:</u> 31/10/2022</p>	3	3	9	Charlie Carter	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
EPGGS0019	Insufficient budget to complete the project	Above average increases in Build Cost Inflation Revised cost model from the cost consultant Changes in the project brief which increase the cost of design and construction	Additional capital resources required to complete the project		3	3	9	<p><u>Required Control Measure Target Date:</u></p>	2	3	6	Anthony Jones	OLD *** Creating Opportunity By Supporting Aspiration And Tackling Poverty

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EPGGS0021	Use of Passiv Haus instead of BREEAM Excellent methodology	DfE fails to accept the Passiv Haus approach and the local authority are required to seek derogation Planning refuses to accept this approach as they request design to BREEAM standards Use of Passiv Haus increase the cost of this project beyond the local authority budget	Derogation will cause delay in approving the school design if the DfE agrees to fund the school rebuild Planning delay approval to seek confirmation that Passiv Haus will require the design standards needed by planning Additional finance is need to deliver the project if the local authority is to finance the rebuild		3	3	9			2	1	2	Anthony Jones	People Are Aspirational. Independent And Have Equal Access To Opportunities.
FM0001	Breach of legislation relating to health & safety compliance in buildings owned or occupied by the council (excluding schools or leased out premises)	Appointed contractors failure to undertake inspections as instructed Failure to complete identified works or actions to meet current regulations and standards Failure to hold or provide required certificates or documents to evidence completion and remedial actions Contractor entering liquidation and unable to fulfil contract requirements Inadequate resources to manage statutory requirements and processes	Potential fatality from defective services or exposure to uncontrolled hazards Prosecution by enforcing authority, i.e. Health and Safety Executive, London Fire Brigade Reputational damage Financial penalty	Inspection Programme In compliance with statutory guidelines and current best practice, an inspection programme has been formulated which is reviewed and approved by senior staff, the senior management team and the appropriate committee. The programme is regularly reviewed and updated. Records management The council's Asset Management database contains details of the properties for which the council is responsible to maintain and service. The required inspections and statutory requirements have been identified and are recorded and associated certificates of completion and documents are stored within the system. These are accessible remotely by designated officers / stakeholders. Reports can be extracted from the system to provide accurate performance data.	3	3	9	Records management In compliance with statutory guidelines and current best practice, an inspection programme has been formulated which is reviewed and approved by senior staff, the senior management team and the appropriate committee. The programme is regularly reviewed and updated and compliance levels remain at high levels between 97-100% Geoff Schooling <u>Required Control Measure Target Date:</u> 01/04/2020 Records Management - on going In compliance with statutory guidelines and current best practice, an inspection programme has been formulated which is reviewed and approved by senior staff, the senior management team and the appropriate committee. The programme is regularly reviewed and updated and compliance levels remain at high levels	2	4	8	Sam Brown	A Borough That Our Residents Are Proud Of And Love To Live In.	

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								between 97-100% Sam Brown <u>Required Control Measure Target Date:</u> 25/02/2023					
LLV0001	The PLA requires onerous air rights fees.	PLA request.	Costs increase, either the boroughs plug the finance gap or the project(s) do not go ahead.		3	3	9	PLA Liaison and Legal Advice The council is in dialogue with the PLA and will be providing it with evidence as to why its lower level of fees should be charged in this case. LBTH has sought input from planning colleagues in building evidence here and also precedent relating to PLA charges previously agreed for this site. Legal advice is also being procured to establish what powers the PLA has in setting air rights fees. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	2	3	6	James McCormack	
LLV0003	The Environment Agency insists on onerous conditions	EA Consultation	The EA has been consulted at an early stage. It's comments to date do not impact the proposed scheme. River wall improvements and flood protection measures are likely to be delivered by adjacent developments and unlikely to be direct conditions or costs to the bridge project.		3	3	9	<u>Required Control Measure Target Date:</u>	2	3	6	James McCormack	

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LLV010006	Ground risks: UXO, unexcavated archaeology, or other unknowns are found.	Survey and ground risk assessment outcomes.	A) Delays to the project programme B1) Cost increase to remediate the land B2) Cost increase as a result of delayed programme.		3	3	9	Ground Risk Assessment and risk analysis A GRA has been commissioned to examine the land in LBN, most notably the two UKPN cables here. A GRA contractor (WSP) has been appointed to undertake this. CG is contractually obliged to remediate land in LBTH. LBTH to work to de-risk any outstanding issues as much as possible prior to detail design stage to avoid delays where possible. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	2	4	8	James McCormack	
LLV010010	Services for the bridge are not delivered, as bridge land in LBTH is surrounded by privately owned sites and the river.	Services not delivered.	Bridge serviced from LBN side instead.		3	3	9	Contractual Obligations and Ground Risk Assessment LBTH has rights to a corridor to the highway. In the event this occurs, LBTH would look at options to service the bridge from the other side of the river. Land sale agreement in LBTH now transacted. Ground risk assessment will consider power and other service possibilities on the other side of the river. James McCormack <u>Required Control Measure Target Date:</u> 30/09/2023	2	3	6	James McCormack	

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LLV010015	Engineering issues during construction.	Engineering issues during construction.	Elements are re-designed or re-fabricated causing A) Programme delay and/or B) Cost uplift.		3	3	9	Planning and De-Risking Early engagement of engineering consultants. Early planning and de-risking. Thorough surveys. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2024	2	3	6	James McCormack	
LLV010023	Liabilities for maintenance or raising of the river wall for flood defense fall to the council and are onerous, or the river wall requires significant structural works to take the loads imposed by the ramps.	Design solutions on the east bank require construction of ramps abutting the river wall	Project costs increase and the budget is exceeded, one or more bridges do not go ahead.		3	3	9	Surveys Surveys of the wall will assist in valuing any works that will be required and assessing the liability risk, helping to mitigate this risk. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	2	3	6	James McCormack	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
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PAR0014	<p>During and following completion of the Council's Transformation Programme, insufficient access to specialist ICT/data resources and inadequate 'line-of-business' systems' provision to support delivery of services .</p> <p>Staffing and expertise in relation to the following Divisional activities: 1. Non-availability of client-side super-user support for Planning & Building Control line-of-business applications.</p> <p>Systems functionality in relation to the following Divisional services: 1. Development management and compliance 2. Building Control 3. Land Charge Services 4. Street Naming & Numbering 5. Land Property and Street Gazetteer Services</p>	<p>1. Reduced access to ICT resources and expertise following Transformation Programme causing inability to maintain continuity in client-side and super-user support for Planning & Building Control line of business applications.</p> <p>2. Following Transformation Programme, reduced access to data limiting everyday line of business required by Planning & Building Control for GIS, cartographic mapping and spatial data analysis services.</p> <p>3. Core line of business systems software no longer being developed or kept in step with industry standards or government expectations.</p>	<p>1. Where Planning & Building Control line-of-business applications are not being fully developed or vendor-supported, this will affect statutory service provision, achievement of national performance measures and negatively impact those income streams currently generated by the Division.</p> <p>2. Inadequate business application super-user support, both in terms of staff availability, expertise and systems development.</p> <p>3. Limited provision of Planning & Building Control-related GIS expertise, cartographic mapping services and spatial data analysis affecting the accuracy of vended services including Land Charge Register searching.</p>	<p>Continual review of workload and availability of resources Monitor sufficiency of available ICT resources in support of the delivery of P&BC functions.</p> <p>Engage with and make input to reorganisation proposals and transition arrangements Ensure liaison with ICT Programme Office during GIS and ICT centralisations implemented 1.4.2019 and 1.5.2020.</p> <p>Monitor ICT programmes and operational delivery during phased handover of centralised function and resources.</p> <p>Establish post-implementation controls, including set-up of P&BC ICT Joint Steering Group to ensure oversight of risk relating to ICT's programme and operational support of the Service.</p>	3	3	9	<p>Appoint additional resources necessary to support line of business systems</p> <p>Assess and establish any business-led ICT support requirements necessary post-centralisation. GIS expertise has been secured as a resources within the service but centralisation has limited ability to do some elements of core work for the business- delaying processes. Work is on-going to allow continued development and analysis of the business data in a 'safe data' environment - data warehouse to be created</p> <p>Umbreen Qureshi Required Control Measure Target Date: 31/01/2023</p> <p>Highlight service delivery risks relating to line-of-business systems vendor support to ICT and the Digital Portfolio Board</p> <p>1. Raising the importance with ICT and the Digital Portfolio Board of securing new systems to replace Acolaid.</p> <p>It has been an understanding within P&BC that funding was available to achieve this and now that seems less certain for the remaining 2 year period of the existing supplier contract. This, linked with the removal to ICT of specialised officers previously dedicated to P&BC systems, raises the risk of systems failure for this ageing application.</p> <p>2. Raising awareness of the</p>	3	3	9	Umbreen Qureshi	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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								<p>Council's statutory obligations to deliver current and future Planning and Building-related regulatory services:</p> <p>Government's 'Planning for the Future' white paper published in August 2020, sets out proposals for a 'once in a generation' reform of England's planning system. Not having a modern system in place in readiness for reform, exposes the Council to risk in not being able to meet any new legislative requirements.</p> <p>3. Developing a business case-based funding request to Digital Portfolio Board in order to commence a review of Acolaid and associated applications with a view to their replacement with modern applications.</p> <p>Update 29.04.22- DPB have agreed project and funding for P&BC Data Management Replacement System. Pre-procurement exercise has been carried out and next steps being worked on in preparation of full procurement.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 31/03/2024</p>							

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SDBCD0018	Engineering issues during construction.	Physical difficulties with construction.	Delay to programme and additional costs.		3	3	9	As below Early engagement of engineering consultants Thorough surveys to omit risk. Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/12/2024	2	2	4	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
DRDH0016	There is a risk of fraudulent housing applications and registering landlords.	Checklist has not been used consistently. Increased activity relating to fraudulent emails.	Applicants housed incorrectly or before their normal waiting time Incorrect assessment/banding of applications or offers	Management to undertake 2x random checks on applications and offers during the year First set of spot checks to be completed by 14 June 2021. Devise template checklist to ensure processes and checks in place are being properly adhered to	2	4	8	Hold 2x staff debriefing sessions to share learning of the spot checks; update procedure and processes if necessary Discuss findings of the first set of spot checks by end of June 2021 and share learning. Rafiqul Hoque <u>Required Control Measure Target Date:</u> 31/03/2022	1	1	1	Rafiqul Hoque	A Borough That Our Residents Are Proud Of And Love To Live In.
HRG0009	Blackwall Reach Regeneration Project - Land Assembly, Obtain Vacant possession orders from court Failure to gain vacant possession and clear title for later phases of redevelopment.	1. Inability to gain vacant possession of residential properties in Phase 3 site. 2. Possession orders granted by courts for vacant possession (May 2018 removed superseded triggers of Phase 1b and Phase 2 land assembly)	1. Preventing demolition of 105-214 Robin Hood Gardens & Mackrow Walk for Phase 3 of redevelopment (May 2018 removed superseded triggers of Phase 1b and Phase 2 land assembly)	Serve GVD and organise possession proceedings if necessary for Phase 3 site as and when required including NOSP for secure ten Communicate as appropriate with secure tenants, leaseholders, non-secure tenants and unauthorized occupants. (Note GVD served and executed for non-resident leasehold and freehold interests in 2019). Leasehold interests all now acquired. Secure and non Secure tenants still to rehouse. NoSPs served	2	4	8	Use of Compulsory Purchase Order for Phase 3 and Continued negotiations for acquisition of property phase sites 3 and 4 Use of Compulsory Purchase Order following confirmation. Vesting property and compensating parties affected. Site 3 Millennium Green, Robin Hood Gardens 105-214 and Mackrow Walk (August 2021 Update: Combination of 2 CPOs have now successfully resulted in land assembly for this site) Site 4 South eastern commercial sites between Naval Row and Aspen Way (To be reviewed in future years in conjunction with	2	4	8	Sabaj Uddin	A Borough That Our Residents Are Proud Of And Love To Live In.

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									<p>GLA following Sec. of State not confirming CPO for this site in 2015)</p> <p>Sabaj Uddin <u>Required Control Measure Target Date:</u> 08/12/2025 Implementation of Stopping up Order for Phases 2 and 3</p> <p>Extra Stopping up Order made for Phase 1b in November 2016. No objections received and JR period ended 16 December 2016. New pedestrian access through the area to be opened in 2019 following completion of new homes and a new public square.</p> <p>Phase 2 effective, with area now closed off as a building site, new footpaths to be instated following construction of new homes.</p> <p>Phase 3 closures to follow once Phase 3 complete and with vacant possession of 105-214 Robin Hood Gardens and 1-11 Mackrow Walk.</p> <p>Target date amended as Phase 2 delayed. Planning approval now in for Phase 3 to commence following completion of Phase 2 (decant of remaining RHG residents to new Phase 2 homes).</p> <p>Sabaj Uddin <u>Required Control Measure Target Date:</u> 30/11/2023 New Stopping up Order if needed for Phase 4</p> <p>Target date amended to at least 2024 as Stopping up Order in connection with Phase 4 to be</p>						

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								made in association with Phase 4 design which is to follow in later years, subject to land assembly. Phase 3 proposals submitted for planning approval work in progress. Note: SuO would be required due to CPO approval excluding Phase 4 land. GLA and their long leaseholder on part of this site negotiating the latter to take forward part 1 of a revised 2 part Phase 4 revision.							
								Sabaj Uddin <u>Required Control Measure Target Date:</u> 30/08/2024							
LLV010001	PLA's request for a higher airgap.	Accepting the higher airgap request.	A) A static higher bridge is required which may be undesirable for Country Garden and Islay Wharf due to overlooking issues into the riverside units, or B) A lifting or opening bridge is required which would introduce more complex mechanical elements and potentially increase capital and/or operational costs. If this event does materialise, either the boroughs plug the finance gap, or the project does not progress and GLA funds are not drawn down.		2	4	8	Legal Counsel Negotiation with PLA. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	1	4	4	James McCormack			

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
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LLV010007	LBN is unable to provide funding.	Funding commitments are not met.	Funding gap cannot be plugged and the project doesn't go ahead.		2	4	8	Cross-borough agreement. Both boroughs are currently working to raise this funding both internally through CIL and other capital funding and externally through a cross-borough Homes England funding bid. LBTH internal capital bid has been approved, subject to cabinet sign off. LBN has secured LIR funding and is also progressing an internal capital programme approvals. A cross-borough MOU is being drafted to commit both boroughs to funding. James McCormack <u>Required Control Measure Target</u> <u>Date:</u> 31/12/2023	1	4	4	James McCormack	
LLV010017	Land in LBTH cannot be secured.	Land is not secured.	Bridge cannot be developed.		2	4	8	Ensure application of contractual obligations. There are obligations both in the S106 agreement and land sale agreement. LSA now complete including obligations on CG to transfer bridge land to LBTH. James McCormack <u>Required Control Measure Target</u> <u>Date:</u> 31/12/2023	1	3	3	James McCormack	
LLV010024	Ailsa Wharf developer Country Garden obstructs the delivery of the bridge following the councils election to step in.	CG could be difficult to negotiate with in relation to the construction phasing, access and traffic and the negotiation of the phasing and traffic plan.	Access for construction of the bridge is not provided, causing delays to the project and jeopardising our external funding.		2	4	8	Careful Negotiation Communications and negotiation with the developer in relation to the phasing and construction traffic planning will be important to mitigate this risk. Keeping a good relationship with the developer will be key.	1	3	3	James McCormack	

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								James McCormack <u>Required Control Measure Target Date:</u> 30/06/2025					
LLV020005	Shape of the land required in LBTH will not be as per the Leven Road Safeguarding and S106 agreement.	Completion of bridge design.	Land in LBTH may not enable the original design to be delivered, so this will need to be amended.		4	2	8	Developer negotiation and variation to S106. Early dialogue has taken place with St William. St William appears amenable to amending the safeguarded area if possible and integrating the bridge design within wider site landscaping. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	4	1	4	James McCormack	
LLV030007	St William does not make land available for construction and public access in order to construct and open the structure in line with current timeframes.	Land for construction and public access is not made available.	The bridge can neither be constructed nor opened to the public.		2	4	8	Developer negotiation and S106. This matter is addressed in the S106 agreement. Officers are in dialogue with St William as to the expected programme of the two schemes and St William has indicated a willingness to provide land and support for the construction of the project and to create and maintain public access routes to in post PC of the bridge, and while the LR scheme remains under construction. Further, it is in St William's interest for the bridge to be delivered and as early as possible, as long as this can be achieved without impacting its own construction programme. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2025	1	4	4	James McCormack	

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PAR0051	Dangerous Structures - Key control weaknesses, identified in the Internal Audit Report, are not addressed	Management Action Plan agreed in response to the Internal Audit Report is not implemented	4 High Priority Recommendations for fundamental control weaknesses 4 Medium Priority Recommendations for control weaknesses	<p>MAP Recommendation 1 - High Priority Agreed action: The Head of Building Control will undertake a review of the procedural document ensuring that this document is dated, version controlled and approved. This review of the procedural document will consider that while BC Surveyors will understand the procedure others may not, I will review the document from this perspective. Recommendation: 1.1 A complete review should be undertaken of procedures for managing, administering and controlling Dangerous Structures. The procedures should cover referrals made Out of Hours and during officer hours and be formally approved, dated and version controlled and then distributed to relevant staff. 1.2. Management should ensure that the system for administering and controlling referrals and case management of Dangerous Structures incidences provides a robust audit trail from start to finish within the electronic case management system for both Out of Hours and Officer Hours referrals and management.</p> <p>MAP Recommendation 2 - High Priority Agreed action The scheme of delegation has not been updated since January 2007. The update of the scheme is a joint responsibility of BC and Legal Services. We have been pressing for this to be undertaken for some time and it is now proposed to</p>	2	4	8				2	4	8	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.

Required Control Measure Target Date:

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					L	I	Total	L	I	Total		
				<p>reactivate this work in line the provisions of the draft revisions to the Scheme of Delegation for the Chief Executive and Corporate Directors. Recommendation 2.1 The Directorate's Scheme of Delegation should be reviewed to ensure that it correctly identifies officers with the delegated authority to investigate and report upon incidences of Dangerous Structures.</p> <p>MAP Recommendation 3 - High Priority Agreed action The Head of Building Control currently undertakes a verbal review of the authorised officer role after an incident has occurred, usually the morning after. However these discussions will be formalised by providing written entries on acolaid to confirm my reviews as an inspection record. I will draft a template for officers taking Dangerous Structures enquiries confirming information given, information obtained during visit and work undertaken. With reference to `predefined quality standards` - there are 4 options stated in the procedure document - I will review the options in the current procedure document. Recommendation 3 3.1 It should be ensured that there is a consistent approach to recording, inspecting and reporting the outcomes of dangerous structures which should be included in the procedure notes. There should be standard templates implemented for recording inspections and decision outcomes.</p>								

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				<p>Management should review the quality of inspection reports and outcomes, to ensure that standards are complied with.</p> <p>MAP Recommendation 4 - High Priority Agreed action Quarterly meetings will be arranged between Head of Building Control, Building Control and Technical Support Staff to ensure Dangerous Structure cases have been resolved satisfactorily. We currently have a spreadsheet for the performance of the DS Contractor which if it drops below acceptable levels is forwarded to the consortium (DS Contractor is bound by their contract with the Consortium of London Borough's via the London District Surveyors Association) for action.</p> <p>Recommendation 4.1 It should be ensured that management oversight is provided by implementing procedures for regular management review and monitoring of Dangerous Structure cases. Consideration should be given to having some key performance indicators to measure the efficiency and effectiveness of the service, which should be reported to higher level management, when necessary.</p> <p>Agreed action Quarterly meetings will be arranged between Head of Building Control, Building Control and Technical Support Staff to ensure Dangerous Structure cases have been resolved satisfactorily. We currently have a spreadsheet for the performance of the DS</p>								

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				<p>Contractor which if it drops below acceptable levels is forwarded to the consortium (DS Contractor is bound by their contract with the Consortium of London Borough's via the London District Surveyors Association) for action.</p> <p>MAP Recommendation 5 - Medium Priority Agreed action We will review and where necessary reinforce existing procedures to ensure no inconsistency or inaccuracies in payments or time sheeting. Recommendation 5 5.1 Timesheets should be checked and signed by the officer who carried out the initial inspections of the site to ensure that the contractor has carried out the required works and that the invoices are in accordance with agreed rates.</p> <p>MAP Recommendation 6 - Medium Priority Agreed action Change procedure notes to include post inspection visits but note this will only occur in rare occurrences i.e. where a structure either serious or very serious defects arise Recommendation 6 6.1 The requirements to carry out post-inspections of completed works should be included in the procedures notes and management should ensure that these procedures are complied with.</p> <p>MAP Recommendation 7 - Medium Priority Agreed action Quarterly Meeting within Planning and Building Control team Managers for Building Control, Technical</p>								

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
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				<p>Support Team and Resources to provide automatic monthly reports confirming reconciliation between Wates payments and Building Owner payments of invoices. Automated monthly email reports to update Technical Support Team (Building Control) and to request an email be sent to Technical Support Team (land charges) to lift any property charges in relation to Dangerous Structure Notices once the case has been completed and before the case is closed.</p> <p>Recommendation 7 7.1 A system of reconciliation should be implemented to ensure that all payments made by the Council to the contractor and Council fees are recouped from the owner of the Dangerous Structures.</p> <p>MAP Recommendation 8 - Medium Priority Agreed action Management Systems have provided the same level of protection for DS Notices as we have for Full Plan Decisions i.e. only Head of Building Control or Team Leader can sign the Notice. Regular meetings with the Technical Support Manager to review charges on the land registry register to establish if they can be recovered or lifted are in progress</p> <p>Recommendation 8 8.1 DS Notices should be checked by the Authorised Officer or Head of Building Control - prior to issuing them to the owner of the property and to the Land Registry. A signed copy of the DS Notice should be held on laser fiche.</p>								

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					L	I	Total	L	I	Total			
				<p>8.2 The Head of Building Control is checking periodically with the Technical Support Team where a DS Notice has been issued to confirm whether the invoice has been paid. Once full payments have been received, instructions to lift the charge should be sent to the Land Registry.</p> <p>9.3.The Head of Building Control - is monitoring and reconciling annually, the Charges placed on the Land Registry and those that should have been lifted. A record of all historic charges on the Land Registry should be held on Laserfiche.</p>									
PAR0056	Loss of income or in-kind benefits from S106 Agreements with developers	Failure to allocate/spend S106 before expiry dates. Incorrect use of funding. Failure to undertake Council obligations. Failure to monitor developer obligations.	Loss of income or in-kind benefits from S106 Agreements with developers	<p>Implement Exacom system for S106 Stages as follows:</p> <ul style="list-style-type: none"> - Review data on system for years 2011 - 2013 and write report by 31/10/21 - Establish data update plan for last ten years by 30/11/21 - Implement data update plan (and test) for last ten years by 31/03/22 - Analyse ten year data and write report with recommendations for historic and on-going monitoring by 31/05/22 - Agree and establish historic and on-going monitoring plans by 28/09/22 <p>Review and Update S106 Manual A review and update of the S106 Manual is being undertaken to ensure consistency of approach.</p> <ul style="list-style-type: none"> - Include Exacom requirements by 30/11/21 - Update to reflect a proactive approach to monitoring by 31/01/22 - Include outcomes from the Exacom Implementation project 	2	4	8	Complete S106 Historic Compliance Project	1	2	2	Matthew Pullen	A Borough That Our Residents Are Proud Of And Love To Live In.

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					L	I	Total	L	I	Total	L	I	Total		
				31/03/22											
PLC0020	Risk to public safety caused by dangerous or unsafe structures.	There are only three staff available to respond to dangerous call outs and service level will be adversely affected if one or more of these staff are absent due to Covid-19.	Unsafe structures may not be secured as quickly creating a risk to safety.	PPE Supplied Team have dealt effectively with a number of Dangerous structure call outs during the year – including the Bow Crane incident. While the team are well – one of the three staff who undertake dangerous structures call outs is currently self- isolating, so we continue to rely on an agency member of staff for this service.	2	4	8	Building Greater Resilience We are looking to build greater resilience in the team, including recruiting to the permanent vacant team leader (west) post – however, ensuring that we have the right recruitment and retention package will be key to this and this is what we are working on at the moment Nicole Layton <u>Required Control Measure Target Date:</u> 21/06/2021	1	4	4	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.		
PPRMM003	Management of Markets - Follow Up Audit is assigned an inadequate assurance rating (Limited or Nil)	Management of Markets - Final Audit Report assigned LIMITED Assurance AUDITOR: Terry Hudson DATE: April 2019 REF:05012/2019	Inadequate Audit Assurance Definitions: Limited Assurance - Weaknesses in the system of controls are such as to put the systems objectives at risk and from our testing the level of non-compliance puts the systems objectives at risk Nil Assurance - Control is generally weak leaving the system open to significant errors or abuse and from our testing there were significant non-compliance with basic controls which leaves the system open to error or abuse Financial - 3, Reputation - 3 and Performance 3.	MAP High Priority Recommendation 4 Recommendation 4 4.1 In cases where the Market Inspector has failed to submit vouchers in accordance with procedures, Management should record these on a Missing Voucher Record sheet and should monitor and follow up with the Market Inspector the next day to ensure that the missing vouchers are submitted. The interim Head of Communities and Enforcement should investigate the extent to which temporary traders are being permitted to trade without the required temporary licence voucher(s) and the appropriate action should be taken. 4.2 Management should undertake a review to establish how much income has been lost due to e to temporary traders being permitted to trade without the required temporary licence voucher(s). Agreed Action A Missing Voucher record will be	2	4	8	MAP High Priority Recommendation 2 Recommendation 2 2.1 Standards and procedures for Management to test compliance with the Markets Enforcement Procedures should be defined and documented. The procedures should document the various levels of management together with their roles and responsibilities in overseeing enforcement of the markets. 2.2 All procedures should be reviewed on regular basis by a designated officer and all updates should be subject to date and version control. Agreed Action Complete the delivery of the online market management system. The processes will be fundamentally changing with the introduction of the online system, which will capture all enforcement and compliance activity. The system was due to	2	3	6	Michael Darby	A Borough That Our Residents Are Proud Of And Love To Live In.		

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					L	I	Total	L	I	Total	L	I	Total		
				<p>introduced from 1 May to capture information and ensure this is followed up in a timely manner. The current manual process will make it difficult to know whether trading has taken place and a voucher not collected, unless the Market Officer has manually recorded that a voucher is 'owed'. A review and reconciliation process for 2018/19 will take place to establish whether any remain outstanding and identify action to be taken to address this. A programme of verification checks will be established to ensure that voucher records are an accurate record.</p> <p>MAP High Priority Recommendation 5 Recommendation 5 5.1 The Interim Head of Communities & Enforcement should ensure that a review is undertaken on all market enforcement activity in order to establish whether all Market Officers are undertaking their enforcement duties in accordance with Enforcement Procedures. These issues should be discussed at one to one meetings and PDR meetings which should be clearly recorded. 5.2 Clear performance measures and targets should be introduced in respect of the reduction of illegal trading which should be regularly monitored and reported on to higher level of management. Agreed Action Audit recommendations will be implemented. A review of enforcement activity will be completed. PDRs and one to one's will record</p>				<p>be live in December 18, however, there have numerous delays due to technical difficulties and influence from other corporate projects, such as Capita. A new delivery date of end of May has now been agreed, however, if this does not happen the Project Board will need to decide on whether the project remains viable. Temporary adjustments have been introduced to enable enforcement information captured to be used to ensure timely and appropriate action. A programme of procedure reviews will be established as part of the Market Master Plan with annual reviews to be undertaken.</p> <p><i>Damian Patchell</i> <u>Required Control Measure Target Date:</u> 31/03/2023 MAP High Priority Recommendation 3 Recommendation 3.1 The Interim Head of Communities and Enforcement should ensure that procedures for Audit are adequately documented. There should be clear standards, methodology, risk assessment and work plan for the Audit process. 3.2 Management should consider closer working with Internal Audit on joint periodic spot checks of the markets and working with the councils Anti-Fraud team focusing on more proactive work in order to improve the Market Service. 3.3 The risk of fraud and</p>							

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				<p>discussions with officers regarding all enforcement activity. New processes are being established in partnership with the Public Realm Programme Team to enable performance measures to be introduced.</p> <p>MAP High Priority Recommendation 6 Recommendation 6.1 Management should ensure that Market officers are fully completing the daily allocation sheets and collecting the required Market Traders daily License's. Where appropriate, training should be provided to all Market Officers. 6.2 Management should regularly review a sample of daily allocation sheets on a periodic basis and identify which members of staff are regularly failing to complete the sheets fully and collecting the required Market Traders daily License's. Appropriate action should be taken to ensure that performance improves. Agreed action All Audit recommendations will be implemented. Daily allocations will be checked and verified as part pf the daily management checks. A sample will be reviewed weekly by the Market Service Manager (Head of Markets until they take up post)</p> <p>MAP Medium Priority Recommendation 7 Recommendation 7.1 The Interim Head of Communities & Enforcement should ensure the Terms of Reference are drawn up to cover the business of the Market Licence Revocation Panel which should be in line with the provisions</p>				<p>corruption in the market enforcement process should be identified as a specific risk within both the 2019/20 Market Services Team Plan and Risk Register together with corresponding mitigating actions/control measures and control owner(s). 3.4 Training on anti-fraud and bribery should be provided to relevant staff. Agreed Action The audit process map and procedure is to be developed and consideration will be given to the opportunities to work with the Anti-Fraud Team.</p> <p>Complete the delivery of the online market management system. The online system will eliminate some of the risks currently present in the market enforcement process as the processes will be fundamentally changing to capture all enforcement and compliance activity on site. The system was due to be live in December 18, however, there have numerous delays due to technical difficulties and influence from other corporate projects, such as Capita A new delivery date of end of May has now been agreed, however, if this does not happen the Project Board will need to decide on whether the project remains viable. Anti-fraud and Bribery training will feature in the 2019/20 PDR Training Plans for all relevant Market Services staff.</p>							

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				<p>of Part III of the London Local Authorities Act 1990. The roles and responsibilities should be documented in the Terms of Reference, as well as the meeting formalities – how often to meet, quorum requirements, officer declaration of interests etc.</p> <p>7.2 The Terms of Reference should be subject of annual review by the Panel. Any reviews should be recorded in the minutes of the meetings.</p> <p>Agreed Action All Audit recommendations to be implemented. Terms of Reference will be introduced and reviewed annually.</p>				<p><i>Damian Patchell</i></p> <p><u>Required Control Measure Target Date:</u> 31/03/2023</p>							
				<p>MAP Medium Priority Recommendation 8 Recommendation 8.1 The Interim Head of Communities & Enforcement should write to the Divisional Director of Finance, Audit and Procurement requesting that a monthly reconciliation report is provided on Market trader accounts.</p> <p>Agreed Action Audit recommendations to be introduced.</p>											
				<p>MAP Medium Priority Recommendation 9 Recommendation 9.1 The Markets Audit and Business Development Officer should undertake an annual independent stock check in the prescribed format or when responsibility for the stocks Temporary Licence vouchers is transferred from one officer to another. As per Financial Regulations (P3: Inventories).</p> <p>Agreed Action Audit recommendation to be</p>											

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
				implemented											
SDBCD0005	South Dock Bridge - National / regional strategic or political changes impacting on the viability of the project - footbridge becomes less of a priority. The risk has increased slightly due to Brexit and Covid-19.	Local, regional or national policy changes.	A new footbridge becomes less of a priority when allocating financial resources.		2	4	8	Ongoing review Dependent upon policy changes. Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/12/2024	2	3	6	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.		
DRPCDO058	(New Town Hall project) Failure to create an agile and flexible workspace that supports staff to be the best they can be	Internal engagement to be effectively managed to help mitigate the risk and eliminate possible failure	The workspace does not provide staff with the support they need to be the best they can be	New Town Hall working group meetings are in place to monitor the interdependencies to transforming the way we work Interdependencies: HR IT PMO FM Coms LOCD To work with FM to review the layout of Mulberry Place Post Covid to create and agile and flexible workspace In light of COVID19, we are working with FM to review the layout of Mulberry Place on the 4:10 ratio to trial the proposed flexible workspace.	2	3	6	Engagement with Staff Networks on staff accommodation principles and the look, features and deco of the new Town Hall Regular progress and engagement meetings scheduled for 2022 as part of the wider New Ways of Working workstream. Sarah Steer <u>Required Control Measure Target Date:</u> 16/12/2022	1	3	3	Sarah Steer	A Borough That Our Residents Are Proud Of And Love To Live In.		

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
EPBTS0001	Beatrice Tate School - Proposal for temporary accommodation exceeds budget available as scope has changed several times since first request to proceed	Receipt of tender responses	Increased budget will be required from Childrens & Adult services - budget change order to be submitted		3	2	6	<p>Budget increase - additional funds- Budget to be progressed through a change order</p> <p>Budget increase -Client is aware of likely budget increase due to brief changing several times to the detriment of the original figure £500k, therefore this risk is already known. Revised budget figure circa £1.2m due to Planning and tree protection mitigation required</p> <p>Kathryn Maund <u>Required Control Measure Target Date:</u></p> <p>addtl buget request</p> <p>£350k from the Schools Condition and Improvement budget approval by Cabinet due end of Jul 19 Remaining additional budget request via Exception report, submitted W/c 24June - Approval TBC</p> <p>Babatunde Balogun <u>Required Control Measure Target Date:</u> 02/08/2019</p>				Babatunde Balogun	A Borough That Our Residents Are Proud Of And Love To Live In.
LLV0008	Planning advice and comments are not consistent across the boroughs, or one of the boroughs refuses permission and the other consents.	Planning advice / decision.	This could case confusion, dispute or development of the bridge is not permitted in the current design. A new design is commissioned and new planning application is submitted, causing delay to the programme and cost increases.		2	3	6	<p>Cross-borough agreement</p> <p>A strategy for planning including joint pre-application advice and meetings, QRP, and planning permission procedure has been agreed in the MOU. Implementation of the MOU needs to be maintained at the Bridges Programme Board.</p> <p>James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023</p>	1	3	3	James McCormack	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
LLV0009	There is insufficient client capacity to manage the project effectively.	e.g. due to staff turnover or illness.	Project becomes delayed.		2	3	6				1	3	3	James McCormack	
								<u>Required Control Measure Target Date:</u>							
LLV010013	Failure to identify and engage all relevant stakeholders and to deliver an effective consultation process.	Failure to identify and engage all relevant stakeholders and to deliver an effective consultation process.	The bridge design doesn't meet the needs of a stakeholder(s).		2	3	6	Diligent Comms Management			1	4	4	James McCormack	
								Diligent identification of all consultees, partners and relevant stakeholders, to include CG, PLA, CRT, TfL, GLA, local residents and businesses in the area, local groups and other individuals and organisations who may have an interest or impact on the development. Managing communications: 1. Ensure designers have a clear brief. 2. Early communications with stakeholders 3. Early engagement/ongoing and positive comms strategy to enforce the benefits of the bridge to businesses and residents.							
								James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
LLV010020	UKPN insists on onerous commercial conditions.	Diversion or other works to UKPN cables at TMC site.	For example, excessive fees could increase project costs - either the boroughs plug the finance gap or the project doesn't go ahead.		3	2	6	Ground Risk Assessment and UKPN engagement WSP has been appointed to assess these risks and to commence engagement with UKPN. The range of risk here is likely to be known early and ahead of detailed design. Provision for cable diversions has been included within budgets and alternative options will also be considered James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	2	2	4	James McCormack	
LLV010025	Procurement of design team may not be concluded in September	Design costs over budget requiring re-tendering.	Programme is delayed, target planning submission date is delayed.		3	2	6	RFQ Management Careful management of the RFQ process with support from Procurement. James McCormack <u>Required Control Measure Target Date:</u> 31/10/2022	1	2	2	James McCormack	
LLV020003	UKPN insists on onerous commercial conditions	Works to UKPN cables - diversion or other.	Onerous fees for example could leave a finance gap for the boroughs to plug, or else the project doesn't go ahead.		3	2	6	Ground Risk Assessment WSP has been appointed to assess these risks and to commence engagement with UKPN. The range of risk here is likely to be known early and ahead of detailed design. Provision for cable diversions has been included within budgets and alternative options will also be considered.	2	3	6	James McCormack	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
								James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023					
LLV020007	Ground conditions (notably relating to cable diversions) result in excessive or abnormal construction costs.	GRA Outcomes - decision to divert UKPN cables	Either the boroughs plug the finance gap or the project(s) do not go ahead.		3	2	6	Ground Risk Assessment WSP has been engaged to review ground risks in Newham in general and UKPN matters specifically. This will help clarify legal, property, commercial and construction related implications as to ground risks and cable diversions or other interventions. Provisional sums for this work have been included in early budgets. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	1	2	2	James McCormack	
LLV030005	Land at the Electra site does not come forward.	A bridge to the Electra site is decided to be the only feasible option, and negotiations to secure land fail.	The project cannot be progressed.		3	2	6	LBN Negotiations with EMR and Electra While opening the Electra site will complete the river path at the point in the Lea, the Mayer Parry bridge can be delivered and operate without this intervention, albeit without the ability to travel north and west on the LBN side of the river. LBN regeneration officers are in ongoing dialogue regarding enforcing planning conditions relating to the opening up of the river path at Electra. The LBN position is that this will be progressed once there is more certainty as to the delivery of EMR and the bridge and the timeframes around this. Electra is therefore more dependent on the delivery of the bridge than vice versa.	3	1	3	James McCormack	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
									James McCormack <u>Required Control Measure Target Date:</u> 30/09/2021						
PAR0035	Legal duty/regulation is missed by Planning or Building Control	<p>A resident/service user/customer issues a challenge to the authority based on their belief/evidence that we have not met a statutory duty.</p> <p>Legal identify a duty has not been met</p> <p>Planning & Building Control identify a duty has not been met. There remains a concern that a statutory duty is missed and is not performed by the professional services.</p>	<p>Council experiences a legal challenge due to a missed statutory duty and consequently there is a financial loss, reputational loss or a danger to public in the Borough.</p> <p>Reputational - this is a sophisticated service and the implications for the council not having met a statutory duty as regards the services within the division would be embarrassing and potentially damaging depending on what the duty related to. This would almost certainly include adverse press.</p> <p>Financial - there may be damages relating to a proven case of unmet statutory duty. This could be significant depending on what the duty related to. It may result in a Judicial Review surrounding a specific decision, case or activity. This will need defending and could attract substantial costs.</p>	<p>Regular Legal Monitoring and checks on all new legislation To meet with legal services quarterly and note the discussions and any actions;</p> <p>To meet and discuss with legal colleagues when new legislation is released if it is not clearly understood by the service. This can also take place each project or initiative that is being pursued to ensure we are picking up on all required duties.</p>	2	3	6							Jennifer Peters	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
									<u>Required Control Measure Target Date:</u>						

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
PAR0044	Impacts of development not considered mitigated by residents because they do not benefit from delivery of Local Infrastructure Fund projects	Service proposals not forthcoming Governance and allocation process not established in a timely fashion LIF projects not delivered	Reputational Increase in anti-development feeling and local objections Poor built environment	<p>Establish LIF Programme through Capital Programme 1 - Get in Cap Prog as a Bid. 2 - Establish Programme and get approved by Corporate Director, Lead Member and the Mayor. 3 - Individual projects included in Cap Prog.</p> <p>Undertake 2nd Round of Public Consultation Consult public for LIF Round 2.</p> <p>Complete assessment of projects nominated through LIF Round 2 and allocate funding Complete assessment and prioritisation work to deliver allocation decisions through Cabinet for LIF 2 funding.</p> <p>Implement and LIF Working Group LIF Working group set up - ensure happens quarterly and includes appropriate monitoring of delivery of projects and programme / budget management</p> <p>LIF Round 3 Consultation Undertake Round 3 Consultation in Nov / Dec 2020</p> <p>LIF Round 3 Project Assessment and Allocations Approval Assess LIF 3 Project Nominations and pass report through Cabinet for approval</p> <p>LIF Round 4 Consultation Undertake LIF Round 4 consultation. Assuming Cab Report is approved on 27 October 2021, this will be a light touch 'Call for Projects'.</p>	2	3	6	1	3	3	Matthew Pullen	A Borough That Our Residents Are Proud Of And Love To Live In.

Matthew Pullen
Required Control Measure Target Date:
31/03/2023

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
SDBCD0004	Environmental factors impacting on the delivery of the project e.g. noise, dust, traffic management.	As part of the project a number of impact assessments and reports will be commissioned to determine the environmental impacts of the proposed footbridge, these impacts include: Air quality Biodiversity Environmental Heritage Lighting Noise and vibration Transport Wind These assessments could highlight issues which are a risk to the delivery of this project.	The following are potential consequences of identifying an environmental risk: - Time delays to the project - Increase cost of delivering the project		2	3	6	As below Site management. Construction company engagement with residents. Thorough construction plan (off site manufacturing and using the dock to transport materials). <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/12/2024	2	2	4	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0028	The project's approach of requiring cyclists to dismount from their bikes before crossing the bridge is dependent on the implementation of the Council's wider Cycling Strategy and improvements to other cycling routes into Canary Wharf.	LBTH delay in implementing cycle route improvements.	Bridge user conflict Failure to deliver wider cycling improvements in the Isle of Dogs will make it more difficult to implement the above approach for South Dock Bridge.		2	3	6	As below Ongoing engagement with Transport and Highway colleagues and other stakeholders including TfL and the Canary Wharf Group, to highlight the importance of delivering cycling improvements around the Isle of Dogs. <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/12/2024	1	3	3	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT	
					L	I	Total		L	I	Total			
BWY0001	Change of project manager	Unknown	Unknown		5	1	5			5	1	5	Fiona Walker	OLD *** A Great Place To Live
LLV010014	There is a change in regulations/standards that effect the project.	Bridge inspection on completion.	A) The bridge cannot be certified and the bridge doesn't open or B) The bridge opens but is only partially accessible.		1	5	5	Diligent Survey and Design Extensive site surveys and diligent developed design to ensure a fully accessible bridge can be delivered.		1	4	4	James McCormack	
CLPRPM0066	Policy framework for the administration and control of parking permits not clearly laid down and approved.	Inconsistent practices and unauthorised changes to practices and Council objectives not achieved.	Irregularity, error, omissions, fraud and bad value for money can increase.		2	2	4	Policy framework for the issuance of the permits Currently procuring consultants to re-write parking enforcement plan of which the new policy framework for permits would be included. Completion period of 18 months - mid 2024.		2	1	2	Michael Darby	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
CLPRPM0077	<p>Currently permit team do not have delegated powers through the scheme of delegation</p> <p>Include permit procedures in delegated powers (The Council is currently undergoing a review of delegated scheme on a corporate basis. We have contacted Legal in this respect and delegated powers for permits will be included in that scheme</p>	<p>The New policy has been drafted but will require more work to include Air pollution, traffic strategy & customer data which will be carried out by Andy Simpson & stakeholders. In addition, await outcome of May 2022 Mayoral Election but nonetheless we still require the scheme of delegation to be finalised by Legal.</p>	<p>Constraints to making effective changes for the benefit of the customer and staff.</p>		2	2	4	<p>Review of delegation</p> <p>On going dialogue with legal services where we await final sign off from legal</p> <p>Stephen Willie</p> <p><u>Required Control Measure Target Date:</u> 01/02/2022</p>	1	1	1	Michael Darby	A Borough That Our Residents Are Proud Of And Love To Live In.
GED0008	<p>Potential for objections or complaints from businesses and/or residents to High Street and Town Centre improvement initiatives</p>	<p>Lack of participation among businesses or residents in local partnership groups and/or sector networks.</p> <p>Lack of effective structure in place for engagement with business</p> <p>Lack of effective engagement with businesses and residents to express their ideas and take part in developing projects etc. designed to support them.</p> <p>Imbalance of impact on businesses or residents on implementing recommendations from Night Time Economy Overview and Scrutiny Action Plan</p>	<p>Reputational and/or political risk if the Council is seen as unable to deliver on promised support and potential for abortive costs if support and services are not effective</p> <p>Failure to achieve a Strategic Plan</p> <p>Action - Implement a programme of improvement initiatives to High Street and Town Centres.</p>		2	2	4	<p><u>Required Control Measure Target Date:</u></p>	2	2	4	Laura McLean	Risk Corporate Plans

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
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PAR0036	Loss of CIL income	Inaccurate calculation of building floor space or rates for CIL purposes	Loss of income	Ensure sufficient training and capacity in the Infrastructure planning team Review CIL collection processes Updated to cover new audit requirements for implementation by July 2021	2	2	4	<u>Required Control Measure Target Date:</u>	2	2	4	Matthew Pullen	A Borough That Our Residents Are Proud Of And Love To Live In.
LLV0002	The CRT insists on onerous conditions	CRT Consultation	Initial engagement with the CRT has identified that its air gap requirements are unlikely to be an issue. However, dialogue is required to establish the CRTs requirements on fees. These are expected to be relatively low.		1	3	3	<u>Required Control Measure Target Date:</u>	2	2	4	James McCormack	
PPRMM002	Not collecting outstanding revenue owed by traders	No payment	Not having enough income in the trader account to pay for the management of the markets.	interim revocation and panel officer A temp officer has been appointed to deal with the outstanding deficit from market traders moving towards debt recovery and licence revocation for non payers.	3	1	3	<u>Required Control Measure Target Date:</u>	1	1	1	Michael Darby	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
PPRMM0001	Market services do not have a specific market management ICT system, which means services are run manually. A wider corporate ICT solution that was created has not been implemented leaving market services and the 2.5 million income vulnerable.	Lack of management control of a large Council service	Possible fraud, correction, bribery and failure to manage correctly financial regulations. Human manual mistakes in issuing licences which open us up to court action. The market is starting to fail as manual systems are backed-up and are not being processed.	Failures in the current IT system are factored into the new PSI Mobile solution, now Liberator A proportion are run manually, but applications and licensing are processed electronically. A recent signed off audit report highlights failures in the current system and these are now being factored in to the mapping systems of the new Liberator system.	2	1	2	Design, build, testing and implementation of the FGL Liberator System FGL Liberator for back-office and front-line administration, audit and enforcement. This will dramatically improve the management, allocation and negate the need for the voucher system as all payments will move online in the future. <i>Damian Patchell</i> <u>Required Control Measure Target Date:</u> 31/03/2023	2	2	4	Michael Darby	OLD *** A Transformed Council, Making Best Use Of Resources And With An Outward Looking		
OPIG0004	Health and Safety	Appointment of CDM principle designer to manage, monitor and co-ordinate health and safety and to follow CDM Regulations 2015 throughout the project	Serious injuries or fatalities. Construction sites being high risk working environments. Not complying with the law.				Monitor H&S Principle designer for CDM in place to comply with CDM Regs. Contractor has regular H&S visits carried out. No issues <i>Wendy Harrington</i> <u>Required Control Measure Target Date:</u> 28/02/2023				Wendy Harrington	A Borough That Our Residents Are Proud Of And Love To Live In.			

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Detailed Risk Report (incl Control Measure Target Date)

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
DRCPD0057	(New Town Hall Project): That the contingency budget allowance of £5m is not sufficient.	Discoveries that fit outside of the Design and Build contract.	Additional time and money cost to the project.	<p>Design workshops are being held with BYUK, Client side Design Guardians and Cost consultants. Additional works relating to the retained building are being reviewed - the contingency is now committed to the Roof and Façade repairs. Review of the residual risks on the project impacting cost and programme are being worked through with the contractor and Employers agent.</p> <p>Additional discoveries outside of the Design and Build Contract The team are reviewing all variations and client instructions against the available budget. The contingency needs to be increased from £5m and will be progressed via required governance process - Capital programme Board.</p> <p>The client held contingency has been exceeded. The £5m risk allowance has been committed and additional contingency is being sought via the capital governance process. The capital budget for the Town Hall was increased from £123.35m to £131.75m with the addition of the £8.4m contingency for committed schemes which was determined in January 2021 to cover known COVID and inflation risks. commercial negotiation continues</p>	5	5	25	<p>The £5m contingency was exceeded - £8.4m is earmarked from the capital programme</p> <p>The capital budget for the Town Hall was increased from £123.35m to £131.75m with the addition of the £8.4m contingency for committed schemes which was determined in January 2021 to cover known COVID and inflation risks. Commercial negotiation continues.</p> <p><i>Yasmin Ali</i> <u>Required Control Measure Target Date:</u> <i>31/05/2022</i></p>	5	5	25	Yasmin Ali	A Borough That Our Residents Are Proud Of And Love To Live In.		

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
HPSS0003	Hand over cannot take place until the Council has discharged planning condition- CPM	Contractor has not completed this piece of work before the project commenced.	Reputational damage to the council Risk to GLA funding Concerns related to audit		5	4	20				2	2	4	Peter Elia	OLD *** A Great Place To Live
								<u>Required Control Measure Target Date:</u>							
LLV010004	Land in LBN for a bridge landing cannot be secured.	Negotiations with land owners fail.	Land for bridge landing becomes unavailable and project cannot go ahead.		4	5	20	Progress land acquisition	Productive dialogue with USS has been ongoing with LBN leading (and LBTH pushing for progress) and the principle of a deal is accepted. LBN property team now appointed to lead acquisition for boroughs and dialogue is ongoing. LB Newham will back with potential CPO if necessary, so ultimately this is probably more a timing matter and may mean we can't draw down GLA funds by March 2024.	2	4	8	James McCormack		
								James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023							
LLV010026	Ailsa Wharf developer Country Garden may not go ahead with the Ailsa Wharf scheme.	Financial troubles within the company and/or the current economic outlook.	This would likely result in the loss of the GLAs funding worth £2.4M which is tied to the delivery of 785 units - and likely the boroughs would not be able to plug this funding gap. In this case, the project is stalled or cancelled.		4	5	20						James McCormack		
								<u>Required Control Measure Target Date:</u>							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
LLV020004	Land at TMC cannot be secured	Negotiations with TMC fail.	The land is CPO'd which could increase project costs - either the boroughs plug the finance gap or the project does not go ahead.		4	5	20	Negotiation LLDC already has rights to land required for the bridge and intends to transfer these to one of the boroughs. LBN has commenced negotiation to acquire additional land should this be necessary. Ground risk work will identify potential property implications. When a design team is appointed it will be instructed to design a structure deliverable within available land, with the backstop of agreements negotiated by LBN should this not prove possible. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	2	5	10	James McCormack			
LLV020008	LBN is unable to provide funding, LBTH funding is diverted and the capital funding gap cannot be secured.	Lack of budget in LBN, re-direction of revenue funding towards Lochnagar Bridge to cover shortfalls due to cost increases.	Bridge does not come forward in the next 5 years.		4	5	20	Assessment of Funding Options Assess all options available to re-distribute funding. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	1	5	5	James McCormack			

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
SDBCD0002	If there is insufficient funding for the whole of the project, the bridge might not be delivered and the £7m SIP grant funding from London Councils will likely be lost. The bridge is currently estimated to cost circa £20m with additional resources required for its operation and maintenance, the funding is coming from a number of different sources, some as yet to be identified. The project costs will likely increase due to the potential provision of a pontoon alongside the bridge and other issues such as inflation and construction costs. This risk has therefore increased.	Insufficient project budget.	Failure to secure sufficient funding will result in the project being delayed or cancelled.		5	4	20	Funding Ongoing review of funding opportunities, including opportunities for sponsorship and advertising for the bridge and, early identification of funding gaps. <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/12/2024	3	4	12	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
DRD0062	Insufficient resources to deliver the Capital Delivery Service's Work Programme	Client teams do not have sufficient budget to commission the internal Capital Delivery team to deliver work Recruitment and retention (inability to offer adequate remuneration packages in a highly competitive market) Funding uncertainty Lack of capacity in key support services including legal and procurement	Inability to deliver projects on time	Council-wide Capital Programme Funding Strategy Since September 2020, the Approved Capital Programme agreed by Cabinet has funding sources identified to ensure that every project can be afforded. The approach to funding is set out in each subsequent Cabinet report where budget approvals are sought.	4	4	16	Reviewing staff resources within the team to reduce reliance on agency workers Alternative recruitment options were considered, resulting in two agency workers moving to permanent positions, and one to a fixed term contract. The ability to appoint agency staff provides flexibility within team to adjust the level of resources as required. Market supplements have not been explored. It remains difficult to attract agency staff for day rates of less than £400 a day. An updated resource plan is being prepared	3	4	12	Jane Abraham	A Borough That Our Residents Are Proud Of And Love To Live In.

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								<p>Jane Abraham <u>Required Control Measure Target Date:</u> 31/03/2023</p> <p>Seek alternative ways to fund priority projects</p> <p>The use of external grant, s106 and CIL has been maximised and where capital receipts are required, to avoid prudential borrowing, a list of property for disposal has been identified.</p> <p>Jane Abraham <u>Required Control Measure Target Date:</u> 31/03/2023</p>							
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Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
DTLC0003	<p>Local Land Charges section provide information on property being purchased in the borough through 'search requests'. Searches answer a series of legally drafted questions as part of the wider conveyance process. The Local Land Charges search is a small transaction in terms of cost to a prospective purchaser, but is extremely important in informing whether there are any limitations, charges etc. that can impact future living or development potential. The search can allow the purchaser to take on a property having assessed any risk identified. This can include for example details such as planning site constraints which may impact future development/use or plans. Data informing the search is pulled from sources within different parts of the Council. Some services are not aware that information must be provided to LLC department in order that it can be revealed or data is often not updated regularly. Changes to the public realm structure and</p>	System failure- The system is already failing on a regular basis	Compensation claims possible if information, especially that relating to financial charges is not revealed		4	4	16	<p>Review all Sources of Data</p> <p>Review of all source data held spatially and in all other formats. This will involve different departments across Place with project and potential collaboration, where possible to ensure information provided is accurate and up-to-date always. Process reviews likely required.</p> <p>Umbreen Qureshi</p> <p><u>Required Control Measure Target</u></p> <p><u>Date:</u></p> <p>03/04/2023</p> <p>Acquisition of New database</p> <p>03/10/2022 - Project has gone into live .Consultancy is employed to assist with drafting specification to procurement to data data migration and finally implementation. Current project timetable estimated at approximately 2 years.</p> <p>11/10/21 Work ah commenced on project to acquire new replacement system - full funding yet to be agreed</p> <p>Acolaid database is used for the whole of the P&BC service and holds the Council-wide Local Land and Property Gazetteer. The database is over 30 years old with very little interoperability and API functionality. The dependency on this one out-of-date system, now with limited supplier support and no future development opportunity, must be replaced at the earliest opportunity to enable a timely service providing the correct data.</p>	4	2	8	Umbreen Qureshi	A Borough That Our Residents Are Proud Of And Love To Live In.

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					L	I	Total	L	I	Total	L	I	Total		
	<p>processes has resulted in knowledge loss in this area of work, and highlights need for automation.</p> <p>The current database is hampered by its limitations and large data volume. As data continues to accumulate and grow, this results in the system unable to cope. Intermittent results can be given with information that is either missing, partial or false. Additionally GIS functionality is extremely slow impacting on turnaround times and risking property transactions to fall through. This information is pulled through on public browsers where members of the public will view and take information as provided. Again issues with the source data remain and continue to leave exposed</p>														
LLV010009	<p>Planning Application is not submitted in time to meet GLA and LUF funding draw-down deadlines.</p>	<p>Planning Application not submitted by 31 May 2023.</p>	<p>Programme is delayed and the councils lose £4.4M worth of external funding.</p>		4	4	16	Direct Control	<p>The council has stepped in to take control of the design and delivery of the PA which gives the council more control over the pace of delivery.</p>	1	4	4	James McCormack		
								<p>James McCormack</p> <p><u>Required Control Measure Target Date:</u></p> <p>31/05/2023</p>							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
LLV010011	Planning permission is refused for the bridge.	Planning permission is refused for the bridge.	Development of the bridge is not permitted in the current design. A new design is commissioned and new planning application is submitted, causing delay to the programme and cost increases.		4	4	16	Planning briefing Regular briefings with planning and place-shaping to guide the design through the planning process. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	1	3	3	James McCormack			
LLV020001	Construction costs are higher than original expectations.	Requiring a higher bridge due to airgap requirements / requiring more land than is safeguarded / ground risks etc.	Construction costs increase, either borough plugs the finance gap or the project does not go ahead.		4	4	16	Ground Risk Assessment Current activity focused on assessing ground related costs ahead of design. Land safeguarded is likely to be sufficient for a fixed bridge with ramps, meeting PLA requirements. James McCormack <u>Required Control Measure Target Date:</u>	3	3	9	James McCormack			

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PAR0060	<p>Building control team not having the right resources to deal with the requirements of the Building Safety Act</p> <p>1. Building safety and in particular fire risk is a major national concern. The risk of fire in tall, higher risk, buildings in the borough is one which can endanger resident's lives (and that of fire fighters) and remains until all our buildings, especially those with any of the dangerous cladding on them have been fire safety reviewed and assessed (and reviewed regularly thereafter). This work will involve our building control staff working along with staff reporting to the new Building Safety Regulator (BSR). Reputationally it will be important for the council to take an assertive lead in reviewing the boroughs high risk building stock and providing confidence to its many residents.</p> <p>2. Tower Hamlets likely has more higher risk tall buildings than any other local authority so we will be a high profile, influential, performer and need to respond to the</p>	<p>Unable to develop a fit for purpose structure to deal with the requirements of the building safety act, unable to fulfill statutory functions.</p> <p>Unable to recruit and retain the competent people needed to deal with the tall buildings in the borough.</p>	<p>Workload becomes unmanageable for team -risk of losing staff and making mistakes in checks - financial and reputational risk</p> <p>Building safety cases do not get completed in a timely manner, meaning people could be living in unsafe buildings for longer than necessary</p> <p>Placed into special measures by Government - financial and reputational risk</p> <p>Work to ensure that buildings are safe is no longer carried out by the borough - borough has no role in ensuring safety and work could go to private Building Control Approvers - financial and reputational risk</p>		4	4	16	<p>Ensure a fit for purpose BC team with the right number of skilled professionals to deal with work load</p> <p>Secure growth funding for expanded and amended BC team to ensure the skills needed are secured at the level needed. MABSAP attended - 14 September 2022 JP presented a growth bid to the mayor for what, based on the information available about the impact of the BSA on the role and responsibilities of our building control team. Following a discussion and concern about the level of growth, an updated bid was developed, further looking at options.</p> <p>This exercise led to the identification of a number of options and risks associated, which were presented to the Mayor. An option "1b" was supported by the Mayor. However, following a broader discussions of budgets, the agreed amount was reduced considerably, below the amount identified in the options work as being the absolute minimum.</p> <p>This means that while we can recruit to year one, year two increases, which have been identified as necessary to meet the requirements of the act, are not currently funded. This means a review of year 2 during year will be required, which can also take account of any new burdens funding and the working of the cost recovery process, to</p>	2	4	8	Jennifer Peters	Tower Hamlets Homes 2020-2026 Business Plan - Great Homes

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	<p>challenge. If we do not, this will carry a risk for all our residents and building users, and it would also not reflect well reputationally on the local authority.</p> <p>3. Without a review and rethink there is a risk that overtime the building control service will, as its experienced surveyors retire and other staff continue to be tempted away to the private sector or even to other public sector jobs that can offer better salaries, we slowly surrender more competitive business to the private sector and not be able to take on work from the BSR. This will mean the reduced capacity service will not be able to offer residents and businesses the professional high-quality service backed by a confidence in the council. For example, current major clients range from Canary Wharf PLC to Berkely Homes and Ballymore to residents and business across the borough and bring in around a £1 million in fees. In addition, the BSA puts an expectation on local authorities to ensure they have a building control</p>							<p>assess if additional general fund is needed to deliver the required structure.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 31/03/2023 Establish new BC structure</p> <p>Develop the new BC structure, including new JDs where relevant and recruit to those roles.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 03/04/2023 Training and support</p> <p>Identify and develop an internal training package that can help support BC officers in their new roles.</p> <p>John McGeary <u>Required Control Measure Target Date:</u> 31/03/2023</p>							

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	<p>service to reflect their profile of buildings, as such we would be expected to have one of the biggest services in the country. If we don't have an adequate service, then the work from the BSR will go elsewhere (either another local authority or to the private sector).</p> <p>4. We must have the required number of Registered Building Inspectors (RBI) to be able to take on the high-risk building work from the BSR (the Health & Safety Executive [HSE]. If we do not the BSR can put the council into special measures, which is likely to have both financial and reputational risks.</p> <p>5. Skills required are in short supply and competent professionals are commanding high salaries that don't necessarily fit with the usual salary scales and JDs for Local authorities</p>											

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PLC0024	The Council may fail to adequately discharge its health & safety and/or other statutory compliance responsibilities for its property estate that is outside of the Corporate Landlord Model (CLM) and for property that is inside CLM but excluded from its scope.	Compliance and/or maintenance requirements cannot be passed to occupiers via a lease. The Council has inadequate resources to undertake compliance checks and remedial action.	Potential for death or serious injury to tenants, building occupiers. Failure to meet statutory responsibilities, breach of regulatory framework. Reputational damage. Financial loss from fines and other claims.	<p>Monitoring and Escalation As soon as the risk was identified weekly meetings were set up between asset management and facilities management to address the concerns. The first step has been to identify the properties that are associated with the risk. In parallel, steps are being taken to secure appropriate resource in order to conduct checks of the leases and other arrangements that dictate where responsibility for compliance lies. The matter has also been raised with the Corporate Director, Place.</p> <p>A full programme of regular inspections by the AM Estates Team are being organised, which will assist it picking up these issues</p> <p>Legal Advice and Resource Requirements We need to take legal advice on the extent to which we can pass on responsibility to the occupiers of our buildings even though they may not be aware and may not have adequate knowledge, experience and capacity.</p> <p>Increase resources for the in-house Facilities Management Team to undertake compliance activity and coordinate remedial action and/or maintenance.</p>	4	4	16				2	2	4	Stephen Shapiro	A Borough That Our Residents Are Proud Of And Love To Live In.

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SDBCD0003	Insufficient resources to acquire land, air and water rights or provide compensation to landowners (if required) causing delay in moving the project from the feasibility and design stages to the delivery phase.	Once the land assessment work has been carried out, the Council will seek advice regarding the level of action needed to assemble the land necessary to build the bridge and the infrastructure to support it. At this point a firmer assessment will be made regarding the cost. Risk has increased due to the requirements for the CRT feasibility study for a pontoon and potential delivery of a pontoon alongside the bridge which will increase costs.	Delay in moving the project from the feasibility and design stages to the delivery and construction phases.		4	4	16	As below Ongoing review of budget. Contingency plan. Confirmation of the additional £5m funding in 2021 which covers landowner compensation, has made the risk more manageable overall. <i>Jaskaren Mahil-Sandhu</i> <i>Required Control Measure Target Date:</i> <i>31/07/2023</i>	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0029	If the contracts for the appointment of consultants and contractors are not awarded in a timely manner then this could have an impact on the overall delivery of the project, as it will hinder the progression of the works and appointment of sub-consultants.	Delays with procurement approvals and legal processes / signing-off paperwork / issuing contracts.	significant delays with project delivery and bridge opening Project on hold.		4	4	16	As below Building in extra time for the procurement and appointment of consultants and contractors. Engaging with the Procurement team and Legal Services to communicate the tight timeframes for the project Looking at other options such as appointing existing corporate suppliers where possible. <i>Jaskaren Mahil-Sandhu</i> <i>Required Control Measure Target Date:</i> <i>30/09/2023</i>	4	3	12	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

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LLV010008	Increase in construction costs.	Rising markets, main contractor & sub-contractor capacities, labour availability (Brexit and inflation).	Project costs increase and finance needs to be raised from internal or external sources, or else one or more bridges do not come forward.		5	3	15	Robust Procurement Process & Contingency Measures Early stage project budgets have factored in abnormalities and contingencies. Procurement process - ensure robust procurement process to ensure contractors invited to bid have effective processes in place to ensure they can weather labour shortages. This risk has increased in recent months due to rising inflation, energy and material costs. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	3	3	9	James McCormack	
LLV030021	Intrusive Surveys fail to complete prior to design work on the East Bank.	Obtaining license is delayed, lack of resource.	Programme is delayed, potentially jeopardising external funding.		5	3	15	<u>Required Control Measure Target Date:</u>	2	3	6	James McCormack	
LLV030004	Land at the EMR site does not come forward	Negotiations with EMR fail.	No land available for a bridge landing and the project cannot proceed.		3	5	15	Engagement with EMR LBN (partial owner) is currently in dialogue with EMR and its development partner. Securing bridge land is a key priority for LBN through both commercial negotiations and as a planning requirement of any scheme at EMR. LBN officers are also considering whether land required for the bridge and river path can be brought forward	2	5	10	James McCormack	

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								early and ahead of wider development at the site. The key risk factor is the timing of when EMR is released rather than whether it will be released - both landowners support development of the site. James McCormack <u>Required Control Measure Target Date:</u> 30/09/2021					
OPIG0003	Insufficient Budget	Contractors required 15% uplift before contract award	Budget overspend		5	3	15	Exception Report Drainage design confirmed. Exception report submitted December for AMWG in January. Wendy Harrington <u>Required Control Measure Target Date:</u> 01/02/2023	5	3	15	Wendy Harrington	

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					L	I	Total	L	I	Total	L	I	Total		
PLC0013	Following the Grenfell Fire tragedy residents of tower blocks in the borough are not safe or do not feel safe from fire following reassurance, advice, interim measures and completed, in progress or scheduled remedial actions to improve fire safety.	Accountability for fire safety is not correctly designated, communicated and understood Fire Risk Assessments: * are incomplete, inadequate or not carried out in accordance with the latest advice from DCLG and fire and rescue services * are not published in accordance with the Mayor's commitment * do not include the time limits on recommendations Fire Risk Assessment Action Plans: are not produced and/or delivered within appropriate timescales Limited current contractor supplier chain for scale of identified fire safety works Constrained and limited ability for Tower Hamlets Homes to complete all the Fire Risk Assessment work identified in the new round of comprehensive Fire Risk	Loss of life Loss of housing stock Lobbying and/or protesting The council and local housing management organisations lose the trust of residents Individual prosecution under a number of Acts of Parliament and common law offences with potential penalties including unlimited fines and a maximum of life imprisonment Corporate prosecution with potential penalties of unlimited fines, remedial orders and publicity orders Adverse national media coverage Uninsured financial loss Council perceived as not having fulfilled statutory duty to keep local housing conditions under review	Work with MHCLG to ensure owners of private residential tower blocks are taking measures to ensure their residents safety Officers within the Council, representing Environmental Health, Planning and Building Control and Housing and Regeneration meet weekly at Fire Safety meeting, to discuss progress with the remediation of ACM from tall buildings, this also includes progress on responses to EWS survey. Information from the EWS survey are inputted onto the the Department for Levelling Up's (DfLU) DELTA system and details of information received are sent to a Technical Officer in the Building Control Team for analyses. Council Officers are in weekly contact with the GLA on the progress of each development's individual grant application to remediate ACM from particular buildings and this is reported back to the Fire Safety Meeting. This has now progressed to EWS work and applications to the Department for Levelling Up's (DfLU) BSF fund to remediate materials of concern other than ACM.	3	5	15				1	5	5	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.

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					L	I	Total	L	I	Total		
		<p>Assessments Unable to justify block prioritisation policy for programmes of Fire Risk Assessment works Leaseholders do not fit fire rated flat entry doors (ALL flat entrance doors in a block will need to be compliant to achieve good fire compartmentalisation and a 'Tolerable' fire safety standard) Fire safety measures are uncoordinated</p>		<p>Likewise Officers are in regular dialogue with DfLU on buildings which are of concern and also to discuss various freeholders and managing agents who are not communicating well or slow in responding for information requests.</p> <p>Monthly meetings are held with DfLU and Council officers to monitor progress on each building of concern.</p> <p>Tower Hamlets Housing Forum , Council Officers and the London Fire Brigade have a close working partnership on resident consultation.</p> <p>LBTH Client Management Fire risk assessments for all buildings are up to date and FRA as fire risk assessor UKAS credited. There are No building categorised as substantial or intolerable level of risk. All high-rise buildings surveyed in early 2020 and none has been identified with High Pressure Laminate (HPL) or Aluminium Composite Material ACM cladding. Cladding on 2 tower blocks (malting & Brewster), where there were concerns, has been removed already. Joint working with THH in preparation of the Building Safety Bill including, a pilot of a building safety case, ICT preparation, and a paper which will spell out the roles and responsibilities including those of the Accountable Person and the Building safety Manager is</p>								

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				<p>earmarked for November Cabinet.</p> <p>A leading fire engineering consultancy has reviewed all buildings over 6 storey and identified those that may present a greater level of risk. Subject to approval of LBTH, we will shortly carryout external wall surveys on these buildings (by April 2022).</p> <p>Procurement is underway to appoint more permanently a fire engineering consultant to complete fire strategies, means of escape reports and external wall surveys for all other buildings that require one.</p> <p>THH regularly communicate with residents through newsletters and resident association presentation in conjunction with the London Fire Brigade. We also meet with the LFB on a regular basis.</p> <p>THH/LBTH capital investment programme has been reviewed and refocussed the works programme to accelerate front door replacements and make provision for major works arising from EWS surveys and Type 4 fire risk assessments.</p> <p>THH report progress on major works projects as well as more broadly on compliance at regular liaison meetings with the LBTH client team.</p> <p>Fire Safety is also regularly discussed at QSM and the Mayor's Housing meeting</p> <p>A monthly compliance dashboard is in place that covers a wide range of compliance related KPIs including those relevant to fire.</p>											

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PLC0021	No buildings insurance for Chater House	Failure to manage the building Failure to inspect and maintain Shop tenants unidentified	Financial Loss over £12M Reputational loss	<p>Tenant Audit Programme to be implemented Programme to include regular review of tenants fire and safety management - Fire risks, electrical safety, property owners liability guidance, housekeeping, maintenance</p> <p>Protection of unoccupied units Inspection to take place, utilities disconnected, combustible materials removed</p> <p>Cooking extractions cleaned Tenants to be made aware of the risk and their obligations to have cooking extractions cleaned to minimise fire risk.</p> <p>Gas Cylinders removed Tenants to be advised. Use of gas cylinders to cease as this is a fire hazard.</p> <p>Process to be implemented with Legal Action to be taken against shop tenants who fail to adhere to their lease, fail to insure and carry out maintenance relating to health and safety</p>	3	5	15	<p>Fire Risk Assessments undertaken and reported to insurers</p> <p>Cheryl Williams following up with Insurers, who have not responded to receipt of FRAs</p> <p>Hilary Unsworth spoke to the Aon the brokers and Mathew Coombes at Protector directly early November 2022 and agreed actions and following her visit to the site prior to this. Hopefully, this query has now been dealt with.</p> <p>Stephen Shapiro <u>Required Control Measure Target Date:</u> 28/02/2023 Buildings Valuation Valuation expected by Friday 19th February Stephen Shapiro <u>Required Control Measure Target Date:</u> 19/02/2021</p>	1	5	5	Stephen Shapiro	Risk Corporate Plans		

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SDBCD0024	<p>If South Dock Bridge is not delivered or not delivered in a timely manner, it may significantly hinder or halt the delivery of housing and commercial development on the Isle of Dogs and will limit pedestrian and cycle access in and around South Quay. This risk has intensified due to the objections/hold on the planning application and delays caused by Covid-19 and other factors.</p> <p>This risk has increased due to the objections on the planning application and delays caused by Covid-19 and other factors.</p>	Election results / funding sources / not getting planning consent / not agreeing land use issues / other project delays.	Scheme is suspended or significantly delayed.		3	5	15	<p>As below</p> <p>Maintain stakeholder, public and political support for the project, including thorough early engagement and positive comms</p> <p>Regularly review and manage project programme</p> <p>Seek external funding opportunities and advertising and sponsorship to secure project delivery.</p> <p><i>Jaskaren Mahil-Sandhu</i></p> <p><u>Required Control Measure Target Date:</u> 31/12/2024</p>	3	4	12	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0035	<p>There is a risk that findings from surveys and ground investigation at Stage 4 Detailed Design could potentially change the scope of the bridge design or the landscaping works.</p> <p>There is also risk that planning conditions imposed on the bridge could generate significant changes. These issues would add significant costs and time delay to the project.</p>	Outcomes of the Satge 4 Design. Planning outcomes.	Cost and time delay.		3	5	15	<p>As below</p> <p>Regular meetings with design team. The appointment of Arcadis for Stage 4 onwards will help manage this risk as they know the project and can deal with any changes efficiently.</p> <p>Regularly monitoring of the project programme and budget.</p> <p>Consider alterative/back-up options for works such as the landscaping improvements.</p> <p><i>Jaskaren Mahil-Sandhu</i></p> <p><u>Required Control Measure Target Date:</u> 31/03/2023</p>	3	4	12	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

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CLC010-0001	There is a risk that if effective monitoring is not in place, it could lead to an increase in street waste, complaints from residents and a public health concern.	1.Limited interest from Volunteers and Champions leading to not enough carrying out the function. 2.Where there is sufficient interest, not having an effective and robust training programme which empowers effective monitoring. 3. Where volunteers have initially expressed interest, this subsides, leading to limited numbers available to carry out the function.	Failure to do this may potentially result in monitoring being delayed or not being carried out. This may lead to increased street waste that gets accumulated over time resulting in reputational damage.	Sought assistance from the Localisation Manager to identify the cohort	3	4	12	draft training material Training material is being drafted. This needs to be signed off by the service Richard Williams <u>Required Control Measure Target Date:</u> 29/06/2018	2	4	8	Richard Williams	A Borough That Our Residents Are Proud Of And Love To Live In.		
CLPRCG0050	The Council is unable to continue delivery front line environmental operation services effectively to all residents and commercial customers due to Union Strike Action	Poor communication with the Union; ignoring concerns. Inability to resolve disputes with the Union through dialogue and negotiations.	Inability to deploy full workforce and subsequent inability to deliver front line environmental operation services effectively to all residents and businesses in the Borough	Engagement Continued dialogue, engagement and regular meetings with the Union and staff to discuss and resolve any potential issues that may arise.	4	3	12	<u>Required Control Measure Target Date:</u>	2	3	6	Oli Kapopo	A Borough That Our Residents Are Proud Of And Love To Live In.		
CLPRCG0051	With the current shortage of HGV drivers across the country, there is a risk that our staff can be lured to other organisations who may be offering better salaries and conditions. Additionally, there is a risk of accessing temporary HGV drivers when FTEs go off sick.	Skills shortage across the country	The service will not perform to its optimum level as there will be no drivers to operate the vehicles.		4	3	12	Tolerate This risk will have to be tolerated and monitored. The council offers good pay and conditions of service, so this is one that will need to be observed to see how things progress. Although, there is a risk of not getting staff from agency due to the HGV driver shortage.	3	3	9	Oli Kapopo	OLD *** A Great Place To Live		

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								Oli Kapopo <u>Required Control Measure Target Date:</u> 31/03/2023					
CLPRCG00 52	Waste crews carry a lot of keys/Fobs to access properties and bin stores. The keys and fobs usually get lost and creates a situation where collections cannot be made. In the event that a lot of the keys go missing, the crews will be unable to access properties creating a series of perceived missed collections which can severely affect business continuity	Keys go missing	Properties cannot be accessed and bins will inevitably not be collected		3	4	12	Ask properties owners to provide access as stipulated in the EPA 1990 A conversation with managing agents/Landlords need to be put on the agenda with a view to pass the responsibility to them to provide access to our vehicles Oli Kapopo <u>Required Control Measure Target Date:</u> 29/12/2022	3	3	9	Oli Kapopo	OLD *** A Great Place To Live
DRCBDD0 062	Town Hall - delay with completion beyond 2022 - impacting fit out and moves programme by Dec 2022	Programme delays in completing main build works.	Delay in achieving Practical Completion, delaying fit out and moves programme from Mulberry Place by the end of Dec 2022.	Programme review with BYUK and EA tracking milestones on Current programme is for Dec 2022 completion of main works - fortnightly review with project team and EA. Impact to Moves is tracked and mitigative measures taken Building completion projected end of Jan 2023 - staff moves from Jan 23 to Feb 23. Co-ordination with contractor on site 1st staff moves from 16.01.23	3	4	12	<u>Required Control Measure Target Date:</u>				Yasmin Ali	A Borough That Our Residents Are Proud Of And Love To Live In.

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DRD0063	There is a risk that uncoordinated processes within Capital Programme delivery and Client Teams will lead to delays in achieving outputs as set by the Strategic Plan and Mayors priorities covering housing and mixed site developments.	<p>Incomplete business plans and briefs RIBA stage 1</p> <p>Duplication of resourcing through RIBA stages 2 - 4.</p> <p>Direct approaches to procurement with no Business Case, Client Brief or PID in place / delays in design sign off.</p> <p>Communications plans not in place</p> <p>The use of non-standard project and programme documentation</p>	<p>Delays in the delivery of the Council's Housing and mixed site Non Housing development programme.</p> <p>Negative effect on resource allocation leading to high burn programming</p> <p>Failure to deliver Capital Projects on time</p> <p>Reputational risk to the council</p>	<p>MAP Medium Priority Recommendation Collect process data and examine for future use</p> <p>MAP Medium Priority Recommendation Design toolbox Write Handbook with Hyperlinks Scope and launch Intranet Channel Build revised file sharing Complete and sign off governance Sign off Publish</p> <p>MAP Medium Priority Recommendation Build project plan for published material and action following client group consultation and revisions to current monitoring and reporting protocols.</p>	4	3	12	2	2	4	John Mitchell	A Borough That Our Residents Are Proud Of And Love To Live In.

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DRD0064	There is a risk that 229 Bethnal Green Road (The Professional Development Centre) will not achieve its full development potential.	Difficulties / delays arising from current service arrangements on-site Difficulties / delays arising from the current use of the Gym and Disabled Adaptations demo unit Incomplete Architects Brief Misinterpreted Client Brief	Inefficient use of Council Assets On-going costs not meeting budget setting targets Repirational risk to the Council	Commission a concept site feasibility To appoint an Architect to provide a range of best use site options with the best possible capital and revenue yeald Issue coprehensive brief To ensure that that the architects brief clearly sets out objectect and expectations Monitor Architects output To ensure the a stepped approvals process whilst the brief is in progress Issue report and recomendations To issue a detailed report and business case to the Asset maximisation board followed by capital bid ad PID though governance reporting as required. Monitor Feasibility outputs Outputs to be monitored through a number of agreed check points	4	3	12	<u>Required Control Measure Target Date:</u>			2	2	4	John Mitchell	A Borough That Our Residents Are Proud Of And Love To Live In.
GED0010	Increase in the number of vacant shops in local high streets and town centres	Business can no longer afford to operate in the borough due to the economic impact of the pandemic, rising inflation and knock-on impacts like increased energy bills and a reduction in consumer spending.	Town centre businesses close their business unit as they can no longer afford to trade in their premises. Town centre seems 'closed' due to the increased number of shops and business units with security shutters pulled down. The town centre offer is weakened with less variety of shops and business activity		4	3	12	<u>Required Control Measure Target Date:</u>			2	2	4	Chris Burr	A Borough That Our Residents Are Proud Of And Love To Live In.

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
LLV0004	Ongoing adoption or maintenance arrangements cannot be agreed or future liabilities prove to be onerous.	Cross-borough or developer negotiation cannot be agreed.	Dispute.		3	4	12	MOU / BDA Currently these cost are estimated as a percentage of construction costs. Initial cost analysis is being undertaken with ongoing maintenance and management liabilities in mind. Estimates as to these costs should become clear relatively early in the project's development. Highways teams from both boroughs are involved in the project, and discussions as to which body will adopt the structure and how this will be funded are scheduled to commence in 2021. <i>James McCormack</i> <u>Required Control Measure Target Date:</u> 31/05/2024	2	4	8	James McCormack	
LLV0005	Total project costs (including, property, fees, license, consents and construction) exceed current budget provisions	Budget provisions are exceeded.	If it proves not possible to design a structure within these financial parameters, the councils will need to consider raising additional finance, either internally, externally or from adjacent developments either through planning mechanisms or commercial negotiation.		4	3	12	Design Development, De-risking, cost control The sufficiency of the original cost estimate will become clearer in 2021/22 following design work. This work will be driven with the objective of designing a structure deliverable within the initial funding envelope from the earliest stage. However, if it proves not possible to design a structure within these financial parameters, the councils will need to consider raising additional finance, either internally, externally or from adjacent developments either through planning mechanisms or commercial negotiation. Property costs are likely to be minimal for the Poplar Reach project, given land on both sides of the river is	2	4	8	James McCormack	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
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								within local authority control. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023					
LLV0007	Political support for the bridge falls away and the project becomes less of a priority.	National/regional strategic or political changes/upheaval impacting on the viability of the project. 2022 Mayoral Election.	Bridge(s) become less of a priority, funding is re-directed and bridge(s) do not come forward.		3	4	12	Mayoral Briefings Obtain buy-in at Mayoral level about the benefits of the project. Ensure outcomes of the benefit analysis work is shared. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	1	3	3	James McCormack	
LLV010002	PLA's request for higher airgap is rejected.	The council rejects the higher airgap request.	This results in A) significant/onerous financial compensation demands for air rights for the bridge or B) objection to or otherwise frustration of the planning process. If this event does materialise, either the boroughs plug the finance gap, or the project does not progress and GLA funds are not drawn down.		3	4	12	Legal Counsel Negotiation with the PLA. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2022	2	4	8	James McCormack	
LLV010022	Islay Wharf sale falls through.	Mayor pausing LBTH land sale of strip of land owned by LBTH, and an NMA to amend the scheme not supported by Planning.	Opportunity for stepped access at IW site could be lost.		4	3	12	Mayoral Lobbying Briefing the Mayor on the link of the site sale to the timescales for the bridge design. Design a bridge option that lands only in the Ailsa Wharf site. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	2	3	6	James McCormack	

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LLV010027	Appetite to proceed with a moveable bridge option is reduced.	The results from the time lapse data capture has shown hardly any vessel activity on the river.	Feasible / available design options for the west landing that minimise impact on the public realm and could be supported by planning are reduced.		3	4	12	<u>Required Control Measure Target Date:</u>				James McCormack	
LLV010028	Inconsistent and/or confusing feedback for the design team, resulting in abortive work.	The multi-stakeholder and cross-borough context of the bridges.	Delays to the programme / loss of time-limited external funding.		4	3	12	<u>Required Control Measure Target Date:</u>				James McCormack	
LLV020006	St William does not make land available for construction and public access in order to construct and open the structure in line with current timeframes	Discussions with St. William end in dispute.	The project cannot be delivered within the current timeframes.		3	4	12	S106 and Developer liaison This matter is addressed in the S106 agreement. Officers are in dialogue with St William as to the expected programme of the two schemes and St William has indicated a willingness to provide land and support for the construction of the project and to create and maintain public access routes to in post PC of the bridge, and while the LR scheme remains under construction. Further, it is in St William's interest for the bridge to be delivered and as early as possible, as long as this can be achieved without impacting its own construction programme.	1	4	4	James McCormack	

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								James McCormack <u>Required Control Measure Target Date:</u> 31/05/2024					
LLV020009	Planning permission is refused for the bridge.	Development of the bridge is not permitted in the current design	The design goes to appeal or a new design is commissioned and new planning application is submitted - causing delay to the programme and cost increases.		3	4	12	Planning Engagement Regular Engagement with Planning to ensure planning are overseeing the design. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	1	4	4	James McCormack	
LLV030001	Construction costs are higher than original expectations.	Cost increases at tender / construction stages.	Should the expected cost rise a number of actions are available to the council, from deciding not to pursue the scheme through to seeking to raise additional funding notably from planning events and EMR and / or Leven Road, commercially negotiated contributions from developers, funding from LBN or alternative public sector external funding.		3	4	12	Cost Control and Cost Certainty Current options work is looking to identify the best value design option to progress to more detailed design, with civils, M&E and structural QS advice brought in at an early stage. The council should have a clearer picture as to the cost of the project later in 2021 ahead of committing to further activity an cost. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2025	3	3	9	James McCormack	
LLV030008	Ground conditions result in excessive or abnormal costs.	Desktop and intrusive survey outcomes.	Either the boroughs plug the finance gap or the project does not progress.		3	4	12	Site surveys, early de-risking Desk based surveys to be undertaken at early stages, relying also on intrusive survey information from Leven Road. Remediation, River Wall works, site levelling and service media connections to be delivered at Leven Road by St William under wider planning obligations. Keep options for EMR under active	2	3	6	James McCormack	

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					L	I	Total	L	I	Total	L	I	Total		
									review with LBN including passing ground risk matters to the developer of the wider site. James McCormack <u>Required Control Measure Target Date:</u> 30/06/2022						
PAR0002	Unable to recruit and retain suitably qualified and experienced Planning and Building Control staff	Staff leave, better salary opportunities available elsewhere in particular the private sector Too few candidates for more senior vacancies	Failure to achieve one or more strategic plan objectives Reductions in performance Poor quality decision making could result in building collapse (due to high winds), fire safety issues and dangerous structures. Reputation of service services Increased pressure on remaining staff Sickness levels increase Cost of recruitment	Complete service restructures - new posts, duties and sections confirmed The final phase, the restructure of the Building Control Service has yet to finally launch although its completed in draft and is now due to targeted to launch in February 2017. Pressure on existing staff due to staff shortages has meant the manager has not been able to complete core restructure preparation. The restructure will not now complete until 17-18. Review existing recruitment and retention package for Building Control Surveyors Refresh service wide training plan for Planning & Building Control including Leadership & Management Framework This has in part been superseded by more assertive corporate training proposals however there are still aspects to review especially as far as utilising cost effective approaches to training, L&D. Use PDRs and 1-2-1's to invest in staff development and pick up on staff concerns To hold an open day to stimulate interest and raise awareness	4	3	12	Investigate recruitment and retention packages including market supplement for Development Management Recruitment problems in Development Management still exist however a recent sustained recruitment drive is looking much more positive. Work has been done on profiling the borough and the opportunities and Tower Rewards is helping some of the grades/packages to become competitive. Further work is needed on packages overall including the possible use of market supplements. Paul Buckenham <u>Required Control Measure Target Date:</u> 03/04/2023	3	3	9	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.		

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PAR0009	Building Control Trading Account deficit	More business goes to private sector providers Unanticipated rise in specialist contractor costs Building Control trading income reduces significantly	Financial - posts deleted, loss of skilled professional resources and space in structure for expansion if economic conditions/responsibilities changed Ultimately have to review service position and operational model	Review charges schedule charges amended as is at market rate when assessed via benchmark system Plan for reduced finances regular meetings with Beatrice Mensah of TST will assist in finding the discrepancy between agraeso and acolaid	3	4	12	Quarterly financial assessments within one month of end of each quarter date see review John McGeary <u>Required Control Measure Target Date:</u> 26/03/2021 Produce and initiate a Building Control Marketing Plan Marketing plan framework is being developed John McGeary <u>Required Control Measure Target Date:</u> 04/06/2021	3	4	12	John McGeary	A Borough That Our Residents Are Proud Of And Love To Live In.		
PAR0042	Essential ICT databases are not available or functioning correctly. Databases include Acolaid, Laserfiche, GIS,	System error presents Officer leaves post Officer on leave	Unable to quickly resolve technical issues with the geographical information system due to lack of specialist support/expertise in GIS relating to P&BC set up. This system is vital to the work of the Planning and Building Control Division Unable to meet performance targets, potential for increase in customer complaints Government Penalty as yet undefined.- Local Land Charges		4	3	12	<u>Required Control Measure Target Date:</u>	3	3	9	Umbreen Qureshi	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

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PAR0047	<p>Planning decisions are overturned in the absence of up-to-date evidence on conservation.</p> <p>There are 58 conservation areas in Tower Hamlets. Each one has an adopted character appraisal and management guidelines document. These describe the architectural and historic character and significance of each area, and provide guidance to residents, businesses and other stakeholders about how the character can be preserved and enhanced. The current strategy for updating the 58 Conservation Character Appraisal and Management Plans' will take 15 years to complete in-house with existing resource i.e. by 2033. In the interim the existing appraisals will continue to be relied upon and we are already experiencing a number of challenges through Planning Inquiries and Hearings.</p>	<p>No change to current strategy i.e. no additional resources found to speed up roll out of updates. The Planning Inspectorate decide that our decisions are not justified by the evidence in the Conservation Area Character Appraisals and Management Plans as they currently stand.</p>	<p>Financial: Cost of officer resource to defend planning decisions challenged at Public Inquires and Hearings (approx. £1.65million cost to defend 11 Inquiries in 2018/19). Costs awarded to the appellant are not factored in this and potential lost planning contributions e.g. S106.</p> <p>Physical: The physical impact on the borough is also negative. Development take place against Council recommended planning decisions. This erode the character and quality of the unique places that make up Tower Hamlets. In particular, the Council has seen increasing challenges related to decision on tall buildings in this regard.</p> <p>Performance: Failure to deliver Manifesto Pledges: * Oppose buildings that are too tall or dense other than in areas where they are already allowed (essentially Canary Wharf & the City) * Oppose clustering, where single tall building is used to justify the building of others</p>		4	3	12	<p>Roll out of phased update to the existing CCAMPs starting with areas under greatest threat from development</p> <p>Whitechapel/Aldgate completed. Phased 5 year roll out of updates to remaining conservation areas including work taking place alongside the local plan work.</p> <p>Marissa Ryan-Hernandez <u>Required Control Measure Target Date:</u> 29/12/2023</p>	3	3	9	Marissa Ryan-Hernandez	A Borough That Our Residents Are Proud Of And Love To Live In.		

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PAR0053	<p>Unable to fulfil statutory functions because of lack of skills and resources in the team.</p> <p>Team sign off buildings that do not meet building regulation requirements.</p>	<p>Experienced building control staff are in short supply and in high demand currently. The BC team have been running a number of vacancies due to challenges in recruiting and are reliant on agency workers, which can mean an inconsistency in service. Lack of capacity or adequate experienced officers to deal with the complex developments in the borough could lead to errors being made in assessments or sign offs. Currently the team has a case load over and above the case load of the BC officer working on Grenfell, and lack of time to put to the task is seen as one of the failings of that project.</p> <p>Requirements of the BSB put more pressure on the team, increase work load and require more specialist skills.</p>	<p>Reputational, legal and financial implications if errors are made or assessments not carried out in a timely manner.</p>	<p>Ensure full understanding of new requirements of the emerging Building Safety Bill</p> <p>The Building Safety bill will introduce new requirements on building control bodies - exactly what these will look like is still being developed. The team will ensure that they keep up to date with the bill as it passes through the stages and link in with the key bodies who will be involved in regulating the new requirements. As more detail is provided, we can better understand what it will mean for the team in terms of day to day work and responsibility.</p>	3	4	12	<p>Ensure correct level of skills and experience in the team</p> <p>We are currently working on an incentive package to ensure we can recruit and retain the right skills and experience in the team. For the short term, the proposal is for a two year market supplement and a relook at the team's JDs in the longer term - to reflect the expert and in demand, skills required for these roles.</p> <p>This is particularly important now as we have a number of the team who are at or near retirement age. We are aiming to start the recruitment campaign in April</p> <p>John McGeary <u>Required Control Measure Target Date:</u> 31/01/2023</p> <p>Ensure that the team is structured and resourced in a way that can meet the requirements of the building safety act</p> <p>We have put in a growth bid to ensure that the BC team can be structured and resourced in such a way that it can deliver on the requirements of the Building Safety Act. This is a complex task as while there is now the act there still remains many areas of uncertainty.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 31/03/2023</p>	2	4	8	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.		

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PAR0054	<p>The P and BC team is now heavily reliant on income - it is 85% income funded. The income sources range from pre-app fees, PPAs, CIL and S106 admin fees, Land Charges, SN and N and planning application fees. Each of the different sources have their own rules and regulations about what the income can be used for etc. All are reliant on the continuation of development in the borough at similar levels to that we have seen in the last few years and also the system of income generation staying largely the same as at the moment. There are a number of reasons this may not be the case - explored in the triggers. A linked risk is an increase in appeals/JRs - there is no specific budget for such costs.</p>	<p>* Development in the borough slows down considerably - leading to reduced income across P and BC</p> <p>* Changes at the national level which reduce ability to raise income and or increase staffing requirement</p> <ul style="list-style-type: none"> - planning white paper proposals would see a radical change to the approach to applications - potentially removing the potential for PPAs, pre-apps and even a large number of planning fees as permission is given through planning documents (there is also the broader issue of how a new local plan would be resourced - explored in a separate risk). - Land charges income is significant for the team, but the government is moving that to the land registry - early discussions suggest the upshot of this is LBTH will be required to do much of the work still, but without the benefit of the income to fund it. While there are burden payments, these are considered small in comparison to the income potentially lost. - A slowdown in delivery will impact CIL income - 	<p>If there is not enough income to pay for the teams then in the short term there would be pressure on the GF/reserves to pay for the teams. Depending on the reason for the development slow down, a restructure maybe necessary to reduce the cost of the teams.</p> <p>However, it should be noted that development cycles are by their nature cyclical and it would be a false economy to reduce the size of the teams significantly one year, only to need to scale up again soon after (particularly given the nature of development in the borough and the lack of people with the skills and experience to deal with them).</p> <p>Changes to the planning system may well require a relook at the structure of P and BC and we will continue to follow and reflect on any information from government on planning reform.</p> <p>Cost impact could vary significantly depending on the scale of development slow down or government change</p>		3	4	12	<p>Clear understanding of income</p> <p>Increase understanding of income expected across a year - linked to tracking of development activity, to understand what schemes are coming through and what income they may bring for P and BC. To do this effectively we need the coding project in Finance/IT to be delivered as at present much of our income goes into the same account and there is a manual exercise to ensure it is in the correct account.</p> <p>In addition, we are working on a tracker to track schemes through the system, from initial pre-app discussions to final completion - this will require some IT input.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 28/01/2023</p> <p>Set up a 'smoothing' reserve</p> <p>Set up a reserve fund that can ensure that the service can function in years where there is less income. This would allow us to keep the team in place needed and could be 'topped up' when the service has a year where there is an income surplus.</p> <p>While this has been supported as an idea by the Mayor and Lead member, no progress has yet been made and ultimately it is a finance decision.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 01/04/2023</p>	3	3	9	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.

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		<p>this is used to fund the infrastructure team (a proportion of the income can be used on admin) and the team has no general fund allocation. In addition, the broader CIL pot, through LIF pays for a number of other initiatives, including much of the work of the regeneration team, in addition CIL is a key element in the boroughs capital program therefore a significant slowdown in development in the borough would have implications for the funding for a number of teams and programs.</p> <p>Increase in decisions being challenged via appeal or JR - large draw on resources which is not budgeted for.</p>													
PLC0023	<p>Failure to prepare and take action in relation to the proposed Building Safety Bill</p>	<p>Lack of leadership</p> <p>Insufficient resources</p> <p>Poor understanding of the requirements and consequences</p> <p>Passage of the bill is faster than anticipated</p>	<p>Potential Injury or death of residents</p> <p>Criminal and/or civil litigation for the Council and/or individual senior leadership</p> <p>Delays in construction</p> <p>Regulatory breaches</p> <p>Financial penalties</p> <p>Poor building safety</p> <p>Reputational damage</p>	<p>Research, Legal Advice and Monitoring Key officers are involved in researching the implications of the bill</p> <p>Legal advice has been sought</p> <p>LBTH/THH Building Safety Bill Group monthly meetings to monitor impact and progress and sub-groups to consider impacts and develop new processes.</p> <p>Liaise with London wide forums and Federation of ALMOS on implementation</p>	3	4	12	Key actions	<p>a. Develop appropriate Resident Engagement Strategies and inform tenants and leaseholders about the Building Safety Act 2022.</p> <p>In Progress: THH have communicated with residents in the September 2022 leaseholder newsletter.</p> <p>A Letter to landlords and building owners in the borough has been prepared and sent to all building owners with buildings above 18m to try and ensure that they are aware of their responsibilities.</p> <p>The resident engagement</p>	2	3	6	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.	

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				Obtain Human Resources advice when required.				<p>strategy needs to be produced before April 2024, the strategy will require consultation with residents.</p> <p>b. Communicate the likely impact of the Building Safety Bill/Act to Members, CLT and DLT. Complete: Presentations have been made to CLT, DLT and discussion with members have taken place regarding the Act. Conversations have continued as the Act passed through Parliament and has become legislation, with updates being shared with the relevant people/groups. New members and the Mayor have been briefed on the Building Safety Act.</p> <p>c. Working with LBTH, Legal Services, CLT and Members to examine the responsibilities linked to the Bill. Complete: Presentations/discussion are taking place, taking into consideration the changes from the draft Bill to the Bill that was published on 5 July 2 and factsheets published in Oct 21. The Building Safety Bill received Royal Assent 28 April 22 - the Building Safety Act Working Group discusses the impacts and preparedness considering any changes from the Bill. LBTH will assist with any clarifications the Building Safety Act group require in relation to changes made to the Act when it was enacted and subsequent legislation.</p>							

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d. Calculate the additional resources required to comply with the Bill when enacted
 Complete: THH and LBTH building safety bill related growth proposals for 2022/23 onwards have been approved as part of the budget setting process. Both growth proposals are for funding the new additional roles required to deliver the building safety regime. LBTH's growth proposal is for £108K for 2021/22 and £356k thereafter. THH approved growth proposal is £476k p.a from 2022/23 onwards. In additional THH had £350k previously approved for 2021/22. Additional growth may be required in response to the Government releasing secondary legislation.

e. Consider appointing a building safety lead in the council to undertake the assurance work needed for the council to carry out its Accountable Person role.
 Complete: David Leslie, commenced with the Council as our Building Safety Lead. The Building Safety Lead will be responsible for the preparations for the building safety regime. Once the Building Safety Act is fully implemented the Safety Lead will oversee relevant department's/THH's delivery of aspects of the Council's building safety regime, ensuring the Council is compliant with the Act. David will be the named person (on behalf of the Council, as Accountable Person) for the Building Safety Regulator and will

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								<p>review all statutory returns before submission to the Regulator.</p> <p>f. Consider appointing a specialist advisor for support with the Safety Case reviews. Complete: THH has procured Adelard to assist with developing the Safety Case template, provide licences and training to use their IT system and support for a period. THH will commence training with Adelard towards the end of April 22.</p> <p>g. The Council's Building Safety Bill guidance will be updated regularly by Counsel. Complete: Bevan Brittan are updating their advice and providing clarifications to some queries since the Bill received royal assent on 28 April 22. Bevan Brittan has provided updated advice since the release of the Building Safety Bill on 5 July 21. A comparison to the draft bill and questions related to the Oct 21 factsheets have been provided.</p> <p>h. Potentially review existing contracts to ensure they comply with the Bill's requirements. In progress: LBTH Legal has been asked to carry out the review.</p> <p>i. Investigating digital storage methods to maintain the "Golden Thread of information" (GTI). In progress: Goy Roper and his colleagues from Socitm Advisory have provided an interim IT</p>							

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								<p>scoping report which considers the options for the GTI and other ICT requirements related to delivering LBTH's building safety regime. Theo Langlais, IT Project Manager will take the IT scoping/delivery project forward alongside the Building Safety Lead. Further scoping of the technology requirements will be progressed.</p> <p>David Drury 'Business Analyst' has been assisting with scoping for the ICT project to ensure relevant stakeholders are involved.</p> <p>An ICT solution 'www.activeplan.co.uk' has been secured by THH on a year's contract to allow more time us to investigate a more bespoke system .</p> <p>j. Seek Cabinet approval. In Progress: A Shadow Building Safety Framework report was approved by Cabinet on 27/11/21. Approval included progressing appointing to the Building Safety Lead role, appointing THH as interim Building Safety Manager (amendments made to the Bill in April 2022 removed the Building Safety Manager role with all duties now sitting under the Accountable Person) and make necessary changes to the constitution where necessary.</p> <p>As the Bill received royal assent on 28 April 2022 there will be consideration into whether the Council's (including THH's) building safety framework for residential buildings needs revising. This is pending the</p>							

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								<p>publication of secondary legislation and an understanding of the full requirements of the Act. Cabinet approval will be sought for any changes to the framework around the time of full implementation of the Act (prior to October 2023).</p> <p>k. Review THH's Preparedness for their building safety responsibilities (previously classed as the Building Safety Manager) - LBTH Internal Audit has examine THH's arrangements and plans for readiness for implementing the Building Safety legislative requirements and meeting regulatory requirements for Council's owned-buildings managed by THH. The Audit report provided "reasonable assurance" in June 2022. THH have delayed the initial pilot safety case a number of months now, staffing seems to be the biggest issue. The Building safety roles that were agreed by cabinet have not be filled yet and are unlikely to be filled before April 2023.</p> <p>Karen Swift <u>Required Control Measure Target Date:</u> 11/04/2023</p>							

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PMP0001	Directorate level service delivery plans do not enable a council wide determination of why we hold each council building	Engagement with relevant officers is not sufficiently robust and/or timely Partial completion resulting	An incomplete review that does not maximise benefits of rationalising and transforming assets Failure to deliver: * a programme of asset rationalisation and transformation * additional household units		3	4	12	<p>A lease is in place for all retained council buildings</p> <p>This will be validated during the asset review project and any required action will then take place</p> <p>Alan McCarthy <u>Required Control Measure Target</u> <u>Date:</u> 31/03/2020</p> <p>Reviewing all council assets</p> <p>The full strategic asset review project is in the process of being launched. There will be 4 complementary work streams collating information and engaging with other colleagues to form options and recommendations. The timetable is to be agreed but this will be an iterative process and take 18 - 24 months</p> <p>Alan McCarthy <u>Required Control Measure Target</u> <u>Date:</u> 31/03/2020</p> <p>Identifying twenty worst performing council buildings</p> <p>This piece of work is largely completed and will be used to partly inform the asset strategy activity and retention options. The asset review programme will pick up these issues as part of the project going forward.</p> <p>Richard Chilcott <u>Required Control Measure Target</u> <u>Date:</u> 31/01/2020</p> <p>Obtaining value for money for all properties that are rented out</p> <p>This task is ongoing and is one of the streams in the strategic asset review activity which will be</p>	2	4	8	Alan McCarthy	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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					L	I	Total	L	I	Total	L	I	Total			
									rolled out over the next 18 months or so Alan McCarthy <u>Required Control Measure Target Date:</u> 31/01/2020							
RGP0002	Lack of key stakeholders' buy-in into the regeneration engagement structures	lack of interest from the local community distrust of local community lack of interest from the local developers and landlords resistance from the Development Management colleagues to engage resources to manage Community Development Panel political resistance to create community advisory body through appointment	increased level of conflict between local communities, developers and LBTH which will negatively impact development management and regeneration outcomes	Communications plan set up communications strategy leading to recruitment of panel members and regular reporting from the EDF programme, operations of CDP (where possible - confidentiality) presentation of the programme to the Councillors Getting feedback, gaining buy in from the local politicians for the programme and engaging community Splash session about the Regeneration Delivery Plan for the Development Management division Presentation and getting feedback on the regeneration delivery plan in general and plans for setting up new engagement platforms	3	4	12				<u>Required Control Measure Target Date:</u>	2	4	8	Agnieszka Zimnicka	A Borough That Our Residents Are Proud Of And Love To Live In.

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SDBCD0007	To ensure effective and inclusive engagement on the project, all relevant stakeholders should be identified, including local residents, elected Members, TfL, GLA, landowners, other relevant stakeholders and businesses in the area, local groups and other individuals and organisations who may have an interest or impact on the development. Failure to do so will result in the project not being fully supported and issues and solutions not being identified. This could halt the project and cause delays.	Poor response to consultation or complaints from stakeholders of a lack of engagement.	There are potentially two major consequences of not engaging the correct stakeholders. -The project could be delayed or halted. -The Council could face negative publicity from stakeholders dissatisfied with the consultation process or the design of the structure.		4	3	12	As below Early communication with stakeholders, particularly, TfL, CRT, Berkeley Homes, Canary Wharf Group and the Dockland Scout Project. Thorough public consultation. Ongoing engagement and positive comms strategy to communicate the benefits of the bridge. Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/12/2024	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0009	The Council will construct South Dock Bridge but responsibility for management and maintenance must fall to a body with the skills and resources to provide the service. Ideally that role could fall to the Canal and River Trust, however early discussions indicate that they may not be willing to take on this responsibility (depending on the commercial agreement) so another operator may need to be sought.	LBTH will enter discussions with the Canal and River Trust and other potential operators regarding management and maintenance of the bridge, failure to reach agreement by the time the bridge has started construction will trigger this risk.	If LBTH is unable to reach an agreement with the Canal and River Trust over management of the bridge an option is to identify an alternative body with the expertise to deliver the service. This would ultimately present additional challenges as Canal and River Trust have a responsibility for management of the waterways, dockside and moorings around the bridge.		3	4	12	Discussions to be had once bridge design has been reached. Ongoing discussions with the Canal and River Trust and other stakeholders, and seeking alternate options. Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/10/2023	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

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SDBCD001 2	Increase in construction costs due to rising markets, main contractor & sub contractor capacities, labour availability (Brexit and inflation) and other issues.	Procurement - tender returns	Delay to programme Cost increase		3	4	12	Procurement processes Procurement process - fixed cost to be agreed pre-contract. Seek best value during procurement process. Regular financial reviews, processes in place to manage costs and contract variations. Build in contingency into the budget for delivering the bridge on site. Ensure robust procurement process to ensure contractors invited to bid have effective processes in place, to ensure they can weather labour shortages.	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD001 4	Acquisition of land - unable to reach agreements to acquire necessary land, air and water rights from landowners.	Dependent upon negotiations with landholders and results of land searches undertaken. Canal and River Trust or other title holder refuse to reach an agreement on disposal.	CPO process is lengthy and will delay delivery and increase costs.		3	4	12	As below Early engagement with landowners. Timely commencement of identifying title holders. Procurement of specialist services to support the process. Early advice to be sought on the CPO process to ensure timely action is possible should it be necessary. Develop contingency programme (CPO timetable).	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

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SDBCD0023	The May 2022 local elections have resulted in a change of Mayor and administration at Tower Hamlets, which could change the political support for the delivery of the project and/or change how the scheme is delivered.	Elections, Mayoral review of projects	Delayed / aborted scheme of projects		3	4	12	Ongoing liaison with Members on project Regular Mayoral and Members briefings on South Dock Bridge to highlight the strategic importance of the bridge and maintain the momentum for the project. Ensure the project aligns with Mayoral objectives. <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 13/02/2023	2	4	8	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0025	The project may be delayed or halted by several years if air and water rights are not agreed or negotiable with CRT and agreement on suitable mitigation for loss of CRT moorings are not reached. This risk has intensified due to CRT's objection on the planning application citing the need for pontoons.	Communication breakdown.	Financial and delayed delivery date Risk has intensified due to the Canal and River Trust's objection on the planning application citing the need for a pontoon to mitigate loss of moorings. CPO needed.		3	4	12	CRT communication Ensure regular project meetings with CRT. Higher level meetings with CRT, senior managers and politicians. CRT input into bridge design. Early CPO/legal advice. <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/07/2023	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0027	Requirement for CPO may cause delay to contractors or other suppliers that have been procured to the deliver bridge.	Dependent upon making CPO.	Delay to programme Additional cost.		3	4	12	See below Early CPO/legal advice to be sought to avoid delays. Develop CPO timetable to set clear timeframes <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/07/2023	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

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SDBCD0034	There is a risk for not reaching agreements with landowners on usage of land/power for powering South Dock Bridge. If agreements can not be made, this may add more costs to the programme for finding alternative options, as well as impacting the project timetable.	Not reaching a suitable agreement for powering the bridge.	If agreements can not be made, this may add more costs to the programme (e.g. changing to a battery option) as well as impacting the project timetable.		3	4	12	As below Thorough and early discussions with landowners. Thorough investigation of options for powering the bridge. Including discussions about powering the bridge as part of wider land use agreements. <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/03/2023	3	3	9	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
WSPP0021	Understanding impact of government recycling reforms linked to the new Environment Act 2021.	Change in government policy linked to the new Environment Act 2021.	Government policy reforms will have impact on future recycling collection systems. Such as mandatory collection of food waste and expected requirement to collect paper and card separately from other mixed dry recycling.		4	3	12	Being managed as a major project with a working group This is a major project with a working group and governance arrangements in place (led by Dan Jones). To understand, plan for implementation and manage impact of potential service changes. <i>Fiona Heyland</i> <u>Required Control Measure Target Date:</u>	4	2	8	Richard Williams	A Borough That Our Residents Are Proud Of And Love To Live In.
EPBTS0005	Beatrice Tate School Temporary Accommodation - Survey results / Planning requirements impact delivery / cost / programme	Survey results	delay to programme incur additional cost		5	2	10	Further foundation issues due to tree and existing historical foundations Investigating a revised foundation option due to structural engineer advice <i>Kathryn Maund</i> <u>Required Control Measure Target Date:</u>				Babatunde Balogun	A Borough That Our Residents Are Proud Of And Love To Live In.

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LLV030006	Land required in LBTH will not be as per the Leven Road Safeguarding and S106 agreement.	Design development determining more/different land is required.	S106 needs to be varied.		5	2	10	Developer negotiation and variation to S106. Early design work indicates that the land originally safeguarded will not be required. However, early dialogue has taken place with St William as to this possible. The bridge lands in a later phase of the scheme, which gives time, and St William appear amenable to amending the safeguarded area and integrating the bridge design within wider site landscaping. It is quite possible that the bridge will take less land than originally anticipated, or land towards the boundary of the Leven Road site, potentially offering St William options to apply for an amended scheme with additional housing and/or other value generating uses. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2022	5	1	5	James McCormack	
PAR0003	Property address cannot be identified by emergency services The Council has an obligation to accurately identify street names and property numbers	Inaccurate / incomplete information being provided by applicants Inaccurate data input to key systems (LPG/NLPG/NSG) Substantial financial penalties Likelihood of disrupted service and failure, Unfamiliarity of processes and systems Team restructure just completed Legacy project revealing inconsistency	Blue light services unable to find properties in emergency situations (potentially life threatening) Complaints and Member Enquires increase Geoplace takeover service Investment affected as development cannot be occupied Delayed collection of Council Tax and Non Domestic Rates (key council income streams) New residents delayed from occupying legitimate	Establish new Street Name & Numbering Team and Legacy Project Team The restructure posts have been appointed to with one withdrawn acceptance being re-advertised during February 2018. Establish weekly monitoring and reporting system workflow alerts exist on BC related issues - John Pulman has initiated workflow for SNN but teething issues relating to existing data in laserfiche to be resolved and purchase of laserfiche for individual staff members Ensure process and service manuals are produced including	2	5	10	Detail and implement work programme for resolution of all outstanding identified legacy cases and address queries. Project manager and team mobilised. Project initiation complete and in-flight. Regular Board-level project reviews and Highlight reporting also established. Work programme output monitored through Scrum and 1:1 supervisory meetings with case officers.	2	5	10	Jennifer Peters	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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			properties	<p>clear service standards and defined duties The SNN system and work process manual and guidance is in place.</p> <p>Ensure compliance with all established processes and manuals. Ensure that all team processes are captured and documented. Ensure that SNN Acolaid manual is updated to reflect best practice. Ensure that SNN staff are trained and monitored in process and systems usage.</p>				<p>Daniel Aiano <u>Required Control Measure Target Date:</u> 30/06/2021</p>							
PAR0012	Danger to person(s) from a dangerous structure	<p>G-Dit Call Centre fail to notify Building Control authorised officers</p> <p>Authorised Building Control do not respond to call from G-Dit Call Centre</p> <p>No contractor on standby</p>	<p>Danger continues with potential structural collapse and loss of life</p> <p>Litigation</p> <p>Reputational damage including negative press</p> <p>Potential loss of building including historic buildings</p>	<p>Ensure availability of 24/7 emergency works contractor via membership of London Dangerous Structures Consortium</p> <p>Keep call-out rota updated</p> <p>Monitor every incident</p> <p>Report non-conformance by G-Dit</p>	2	5	10	<p><u>Required Control Measure Target Date:</u></p>	1	5	5	John McGeary	A Borough That Our Residents Are Proud Of And Love To Live In.		
PAR0052	Incorrect Planning Decisions being taken and Permissions Issued & Local Land Charge Searches Issued without Core Planning Layers and Information Included on the GIS layers (they do not pull through as part of automated processes).	<p>Solicitors and business contacting the council for clarification on details provided in searches relating to matters covered by the local plan.</p> <p>Solicitors and property owners/developers contacting the council with queries/clarifications about their planning permission and their property.</p> <p>Residents contacting the council having found out</p>	<p>- The council faced with financial claims (being sued) for providing incorrect information on property transactions. These could amount to millions of pounds if it was shown the absence of incorrect information has led to a purchase being made when the purchaser may well not have done so;</p> <p>- Reputational damage and trust issues arising around core council responsibilities and</p>	<p>Local Plan Layers Assessment & GIS Uploading Project</p> <p>An initiative has been launched commissioning ICT, working with planning and building control to deliver a fully complaint set of GIS layers translating the new Local Plan and replacing the out-dated layers from the previous local plan.</p> <p>- Detailed analysis as to what is required with a business case, business plan and work programme has been drafted. ICT have brought in a consultant and assessed needs.</p> <p>- There are 92 affected layers</p>	2	5	10	<p><u>Required Control Measure Target Date:</u></p>	2	4	8	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.		

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		they are unable to do something in relation to their property that they thought they would be able to do so.	statutory processes (Determination of planning applications and Local Land Charge service as part of property conveyancing). - Potentially having to revoke planning permissions with accompanying compensation costs. This could run into millions depending on the development, lost value associated with the proposal etc. - Council having to manage and/or then dispose of assets it acquires by default. Additional costs likely.	including around 800 polygons. Within this a range of existing detailed polygons also needed testing and clarifying as to their accuracy. A project board with ICT resources and staff from planning and building control has been set-up to take the project forward. This work is already behind schedule, as its taken too long to arrive at this approach and therefore needs accelerating to ensure as prompt a completion as possible.								
CLPR M00 76	Parking Services to ensure that the Enforcement Agents contract meets its expected annual income; revenue expectations now managed by Revenue Services	Parking Services have no control over the enforcement debt collection Loss of revenue in comparison to previous years	Loss of revenue over 2 years Revenue services have collected approx. £50k over 2 years		3	3	9	3	3	9	Michael Darby	A Borough That Our Residents Are Proud Of And Love To Live In.

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Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
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DRCPCD0009	(New Town Hall project) A failure to have a clear and approved funding strategy for the Town Hall due to a change of business case assumptions	A strategic move away from disposal-led funding to the use of reserves/borrowing, together with a change in client brief	Lack of clarity on funding strategy leads to greater scrutiny; failure to gain stakeholder support (internal and external), programme delay	<p>Cabinet Report of 27 June 2017 detailed updated capital estimate and funding strategy</p> <p>The Business Case that will form part of the June Cabinet Report will consider the viability of the scheme in terms of both asset disposal funded and/or borrowing finance routes.</p> <p>Section 19 of the Cabinet Report of 27 June 2017 details the funding option in relation to the Council adopting the Capital Estimate.</p> <p>19.3 - It is therefore the responsibility of the Executive to implement the budget and financial plan/strategy and any decisions taken must not be contrary to, or not wholly in accordance with, that approved framework.</p> <p>19.4 - Part of the funding for the project may be generated by prudential borrowing and section 8 of the report describes the nature of borrowing proposed. The Council is permitted by section 1 of the Local Government Act 2003 to borrow money for any purpose relevant to its statutory functions or for the prudent management of its financial affairs. The Council must stay within its determined borrowing limit.</p> <p>19.5 - Accordingly, provided the decisions to adopt a capital estimate and to authorise the use of prudential borrowing are in line with the budget and plan/strategy agreed by full Council, then the proposed recommendations are permissible.</p> <p>Resources directorate to ensure overall project budget is incorporated into the Capital</p>	3	3	9	<p>Budget approval for costs that sit outside approvals to be sought.</p> <p>Following Budget approval via Chief executive decision CEO002 on 04.05.22, costs are to be reported to cabinet in June 2022 and reconciliation of cost that sit outside of current approvals regularised, currently in process of review via capital governance process.</p> <p>Yasmin Ali <u>Required Control Measure Target Date:</u> 31/03/2023</p>	3	3	9	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.		

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				<p>Programme to be reported to Full Council Resources directorate to ensure overall project budget is incorporated into the Capital Programme to be reported to Full Council</p> <p>Council confirm funding strategy for project in order to give market certainty that the contract can be let in June 2018 The Council needs to confirm the funding strategy for the project in early 2018 in order to give market certainty that the contract can be let in June 2018.</p>								
DRPCDO 026	(New Town Hall project) Failure to demonstrate VfM and project protocols in a timely and transparent manner	Requirement for project audit	Prepare for ad hoc and/or planned audit/governance reviews	<p>Benchmarking of costs during RIBA stages 4 On going with Contractor and Employers Agent. Commercial discussions and challenge on cost continue- business case update is being prepared with Finance team for approval.</p> <p>Robust file structure and file audit in place The structure is in place and change control process managed and approval sought and saved</p> <p>The Building that's delivered achieves what the buisness case set out to achieve. Taking into account the budget envelope Reviewing original business case at key intervals alongside agreed budget.</p>	3	3	9	1	4	4	Yasmin Ali	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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DRPCD0043	(New Town Hall project) Failure to provide appropriate car parking facilities for Blue Badge Holders and Essential Car Users	Discharge of Planning Conditions 29 & 32 (Full Travel Plan & Full details of the proposed arrangements for Blue badge holders and Essential Car Users prior to occupation). Colleagues in HR unable to make the reasonable adjustments necessary for current blue badge holders.	The operational needs of building users is not met.	<p>Prepare and produce a travel plan for the new Town Hall TPP consultants have been commissioned to produce the new Town Hall Travel Plan, the brief outlines the following objectives: -Understanding travel to work in a post-Covid world -Understanding LBTH and partner blue badge parking requirements -Undertake staff survey to better understand anticipated travel movements to the new Town Hall -Prepare information on car-free travel to the new Town Hall -Completion of the travel plan ahead of submission to LPA in March 2022</p> <p>Travel Plan has been submitted to the LPA. Further meetings are taking place with NWOW to look at the provision of ECU/MVP and future management of these permits with Parking Services.</p>	3	3	9	Occupation Health Assessments - HR to engage OH professionals to make assessment of the 22 blue badge holders to better understand needs and requirements. - Outcomes of assessments to be shared with senior officers for decision on how to proceed - Future parking opportunities continue to be explored including Sainsburys Charlie Carter <u>Required Control Measure Target Date:</u> 31/10/2022	3	3	9	Charlie Carter	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
EPGGS0019	Insufficient budget to complete the project	Above average increases in Build Cost Inflation Revised cost model from the cost consultant Changes in the project brief which increase the cost of design and construction	Additional capital resources required to complete the project		3	3	9	<u>Required Control Measure Target Date:</u>	2	3	6	Anthony Jones	OLD *** Creating Opportunity By Supporting Aspiration And Tackling Poverty

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EPGGS0021	Use of Passiv Haus instead of BREEAM Excellent methodology	DfE fails to accept the Passiv Haus approach and the local authority are required to seek derogation Planning refuses to accept this approach as they request design to BREEAM standards Use of Passiv Haus increase the cost of this project beyond the local authority budget	Derogation will cause delay in approving the school design if the DfE agrees to fund the school rebuild Planning delay approval to seek confirmation that Passiv Haus will require the design standards needed by planning Additional finance is need to deliver the project if the local authority is to finance the rebuild		3	3	9				2	1	2	Anthony Jones	People Are Aspirational. Independent And Have Equal Access To Opportunities.
FM0001	Breach of legislation relating to health & safety compliance in buildings owned or occupied by the council (excluding schools or leased out premises)	Appointed contractors failure to undertake inspections as instructed Failure to complete identified works or actions to meet current regulations and standards Failure to hold or provide required certificates or documents to evidence completion and remedial actions Contractor entering liquidation and unable to fulfil contract requirements Inadequate resources to manage statutory requirements and processes	Potential fatality from defective services or exposure to uncontrolled hazards Prosecution by enforcing authority, i.e. Health and Safety Executive, London Fire Brigade Reputational damage Financial penalty	Inspection Programme In compliance with statutory guidelines and current best practice, an inspection programme has been formulated which is reviewed and approved by senior staff, the senior management team and the appropriate committee. The programme is regularly reviewed and updated. Records management The council's Asset Management database contains details of the properties for which the council is responsible to maintain and service. The required inspections and statutory requirements have been identified and are recorded and associated certificates of completion and documents are stored within the system. These are accessible remotely by designated officers / stakeholders. Reports can be extracted from the system to provide accurate performance data.	3	3	9	Records management In compliance with statutory guidelines and current best practice, an inspection programme has been formulated which is reviewed and approved by senior staff, the senior management team and the appropriate committee. The programme is regularly reviewed and updated and compliance levels remain at high levels between 97-100% Geoff Schooling <u>Required Control Measure Target Date:</u> 01/04/2020 Records Management - on going In compliance with statutory guidelines and current best practice, an inspection programme has been formulated which is reviewed and approved by senior staff, the senior management team and the appropriate committee. The programme is regularly reviewed and updated and compliance levels remain at high levels	2	4	8	Sam Brown	A Borough That Our Residents Are Proud Of And Love To Live In.		

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								between 97-100% Sam Brown <u>Required Control Measure Target Date:</u> 25/02/2023					
LLV0001	The PLA requires onerous air rights fees.	PLA request.	Costs increase, either the boroughs plug the finance gap or the project(s) do not go ahead.		3	3	9	PLA Liaison and Legal Advice The council is in dialogue with the PLA and will be providing it with evidence as to why its lower level of fees should be charged in this case. LBTH has sought input from planning colleagues in building evidence here and also precedent relating to PLA charges previously agreed for this site. Legal advice is also being procured to establish what powers the PLA has in setting air rights fees. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	2	3	6	James McCormack	
LLV0003	The Environment Agency insists on onerous conditions	EA Consultation	The EA has been consulted at an early stage. It's comments to date do not impact the proposed scheme. River wall improvements and flood protection measures are likely to be delivered by adjacent developments and unlikely to be direct conditions or costs to the bridge project.		3	3	9	<u>Required Control Measure Target Date:</u>	2	3	6	James McCormack	

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LLV010006	Ground risks: UXO, unexcavated archaeology, or other unknowns are found.	Survey and ground risk assessment outcomes.	A) Delays to the project programme B1) Cost increase to remediate the land B2) Cost increase as a result of delayed programme.		3	3	9	Ground Risk Assessment and risk analysis A GRA has been commissioned to examine the land in LBN, most notably the two UKPN cables here. A GRA contractor (WSP) has been appointed to undertake this. CG is contractually obliged to remediate land in LBTH. LBTH to work to de-risk any outstanding issues as much as possible prior to detail design stage to avoid delays where possible. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	2	4	8	James McCormack	
LLV010010	Services for the bridge are not delivered, as bridge land in LBTH is surrounded by privately owned sites and the river.	Services not delivered.	Bridge serviced from LBN side instead.		3	3	9	Contractual Obligations and Ground Risk Assessment LBTH has rights to a corridor to the highway. In the event this occurs, LBTH would look at options to service the bridge from the other side of the river. Land sale agreement in LBTH now transacted. Ground risk assessment will consider power and other service possibilities on the other side of the river. James McCormack <u>Required Control Measure Target Date:</u> 30/09/2023	2	3	6	James McCormack	

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LLV010015	Engineering issues during construction.	Engineering issues during construction.	Elements are re-designed or re-fabricated causing A) Programme delay and/or B) Cost uplift.		3	3	9	Planning and De-Risking Early engagement of engineering consultants. Early planning and de-risking. Thorough surveys. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2024	2	3	6	James McCormack	
LLV010023	Liabilities for maintenance or raising of the river wall for flood defense fall to the council and are onerous, or the river wall requires significant structural works to take the loads imposed by the ramps.	Design solutions on the east bank require construction of ramps abutting the river wall	Project costs increase and the budget is exceeded, one or more bridges do not go ahead.		3	3	9	Surveys Surveys of the wall will assist in valuing any works that will be required and assessing the liability risk, helping to mitigate this risk. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	2	3	6	James McCormack	

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PAR0014	<p>During and following completion of the Council's Transformation Programme, insufficient access to specialist ICT/data resources and inadequate 'line-of-business' systems' provision to support delivery of services .</p> <p>Staffing and expertise in relation to the following Divisional activities: 1. Non-availability of client-side super-user support for Planning & Building Control line-of-business applications.</p> <p>Systems functionality in relation to the following Divisional services: 1. Development management and compliance 2. Building Control 3. Land Charge Services 4. Street Naming & Numbering 5. Land Property and Street Gazetteer Services</p>	<p>1. Reduced access to ICT resources and expertise following Transformation Programme causing inability to maintain continuity in client-side and super-user support for Planning & Building Control line of business applications.</p> <p>2. Following Transformation Programme, reduced access to data limiting everyday line of business required by Planning & Building Control for GIS, cartographic mapping and spatial data analysis services.</p> <p>3. Core line of business systems software no longer being developed or kept in step with industry standards or government expectations.</p>	<p>1. Where Planning & Building Control line-of-business applications are not being fully developed or vendor-supported, this will affect statutory service provision, achievement of national performance measures and negatively impact those income streams currently generated by the Division.</p> <p>2. Inadequate business application super-user support, both in terms of staff availability, expertise and systems development.</p> <p>3. Limited provision of Planning & Building Control-related GIS expertise, cartographic mapping services and spatial data analysis affecting the accuracy of vended services including Land Charge Register searching.</p>	<p>Continual review of workload and availability of resources Monitor sufficiency of available ICT resources in support of the delivery of P&BC functions.</p> <p>Engage with and make input to reorganisation proposals and transition arrangements Ensure liaison with ICT Programme Office during GIS and ICT centralisations implemented 1.4.2019 and 1.5.2020.</p> <p>Monitor ICT programmes and operational delivery during phased handover of centralised function and resources.</p> <p>Establish post-implementation controls, including set-up of P&BC ICT Joint Steering Group to ensure oversight of risk relating to ICT's programme and operational support of the Service.</p>	3	3	9	<p>Appoint additional resources necessary to support line of business systems</p> <p>Assess and establish any business-led ICT support requirements necessary post-centralisation. GIS expertise has been secured as a resources within the service but centralisation has limited ability to do some elements of core work for the business- delaying processes. Work is on-going to allow continued development and analysis of the business data in a 'safe data' environment - data warehouse to be created</p> <p>Umbreen Qureshi <u>Required Control Measure Target Date:</u> 31/01/2023</p> <p>Highlight service delivery risks relating to line-of-business systems vendor support to ICT and the Digital Portfolio Board</p> <p>1. Raising the importance with ICT and the Digital Portfolio Board of securing new systems to replace Acolaid.</p> <p>It has been an understanding within P&BC that funding was available to achieve this and now that seems less certain for the remaining 2 year period of the existing supplier contract. This, linked with the removal to ICT of specialised officers previously dedicated to P&BC systems, raises the risk of systems failure for this ageing application.</p> <p>2. Raising awareness of the</p>	3	3	9	Umbreen Qureshi	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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								<p>Council's statutory obligations to deliver current and future Planning and Building-related regulatory services:</p> <p>Government's 'Planning for the Future' white paper published in August 2020, sets out proposals for a 'once in a generation' reform of England's planning system. Not having a modern system in place in readiness for reform, exposes the Council to risk in not being able to meet any new legislative requirements.</p> <p>3. Developing a business case-based funding request to Digital Portfolio Board in order to commence a review of Acolaid and associated applications with a view to their replacement with modern applications.</p> <p>Update 29.04.22- DPB have agreed project and funding for P&BC Data Management Replacement System. Pre-procurement exercise has been carried out and next steps being worked on in preparation of full procurement.</p> <p>Jennifer Peters <u>Required Control Measure Target Date:</u> 31/03/2024</p>							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
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SDBCD0018	Engineering issues during construction.	Physical difficulties with construction.	Delay to programme and additional costs.		3	3	9	As below Early engagement of engineering consultants Thorough surveys to omit risk. <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/12/2024	2	2	4	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
DRDH0016	There is a risk of fraudulent housing applications and registering landlords.	Checklist has not been used consistently. Increased activity relating to fraudulent emails.	Applicants housed incorrectly or before their normal waiting time Incorrect assessment/banding of applications or offers	Management to undertake 2x random checks on applications and offers during the year First set of spot checks to be completed by 14 June 2021. Devise template checklist to ensure processes and checks in place are being properly adhered to	2	4	8	Hold 2x staff debriefing sessions to share learning of the spot checks; update procedure and processes if necessary Discuss findings of the first set of spot checks by end of June 2021 and share learning. <i>Rafiqul Hoque</i> <u>Required Control Measure Target Date:</u> 31/03/2022	1	1	1	Rafiqul Hoque	A Borough That Our Residents Are Proud Of And Love To Live In.
HRG0009	Blackwall Reach Regeneration Project - Land Assembly, Obtain Vacant possession orders from court Failure to gain vacant possession and clear title for later phases of redevelopment.	1. Inability to gain vacant possession of residential properties in Phase 3 site. 2. Possession orders granted by courts for vacant possession (May 2018 removed superseded triggers of Phase 1b and Phase 2 land assembly)	1. Preventing demolition of 105-214 Robin Hood Gardens & Mackrow Walk for Phase 3 of redevelopment (May 2018 removed superseded triggers of Phase 1b and Phase 2 land assembly)	Serve GVD and organise possession proceedings if necessary for Phase 3 site as and when required including NOSP for secure ten Communicate as appropriate with secure tenants, leaseholders, non-secure tenants and unauthorized occupants. (Note GVD served and executed for non-resident leasehold and freehold interests in 2019). Leasehold interests all now acquired. Secure and non Secure tenants still to rehouse. NoSPs served	2	4	8	Use of Compulsory Purchase Order for Phase 3 and Continued negotiations for acquisition of property phase sites 3 and 4 Use of Compulsory Purchase Order following confirmation. Vesting property and compensating parties affected. Site 3 Millennium Green, Robin Hood Gardens 105-214 and Mackrow Walk (August 2021 Update: Combination of 2 CPOs have now successfully resulted in land assembly for this site) Site 4 South eastern commercial sites between Naval Row and Aspen Way (To be reviewed in future years in conjunction with	2	4	8	Sabaj Uddin	A Borough That Our Residents Are Proud Of And Love To Live In.

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									<p>GLA following Sec. of State not confirming CPO for this site in 2015)</p> <p>Sabaj Uddin <u>Required Control Measure Target Date:</u> 08/12/2025</p> <p>Implementation of Stopping up Order for Phases 2 and 3</p> <p>Extra Stopping up Order made for Phase 1b in November 2016. No objections received and JR period ended 16 December 2016. New pedestrian access through the area to be opened in 2019 following completion of new homes and a new public square.</p> <p>Phase 2 effective, with area now closed off as a building site, new footpaths to be instated following construction of new homes.</p> <p>Phase 3 closures to follow once Phase 3 complete and with vacant possession of 105-214 Robin Hood Gardens and 1-11 Mackrow Walk.</p> <p>Target date amended as Phase 2 delayed. Planning approval now in for Phase 3 to commence following completion of Phase 2 (decant of remaining RHG residents to new Phase 2 homes).</p> <p>Sabaj Uddin <u>Required Control Measure Target Date:</u> 30/11/2023</p> <p>New Stopping up Order if needed for Phase 4</p> <p>Target date amended to at least 2024 as Stopping up Order in connection with Phase 4 to be</p>						

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									made in association with Phase 4 design which is to follow in later years, subject to land assembly. Phase 3 proposals submitted for planning approval work in progress. Note: SuO would be required due to CPO approval excluding Phase 4 land. GLA and their long leaseholder on part of this site negotiating the latter to take forward part 1 of a revised 2 part Phase 4 revision.						
									Sabaj Uddin <u>Required Control Measure Target Date:</u> 30/08/2024						
LLV010001	PLA's request for a higher airgap.	Accepting the higher airgap request.	A) A static higher bridge is required which may be undesirable for Country Garden and Islay Wharf due to overlooking issues into the riverside units, or B) A lifting or opening bridge is required which would introduce more complex mechanical elements and potentially increase capital and/or operational costs. If this event does materialise, either the boroughs plug the finance gap, or the project does not progress and GLA funds are not drawn down.		2	4	8	Legal Counsel Negotiation with PLA. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	1	4	4	James McCormack			

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
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LLV010007	LBN is unable to provide funding.	Funding commitments are not met.	Funding gap cannot be plugged and the project doesn't go ahead.		2	4	8	Cross-borough agreement. Both boroughs are currently working to raise this funding both internally through CIL and other capital funding and externally through a cross-borough Homes England funding bid. LBTH internal capital bid has been approved, subject to cabinet sign off. LBN has secured LIR funding and is also progressing an internal capital programme approvals. A cross-borough MOU is being drafted to commit both boroughs to funding. James McCormack <u>Required Control Measure Target</u> <u>Date:</u> 31/12/2023	1	4	4	James McCormack	
LLV010017	Land in LBTH cannot be secured.	Land is not secured.	Bridge cannot be developed.		2	4	8	Ensure application of contractual obligations. There are obligations both in the S106 agreement and land sale agreement. LSA now complete including obligations on CG to transfer bridge land to LBTH. James McCormack <u>Required Control Measure Target</u> <u>Date:</u> 31/12/2023	1	3	3	James McCormack	
LLV010024	Ailsa Wharf developer Country Garden obstructs the delivery of the bridge following the councils election to step in.	CG could be difficult to negotiate with in relation to the construction phasing, access and traffic and the negotiation of the phasing and traffic plan.	Access for construction of the bridge is not provided, causing delays to the project and jeopardising our external funding.		2	4	8	Careful Negotiation Communications and negotiation with the developer in relation to the phasing and construction traffic planning will be important to mitigate this risk. Keeping a good relationship with the developer will be key.	1	3	3	James McCormack	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
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								James McCormack <u>Required Control Measure Target Date:</u> 30/06/2025					
LLV020005	Shape of the land required in LBTH will not be as per the Leven Road Safeguarding and S106 agreement.	Completion of bridge design.	Land in LBTH may not enable the original design to be delivered, so this will need to be amended.		4	2	8	Developer negotiation and variation to S106. Early dialogue has taken place with St William. St William appears amenable to amending the safeguarded area if possible and integrating the bridge design within wider site landscaping. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2023	4	1	4	James McCormack	
LLV030007	St William does not make land available for construction and public access in order to construct and open the structure in line with current timeframes.	Land for construction and public access is not made available.	The bridge can neither be constructed nor opened to the public.		2	4	8	Developer negotiation and S106. This matter is addressed in the S106 agreement. Officers are in dialogue with St William as to the expected programme of the two schemes and St William has indicated a willingness to provide land and support for the construction of the project and to create and maintain public access routes to in post PC of the bridge, and while the LR scheme remains under construction. Further, it is in St William's interest for the bridge to be delivered and as early as possible, as long as this can be achieved without impacting its own construction programme. James McCormack <u>Required Control Measure Target Date:</u> 31/03/2025	1	4	4	James McCormack	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
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PAR0051	Dangerous Structures - Key control weaknesses, identified in the Internal Audit Report, are not addressed	Management Action Plan agreed in response to the Internal Audit Report is not implemented	4 High Priority Recommendations for fundamental control weaknesses 4 Medium Priority Recommendations for control weaknesses	<p>MAP Recommendation 1 - High Priority Agreed action: The Head of Building Control will undertake a review of the procedural document ensuring that this document is dated, version controlled and approved. This review of the procedural document will consider that while BC Surveyors will understand the procedure others may not, I will review the document from this perspective. Recommendation: 1.1 A complete review should be undertaken of procedures for managing, administering and controlling Dangerous Structures. The procedures should cover referrals made Out of Hours and during officer hours and be formally approved, dated and version controlled and then distributed to relevant staff. 1.2. Management should ensure that the system for administering and controlling referrals and case management of Dangerous Structures incidences provides a robust audit trail from start to finish within the electronic case management system for both Out of Hours and Officer Hours referrals and management.</p> <p>MAP Recommendation 2 - High Priority Agreed action The scheme of delegation has not been updated since January 2007. The update of the scheme is a joint responsibility of BC and Legal Services. We have been pressing for this to be undertaken for some time and it is now proposed to</p>	2	4	8				2	4	8	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.

Required Control Measure Target Date:

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					L	I	Total	L	I	Total		
				<p>reactivate this work in line the provisions of the draft revisions to the Scheme of Delegation for the Chief Executive and Corporate Directors. Recommendation 2.1 The Directorate's Scheme of Delegation should be reviewed to ensure that it correctly identifies officers with the delegated authority to investigate and report upon incidences of Dangerous Structures.</p> <p>MAP Recommendation 3 - High Priority Agreed action The Head of Building Control currently undertakes a verbal review of the authorised officer role after an incident has occurred, usually the morning after. However these discussions will be formalised by providing written entries on acolaid to confirm my reviews as an inspection record. I will draft a template for officers taking Dangerous Structures enquiries confirming information given, information obtained during visit and work undertaken. With reference to `predefined quality standards` – there are 4 options stated in the procedure document – I will review the options in the current procedure document. Recommendation 3 3.1 It should be ensured that there is a consistent approach to recording, inspecting and reporting the outcomes of dangerous structures which should be included in the procedure notes. There should be standard templates implemented for recording inspections and decision outcomes.</p>								

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				<p>Management should review the quality of inspection reports and outcomes, to ensure that standards are complied with.</p> <p>MAP Recommendation 4 - High Priority Agreed action Quarterly meetings will be arranged between Head of Building Control, Building Control and Technical Support Staff to ensure Dangerous Structure cases have been resolved satisfactorily. We currently have a spreadsheet for the performance of the DS Contractor which if it drops below acceptable levels is forwarded to the consortium (DS Contractor is bound by their contract with the Consortium of London Borough's via the London District Surveyors Association) for action.</p> <p>Recommendation 4.1 It should be ensured that management oversight is provided by implementing procedures for regular management review and monitoring of Dangerous Structure cases. Consideration should be given to having some key performance indicators to measure the efficiency and effectiveness of the service, which should be reported to higher level management, when necessary.</p> <p>Agreed action Quarterly meetings will be arranged between Head of Building Control, Building Control and Technical Support Staff to ensure Dangerous Structure cases have been resolved satisfactorily. We currently have a spreadsheet for the performance of the DS</p>								

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				<p>Contractor which if it drops below acceptable levels is forwarded to the consortium (DS Contractor is bound by their contract with the Consortium of London Borough's via the London District Surveyors Association) for action.</p> <p>MAP Recommendation 5 - Medium Priority Agreed action We will review and where necessary reinforce existing procedures to ensure no inconsistency or inaccuracies in payments or time sheeting. Recommendation 5 5.1 Timesheets should be checked and signed by the officer who carried out the initial inspections of the site to ensure that the contractor has carried out the required works and that the invoices are in accordance with agreed rates.</p> <p>MAP Recommendation 6 - Medium Priority Agreed action Change procedure notes to include post inspection visits but note this will only occur in rare occurrences i.e. where a structure either serious or very serious defects arise Recommendation 6 6.1 The requirements to carry out post-inspections of completed works should be included in the procedures notes and management should ensure that these procedures are complied with.</p> <p>MAP Recommendation 7 - Medium Priority Agreed action Quarterly Meeting within Planning and Building Control team Managers for Building Control, Technical</p>								

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				<p>Support Team and Resources to provide automatic monthly reports confirming reconciliation between Wates payments and Building Owner payments of invoices. Automated monthly email reports to update Technical Support Team (Building Control) and to request an email be sent to Technical Support Team (land charges) to lift any property charges in relation to Dangerous Structure Notices once the case has been completed and before the case is closed.</p> <p>Recommendation 7 7.1 A system of reconciliation should be implemented to ensure that all payments made by the Council to the contractor and Council fees are recouped from the owner of the Dangerous Structures.</p> <p>MAP Recommendation 8 - Medium Priority Agreed action Management Systems have provided the same level of protection for DS Notices as we have for Full Plan Decisions i.e. only Head of Building Control or Team Leader can sign the Notice. Regular meetings with the Technical Support Manager to review charges on the land registry register to establish if they can be recovered or lifted are in progress</p> <p>Recommendation 8 8.1 DS Notices should be checked by the Authorised Officer or Head of Building Control - prior to issuing them to the owner of the property and to the Land Registry. A signed copy of the DS Notice should be held on laser fiche.</p>								

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT	
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				<p>8.2 The Head of Building Control is checking periodically with the Technical Support Team where a DS Notice has been issued to confirm whether the invoice has been paid. Once full payments have been received, instructions to lift the charge should be sent to the Land Registry.</p> <p>9.3.The Head of Building Control - is monitoring and reconciling annually, the Charges placed on the Land Registry and those that should have been lifted. A record of all historic charges on the Land Registry should be held on Laserfiche.</p>									
PAR0056	Loss of income or in-kind benefits from S106 Agreements with developers	Failure to allocate/spend S106 before expiry dates. Incorrect use of funding. Failure to undertake Council obligations. Failure to monitor developer obligations.	Loss of income or in-kind benefits from S106 Agreements with developers	<p>Implement Exacom system for S106 Stages as follows:</p> <ul style="list-style-type: none"> - Review data on system for years 2011 - 2013 and write report by 31/10/21 - Establish data update plan for last ten years by 30/11/21 - Implement data update plan (and test) for last ten years by 31/03/22 - Analyse ten year data and write report with recommendations for historic and on-going monitoring by 31/05/22 - Agree and establish historic and on-going monitoring plans by 28/09/22 <p>Review and Update S106 Manual A review and update of the S106 Manual is being undertaken to ensure consistency of approach.</p> <ul style="list-style-type: none"> - Include Exacom requirements by 30/11/21 - Update to reflect a proactive approach to monitoring by 31/01/22 - Include outcomes from the Exacom Implementation project 	2	4	8	Complete S106 Historic Compliance Project	1	2	2	Matthew Pullen	A Borough That Our Residents Are Proud Of And Love To Live In.

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				31/03/22											
PLC0020	Risk to public safety caused by dangerous or unsafe structures.	There are only three staff available to respond to dangerous call outs and service level will be adversely affected if one or more of these staff are absent due to Covid-19.	Unsafe structures may not be secured as quickly creating a risk to safety.	PPE Supplied Team have dealt effectively with a number of Dangerous structure call outs during the year – including the Bow Crane incident. While the team are well – one of the three staff who undertake dangerous structures call outs is currently self- isolating, so we continue to rely on an agency member of staff for this service.	2	4	8	Building Greater Resilience We are looking to build greater resilience in the team, including recruiting to the permanent vacant team leader (west) post – however, ensuring that we have the right recruitment and retention package will be key to this and this is what we are working on at the moment Nicole Layton <u>Required Control Measure Target Date:</u> 21/06/2021	1	4	4	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.		
PPRMM003	Management of Markets - Follow Up Audit is assigned an inadequate assurance rating (Limited or Nil)	Management of Markets - Final Audit Report assigned LIMITED Assurance AUDITOR: Terry Hudson DATE: April 2019 REF:05012/2019	Inadequate Audit Assurance Definitions: Limited Assurance - Weaknesses in the system of controls are such as to put the systems objectives at risk and from our testing the level of non-compliance puts the systems objectives at risk Nil Assurance - Control is generally weak leaving the system open to significant errors or abuse and from our testing there were significant non-compliance with basic controls which leaves the system open to error or abuse Financial - 3, Reputation - 3 and Performance 3.	MAP High Priority Recommendation 4 Recommendation 4 4.1 In cases where the Market Inspector has failed to submit vouchers in accordance with procedures, Management should record these on a Missing Voucher Record sheet and should monitor and follow up with the Market Inspector the next day to ensure that the missing vouchers are submitted. The interim Head of Communities and Enforcement should investigate the extent to which temporary traders are being permitted to trade without the required temporary licence voucher(s) and the appropriate action should be taken. 4.2 Management should undertake a review to establish how much income has been lost due to e to temporary traders being permitted to trade without the required temporary licence voucher(s). Agreed Action A Missing Voucher record will be	2	4	8	MAP High Priority Recommendation 2 Recommendation 2 2.1 Standards and procedures for Management to test compliance with the Markets Enforcement Procedures should be defined and documented. The procedures should document the various levels of management together with their roles and responsibilities in overseeing enforcement of the markets. 2.2 All procedures should be reviewed on regular basis by a designated officer and all updates should be subject to date and version control. Agreed Action Complete the delivery of the online market management system. The processes will be fundamentally changing with the introduction of the online system, which will capture all enforcement and compliance activity. The system was due to	2	3	6	Michael Darby	A Borough That Our Residents Are Proud Of And Love To Live In.		

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				<p>introduced from 1 May to capture information and ensure this is followed up in a timely manner. The current manual process will make it difficult to know whether trading has taken place and a voucher not collected, unless the Market Officer has manually recorded that a voucher is 'owed'. A review and reconciliation process for 2018/19 will take place to establish whether any remain outstanding and identify action to be taken to address this. A programme of verification checks will be established to ensure that voucher records are an accurate record.</p> <p>MAP High Priority Recommendation 5 Recommendation 5 5.1 The Interim Head of Communities & Enforcement should ensure that a review is undertaken on all market enforcement activity in order to establish whether all Market Officers are undertaking their enforcement duties in accordance with Enforcement Procedures. These issues should be discussed at one to one meetings and PDR meetings which should be clearly recorded. 5.2 Clear performance measures and targets should be introduced in respect of the reduction of illegal trading which should be regularly monitored and reported on to higher level of management. Agreed Action Audit recommendations will be implemented. A review of enforcement activity will be completed. PDRs and one to one's will record</p>				<p>be live in December 18, however, there have numerous delays due to technical difficulties and influence from other corporate projects, such as Capita. A new delivery date of end of May has now been agreed, however, if this does not happen the Project Board will need to decide on whether the project remains viable. Temporary adjustments have been introduced to enable enforcement information captured to be used to ensure timely and appropriate action. A programme of procedure reviews will be established as part of the Market Master Plan with annual reviews to be undertaken.</p> <p><i>Damian Patchell</i> <u>Required Control Measure Target Date:</u> <i>31/03/2023</i> MAP High Priority Recommendation 3 Recommendation 3.1 The Interim Head of Communities and Enforcement should ensure that procedures for Audit are adequately documented. There should be clear standards, methodology, risk assessment and work plan for the Audit process. 3.2 Management should consider closer working with Internal Audit on joint periodic spot checks of the markets and working with the councils Anti-Fraud team focusing on more proactive work in order to improve the Market Service. 3.3 The risk of fraud and</p>							

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				<p>discussions with officers regarding all enforcement activity. New processes are being established in partnership with the Public Realm Programme Team to enable performance measures to be introduced.</p> <p>MAP High Priority Recommendation 6 Recommendation 6.1 Management should ensure that Market officers are fully completing the daily allocation sheets and collecting the required Market Traders daily License's. Where appropriate, training should be provided to all Market Officers. 6.2 Management should regularly review a sample of daily allocation sheets on a periodic basis and identify which members of staff are regularly failing to complete the sheets fully and collecting the required Market Traders daily License's. Appropriate action should be taken to ensure that performance improves. Agreed action All Audit recommendations will be implemented. Daily allocations will be checked and verified as part pf the daily management checks. A sample will be reviewed weekly by the Market Service Manager (Head of Markets until they take up post)</p> <p>MAP Medium Priority Recommendation 7 Recommendation 7.1 The Interim Head of Communities & Enforcement should ensure the Terms of Reference are drawn up to cover the business of the Market Licence Revocation Panel which should be in line with the provisions</p>				<p>corruption in the market enforcement process should be identified as a specific risk within both the 2019/20 Market Services Team Plan and Risk Register together with corresponding mitigating actions/control measures and control owner(s). 3.4 Training on anti-fraud and bribery should be provided to relevant staff. Agreed Action The audit process map and procedure is to be developed and consideration will be given to the opportunities to work with the Anti-Fraud Team.</p> <p>Complete the delivery of the online market management system. The online system will eliminate some of the risks currently present in the market enforcement process as the processes will be fundamentally changing to capture all enforcement and compliance activity on site. The system was due to be live in December 18, however, there have numerous delays due to technical difficulties and influence from other corporate projects, such as Capita A new delivery date of end of May has now been agreed, however, if this does not happen the Project Board will need to decide on whether the project remains viable. Anti-fraud and Bribery training will feature in the 2019/20 PDR Training Plans for all relevant Market Services staff.</p>							

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				<p>of Part III of the London Local Authorities Act 1990. The roles and responsibilities should be documented in the Terms of Reference, as well as the meeting formalities – how often to meet, quorum requirements, officer declaration of interests etc.</p> <p>7.2 The Terms of Reference should be subject of annual review by the Panel. Any reviews should be recorded in the minutes of the meetings.</p> <p>Agreed Action All Audit recommendations to be implemented. Terms of Reference will be introduced and reviewed annually.</p>				<p><i>Damian Patchell</i></p> <p><i>Required Control Measure Target Date:</i> <i>31/03/2023</i></p>							
				<p>MAP Medium Priority Recommendation 8 Recommendation</p> <p>8.1 The Interim Head of Communities & Enforcement should write to the Divisional Director of Finance, Audit and Procurement requesting that a monthly reconciliation report is provided on Market trader accounts.</p> <p>Agreed Action Audit recommendations to be introduced.</p>											
				<p>MAP Medium Priority Recommendation 9 Recommendation</p> <p>9.1 The Markets Audit and Business Development Officer should undertake an annual independent stock check in the prescribed format or when responsibility for the stocks Temporary Licence vouchers is transferred from one officer to another. As per Financial Regulations (P3: Inventories).</p> <p>Agreed Action Audit recommendation to be</p>											

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				implemented											
SDBCD0005	South Dock Bridge - National / regional strategic or political changes impacting on the viability of the project - footbridge becomes less of a priority. The risk has increased slightly due to Brexit and Covid-19.	Local, regional or national policy changes.	A new footbridge becomes less of a priority when allocating financial resources.		2	4	8	Ongoing review Dependent upon policy changes. Jaskaren Mahil-Sandhu <u>Required Control Measure Target Date:</u> 31/12/2024	2	3	6	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.		
DRPCDO058	(New Town Hall project) Failure to create an agile and flexible workspace that supports staff to be the best they can be	Internal engagement to be effectively managed to help mitigate the risk and eliminate possible failure they can be	The workspace does not provide staff with the support they need to be the best they can be	New Town Hall working group meetings are in place to monitor the interdependencies to transforming the way we work Interdependencies: HR IT PMO FM Coms LOCD To work with FM to review the layout of Mulberry Place Post Covid to create and agile and flexible workspace In light of COVID19, we are working with FM to review the layout of Mulberry Place on the 4:10 ratio to trial the proposed flexible workspace.	2	3	6	Engagement with Staff Networks on staff accommodation principles and the look, features and deco of the new Town Hall Regular progress and engagement meetings scheduled for 2022 as part of the wider New Ways of Working workstream. Sarah Steer <u>Required Control Measure Target Date:</u> 16/12/2022	1	3	3	Sarah Steer	A Borough That Our Residents Are Proud Of And Love To Live In.		

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EPBTS0001	Beatrice Tate School - Proposal for temporary accommodation exceeds budget available as scope has changed several times since first request to proceed	Receipt of tender responses	Increased budget will be required from Childrens & Adult services - budget change order to be submitted		3	2	6	<p>Budget increase - additional funds- Budget to be progressed through a change order</p> <p>Budget increase -Client is aware of likely budget increase due to brief changing several times to the detriment of the original figure £500k, therefore this risk is already known. Revised budget figure circa £1.2m due to Planning and tree protection mitigation required</p> <p>Kathryn Maund <u>Required Control Measure Target Date:</u></p> <p>addtl buget request</p> <p>£350k from the Schools Condition and Improvement budget approval by Cabinet due end of Jul 19 Remaining additional budget request via Exception report, submitted W/c 24June - Approval TBC</p> <p>Babatunde Balogun <u>Required Control Measure Target Date:</u> 02/08/2019</p>				Babatunde Balogun	A Borough That Our Residents Are Proud Of And Love To Live In.
LLV0008	Planning advice and comments are not consistent across the boroughs, or one of the boroughs refuses permission and the other consents.	Planning advice / decision.	This could case confusion, dispute or development of the bridge is not permitted in the current design. A new design is commissioned and new planning application is submitted, causing delay to the programme and cost increases.		2	3	6	<p>Cross-borough agreement</p> <p>A strategy for planning including joint pre-application advice and meetings, QRP, and planning permission procedure has been agreed in the MOU. Implementation of the MOU needs to be maintained at the Bridges Programme Board.</p> <p>James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023</p>	1	3	3	James McCormack	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
LLV0009	There is insufficient client capacity to manage the project effectively.	e.g. due to staff turnover or illness.	Project becomes delayed.		2	3	6				1	3	3	James McCormack	
								<u>Required Control Measure Target Date:</u>							
LLV010013	Failure to identify and engage all relevant stakeholders and to deliver an effective consultation process.	Failure to identify and engage all relevant stakeholders and to deliver an effective consultation process.	The bridge design doesn't meet the needs of a stakeholder(s).		2	3	6	Diligent Comms Management			1	4	4	James McCormack	
								Diligent identification of all consultees, partners and relevant stakeholders, to include CG, PLA, CRT, TfL, GLA, local residents and businesses in the area, local groups and other individuals and organisations who may have an interest or impact on the development. Managing communications: 1. Ensure designers have a clear brief. 2. Early communications with stakeholders 3. Early engagement/ongoing and positive comms strategy to enforce the benefits of the bridge to businesses and residents.							
								James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
LLV010020	UKPN insists on onerous commercial conditions.	Diversion or other works to UKPN cables at TMC site.	For example, excessive fees could increase project costs - either the boroughs plug the finance gap or the project doesn't go ahead.		3	2	6	Ground Risk Assessment and UKPN engagement WSP has been appointed to assess these risks and to commence engagement with UKPN. The range of risk here is likely to be known early and ahead of detailed design. Provision for cable diversions has been included within budgets and alternative options will also be considered James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	2	2	4	James McCormack	
LLV010025	Procurement of design team may not be concluded in September	Design costs over budget requiring re-tendering.	Programme is delayed, target planning submission date is delayed.		3	2	6	RFQ Management Careful management of the RFQ process with support from Procurement. James McCormack <u>Required Control Measure Target Date:</u> 31/10/2022	1	2	2	James McCormack	
LLV020003	UKPN insists on onerous commercial conditions	Works to UKPN cables - diversion or other.	Onerous fees for example could leave a finance gap for the boroughs to plug, or else the project doesn't go ahead.		3	2	6	Ground Risk Assessment WSP has been appointed to assess these risks and to commence engagement with UKPN. The range of risk here is likely to be known early and ahead of detailed design. Provision for cable diversions has been included within budgets and alternative options will also be considered.	2	3	6	James McCormack	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
								James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023					
LLV020007	Ground conditions (notably relating to cable diversions) result in excessive or abnormal construction costs.	GRA Outcomes - decision to divert UKPN cables	Either the boroughs plug the finance gap or the project(s) do not go ahead.		3	2	6	Ground Risk Assessment WSP has been engaged to review ground risks in Newham in general and UKPN matters specifically. This will help clarify legal, property, commercial and construction related implications as to ground risks and cable diversions or other interventions. Provisional sums for this work have been included in early budgets. James McCormack <u>Required Control Measure Target Date:</u> 31/12/2023	1	2	2	James McCormack	
LLV030005	Land at the Electra site does not come forward.	A bridge to the Electra site is decided to be the only feasible option, and negotiations to secure land fail.	The project cannot be progressed.		3	2	6	LBN Negotiations with EMR and Electra While opening the Electra site will complete the river path at the point in the Lea, the Mayer Parry bridge can be delivered and operate without this intervention, albeit without the ability to travel north and west on the LBN side of the river. LBN regeneration officers are in ongoing dialogue regarding enforcing planning conditions relating to the opening up of the river path at Electra. The LBN position is that this will be progressed once there is more certainty as to the delivery of EMR and the bridge and the timeframes around this. Electra is therefore more dependent on the delivery of the bridge than vice versa.	3	1	3	James McCormack	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
									James McCormack <u>Required Control Measure Target Date:</u> 30/09/2021						
PAR0035	Legal duty/regulation is missed by Planning or Building Control	<p>A resident/service user/customer issues a challenge to the authority based on their belief/evidence that we have not met a statutory duty.</p> <p>Legal identify a duty has not been met</p> <p>Planning & Building Control identify a duty has not been met. There remains a concern that a statutory duty is missed and is not performed by the professional services.</p>	<p>Council experiences a legal challenge due to a missed statutory duty and consequently there is a financial loss, reputational loss or a danger to public in the Borough.</p> <p>Reputational - this is a sophisticated service and the implications for the council not having met a statutory duty as regards the services within the division would be embarrassing and potentially damaging depending on what the duty related to. This would almost certainly include adverse press.</p> <p>Financial - there may be damages relating to a proven case of unmet statutory duty. This could be significant depending on what the duty related to. It may result in a Judicial Review surrounding a specific decision, case or activity. This will need defending and could attract substantial costs.</p>	<p>Regular Legal Monitoring and checks on all new legislation To meet with legal services quarterly and note the discussions and any actions;</p> <p>To meet and discuss with legal colleagues when new legislation is released if it is not clearly understood by the service. This can also take place each project or initiative that is being pursued to ensure we are picking up on all required duties.</p>	2	3	6				1	3	3	Jennifer Peters	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
PAR0044	Impacts of development not considered mitigated by residents because they do not benefit from delivery of Local Infrastructure Fund projects	Service proposals not forthcoming Governance and allocation process not established in a timely fashion LIF projects not delivered	Reputational Increase in anti-development feeling and local objections Poor built environment	<p>Establish LIF Programme through Capital Programme 1 - Get in Cap Prog as a Bid. 2 - Establish Programme and get approved by Corporate Director, Lead Member and the Mayor. 3 - Individual projects included in Cap Prog.</p> <p>Undertake 2nd Round of Public Consultation Consult public for LIF Round 2.</p> <p>Complete assessment of projects nominated through LIF Round 2 and allocate funding Complete assessment and prioritisation work to deliver allocation decisions through Cabinet for LIF 2 funding.</p> <p>Implement and LIF Working Group LIF Working group set up - ensure happens quarterly and includes appropriate monitoring of delivery of projects and programme / budget management</p> <p>LIF Round 3 Consultation Undertake Round 3 Consultation in Nov / Dec 2020</p> <p>LIF Round 3 Project Assessment and Allocations Approval Assess LIF 3 Project Nominations and pass report through Cabinet for approval</p> <p>LIF Round 4 Consultation Undertake LIF Round 4 consultation. Assuming Cab Report is approved on 27 October 2021, this will be a light touch 'Call for Projects'.</p>	2	3	6	1	3	3	Matthew Pullen	A Borough That Our Residents Are Proud Of And Love To Live In.

Matthew Pullen
Required Control Measure Target Date:
31/03/2023

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
SDBCD0004	Environmental factors impacting on the delivery of the project e.g. noise, dust, traffic management.	As part of the project a number of impact assessments and reports will be commissioned to determine the environmental impacts of the proposed footbridge, these impacts include: Air quality Biodiversity Environmental Heritage Lighting Noise and vibration Transport Wind These assessments could highlight issues which are a risk to the delivery of this project.	The following are potential consequences of identifying an environmental risk: - Time delays to the project - Increase cost of delivering the project		2	3	6	As below Site management. Construction company engagement with residents. Thorough construction plan (off site manufacturing and using the dock to transport materials). <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/12/2024	2	2	4	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.
SDBCD0028	The project's approach of requiring cyclists to dismount from their bikes before crossing the bridge is dependent on the implementation of the Council's wider Cycling Strategy and improvements to other cycling routes into Canary Wharf.	LBTH delay in implementing cycle route improvements.	Bridge user conflict Failure to deliver wider cycling improvements in the Isle of Dogs will make it more difficult to implement the above approach for South Dock Bridge.		2	3	6	As below Ongoing engagement with Transport and Highway colleagues and other stakeholders including TfL and the Canary Wharf Group, to highlight the importance of delivering cycling improvements around the Isle of Dogs. <i>Jaskaren Mahil-Sandhu</i> <u>Required Control Measure Target Date:</u> 31/12/2024	1	3	3	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT	
					L	I	Total		L	I	Total			
BWY0001	Change of project manager	Unknown	Unknown		5	1	5			5	1	5	Fiona Walker	OLD *** A Great Place To Live
LLV010014	There is a change in regulations/standards that effect the project.	Bridge inspection on completion.	A) The bridge cannot be certified and the bridge doesn't open or B) The bridge opens but is only partially accessible.		1	5	5	Diligent Survey and Design Extensive site surveys and diligent developed design to ensure a fully accessible bridge can be delivered. <i>James McCormack</i> <u>Required Control Measure Target Date:</u> <i>31/12/2023</i>	1	4	4	James McCormack		
CLPRPM0066	Policy framework for the administration and control of parking permits not clearly laid down and approved.	Inconsistent practices and unauthorised changes to practices and Council objectives not achieved.	Irregularity, error, omissions, fraud and bad value for money can increase.		2	2	4	Policy framework for the issuance of the permits Currently procuring consultants to re-write parking enforcement plan of which the new policy framework for permits would be included. Completion period of 18 months - mid 2024. <i>Michael Darby</i> <u>Required Control Measure Target Date:</u> <i>30/04/2024</i>	2	1	2	Michael Darby	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To	


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Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
CLPRPM0077	Currently permit team do not have delegated powers through the scheme of delegation Include permit procedures in delegated powers (The Council is currently undergoing a review of delegated scheme on a corporate basis. We have contacted Legal in this respect and delegated powers for permits will be included in that scheme	The New policy has been drafted but will require more work to include Air pollution, traffic strategy & customer data which will be carried out by Andy Simpson & stakeholders. In addition, await outcome of May 2022 Mayoral Election but nonetheless we still require the scheme of delegation to be finalised by Legal.	Constraints to making effective changes for the benefit of the customer and staff.		2	2	4	Review of delegation On going dialogue with legal services where we await final sign off from legal Stephen Willie <u>Required Control Measure Target Date:</u> 01/02/2022	1	1	1	Michael Darby	A Borough That Our Residents Are Proud Of And Love To Live In.
GED0008	Potential for objections or complaints from businesses and/or residents to High Street and Town Centre improvement initiatives	Lack of participation among businesses or residents in local partnership groups and/or sector networks. Lack of effective structure in place for engagement with business Lack of effective engagement with businesses and residents to express their ideas and take part in developing projects etc. designed to support them. Imbalance of impact on businesses or residents on implementing recommendations from Night Time Economy Overview and Scrutiny Action Plan	Reputational and/or political risk if the Council is seen as unable to deliver on promised support and potential for abortive costs if support and services are not effective Failure to achieve a Strategic Plan Action - Implement a programme of improvement initiatives to High Street and Town Centres.		2	2	4	<u>Required Control Measure Target Date:</u>	2	2	4	Laura McLean	Risk Corporate Plans

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
PAR0036	Loss of CIL income	Inaccurate calculation of building floor space or rates for CIL purposes	Loss of income	Ensure sufficient training and capacity in the Infrastructure planning team Review CIL collection processes Updated to cover new audit requirements for implementation by July 2021	2	2	4	<u>Required Control Measure Target Date:</u>			2	2	4	Matthew Pullen	A Borough That Our Residents Are Proud Of And Love To Live In.
LLV0002	The CRT insists on onerous conditions	CRT Consultation	Initial engagement with the CRT has identified that its air gap requirements are unlikely to be an issue. However, dialogue is required to establish the CRTs requirements on fees. These are expected to be relatively low.		1	3	3	<u>Required Control Measure Target Date:</u>			2	2	4	James McCormack	
PPRMM002	Not collecting outstanding revenue owed by traders	No payment	Not having enough income in the trader account to pay for the management of the markets.	interim revocation and panel officer A temp officer has been appointed to deal with the outstanding deficit from market traders moving towards debt recovery and licence revocation for non payers.	3	1	3	<u>Required Control Measure Target Date:</u>			1	1	1	Michael Darby	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
PPRMM0001	Market services do not have a specific market management ICT system, which means services are run manually. A wider corporate ICT solution that was created has not been implemented leaving market services and the 2.5 million income vulnerable.	Lack of management control of a large Council service	Possible fraud, correction, bribery and failure to manage correctly financial regulations. Human manual mistakes in issuing licences which open us up to court action. The market is starting to fail as manual systems are backed-up and are not being processed.	Failures in the current IT system are factored into the new PSI Mobile solution, now Liberator A proportion are run manually, but applications and licensing are processed electronically. A recent signed off audit report highlights failures in the current system and these are now being factored in to the mapping systems of the new Liberator system.	2	1	2	Design, build, testing and implementation of the FGL Liberator System FGL Liberator for back-office and front-line administration, audit and enforcement. This will dramatically improve the management, allocation and negate the need for the voucher system as all payments will move online in the future. <i>Damian Patchell</i> <u>Required Control Measure Target Date:</u> <i>31/03/2023</i>	2	2	4	Michael Darby	OLD *** A Transformed Council, Making Best Use Of Resources And With An Outward Looking		
OPIG0004	Health and Safety	Appointment of CDM principle designer to manage, monitor and co-ordinate health and safety and to follow CDM Regulations 2015 throughout the project	Serious injuries or fatalities. Construction sites being high risk working environments. Not complying with the law.				Monitor H&S Principle designer for CDM in place to comply with CDM Regs. Contractor has regular H&S visits carried out. No issues <i>Wendy Harrington</i> <u>Required Control Measure Target Date:</u> <i>28/02/2023</i>				Wendy Harrington	A Borough That Our Residents Are Proud Of And Love To Live In.			

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Non-Executive Report of the: Audit Committee Thursday, 26 January 2023	 TOWER HAMLETS
Report of: Caroline Holland, Interim Corporate Director, Resources (S.151 Officer)	Classification: Open (Unrestricted)
Annual Update of the Internal Audit Charter and Anti-Bribery Policy	

Originating Officer(s)	Bharat Mehta
Wards affected	(All Wards);

Executive Summary

The Public Sector Internal Audit Standards requires the purpose, authority and responsibility of the internal audit activity to be formally defined in an internal audit charter which must be approved by the Audit Committee.

This report and appendix A provides the Audit Committee with the opportunity to review and approve the internal audit charter.

In addition, this report provides the Audit Committee the opportunity to review and approve the Anti-Bribery Policy, which is reviewed and updated annually.

Recommendations:

The Audit Committee is recommended to:

1. Review and approve the Internal Audit Charter – Appendix A
2. Review and approve the Anti-Bribery Policy – Appendix B

1. REASONS FOR THE DECISIONS

1.1 The Public Sector Internal Audit Standards require the purpose, authority and responsibility of the internal audit activity to be formally defined in an internal audit charter which must be approved by the Audit Committee.

1.2 The Audit Committee has responsibility to ensure there are sound arrangements in place for governance, risk management and internal control, this includes minimising the opportunity for fraud and corruption. The Committee should be presented annually with key policies for their review and approval which includes the anti-bribery policy.

2. ALTERNATIVE OPTIONS

2.1 None.

3. DETAILS OF THE REPORT

Internal Audit Charter

- 3.1 The Public Sector Internal Audit Standards requires the purpose, authority and responsibility of the internal audit activity to be formally defined in an internal audit charter which must be approved by the Audit Committee.
- 3.2 The charter must be consistent with the Mission of Internal Audit and the mandatory elements of the Public Sector Internal Audit Standards (including the Core Principles for the Professional Practice of Internal Auditing, the Code of Ethics, the Standards and the Definition of Internal Auditing). The Head of Internal Audit must periodically review the internal audit charter and present it to the Audit Committee for approval.
- 3.3 The internal audit charter is a formal document that defines the internal audit activity's purpose, authority and responsibility. The internal audit charter establishes the internal audit activity's position within the organisation, including the nature of the Head of Internal Audit's functional reporting relationship with the Audit Committee; authorises access to records, personnel and physical properties relevant to the performance of engagements; and defines the scope of internal audit activities.
- 3.4 The internal audit charter must also:
- Define the terms 'board' and 'senior management' for the purposes of internal audit activity.
 - Cover the arrangements for appropriate resourcing.
 - Define the role of internal audit in any fraud-related work, and
 - Describe safeguards to limit independence or objectivity if internal audit or the Head of Internal Audit undertakes non-audit activities.
- 3.5 The charter has been reviewed and remains aligned with best practice as recommended by the Chartered Institute of Internal Auditors.

Anti-Bribery Policy

- 3.6 Since the Bribery Act 2010 was introduced the Council has maintained an anti-bribery policy and procedures. The Anti-Bribery Policy is reviewed annually to ensure it remains up to date and fit for purpose. It is then submitted to the Audit Committee for approval. The policy is attached at Appendix B.

4. EQUALITIES IMPLICATIONS

4.1 There are no equalities implications to consider.

5. OTHER STATUTORY IMPLICATIONS

5.1 This section of the report is used to highlight further specific statutory implications that are either not covered in the main body of the report or are required to be highlighted to ensure decision makers give them proper consideration. Examples of other implications may be:

- Best Value Implications,
- Consultations,
- Environmental (including air quality),
- Risk Management,
- Crime Reduction,
- Safeguarding.
- Data Protection / Privacy Impact Assessment.

5.2 There are no other statutory implications to consider.

6. COMMENTS OF THE CHIEF FINANCE OFFICER

6.1 There are no specific financial implications to consider.

7. COMMENTS OF LEGAL SERVICES

7.1 This report supports and demonstrates the Council's compliance with the Accounts and Audit Regulations 2015 and the Public Sector Internal Audit Standards.

Linked Reports, Appendices and Background Documents

Linked Report

- None.

Appendices

- Appendix A – Internal Audit Charter.
- Appendix B – Anti-Bribery Policy

**Local Government Act, 1972 Section 100D (As amended)
List of “Background Papers” used in the preparation of this report**

List any background documents not already in the public domain including officer contact information.

- None.

Officer contact details for documents:

Bharat Mehta

Bharat.mehta@towerhamlets.gov.uk

DRAFT

Internal Audit Charter

Introduction

The Accounts and Audit Regulations 2015 require the Council to have effective internal audit that evaluates the effectiveness of the Council's risk management, control and governance processes, taking into account the Public Sector Internal Audit Standards and associated guidance.

In accordance with the Public Sector Internal Audit Standards, this Internal Audit Charter sets out the purpose, authority and responsibility of the Council's internal audit service. The Charter will be reviewed annually and presented to the Audit Committee for approval.

Purpose and Mission

The purpose of the Council's internal audit service is to provide independent, objective assurance and consulting services designed to add value and improve the Council's operations.

The mission of internal audit is to enhance and protect organisational value by providing risk-based and objective assurance, advice, and insight. The internal audit service helps the Council accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of governance, risk management, and control processes.

Standards for the Professional Practice of Internal Auditing

The internal audit service will govern itself by adherence to the mandatory elements of the Public Sector Internal Audit Standards, including the Core Principles, the Code of Ethics, the Standards for the Professional Practice of Internal Auditing, and the Definition of Internal Auditing. The Head of Internal Audit will report periodically to the Corporate Leadership Team and the Audit Committee regarding the internal audit service's conformance to the Code of Ethics and the Standards.

Authority

The Head of Internal Audit will report functionally to the Audit Committee on a quarterly basis and administratively (i.e. day-to-day operations) to the Director of Finance, Procurement and Audit and has direct access to the Council's S151 Officer. In addition, and to support the independence of the Head of Internal Audit, the Chair of the Audit Committee will be invited, at least annually, to contribute to the annual performance review of the Head of Internal Audit.

To establish, maintain, and assure that the Council's internal audit service has sufficient authority to fulfil its duties, the Audit Committee will:

- Approve the internal audit charter.
- Approve the risk-based internal audit and anti-fraud plan.
- Approve the internal audit resource plans.
- Receive communications from the Head of Internal Audit on the service's performance relative to its plan and other matters.
- Make appropriate inquiries of management and the Head of Internal Audit to determine whether there is inappropriate scope or resource limitations.
- Ensure and authorise the Head of Internal Audit to have unrestricted access to, and communicate and interact directly with, the Council's statutory officers as well as all other members of the Corporate Leadership Team, the Audit Committee and the Mayor including in private meetings without management present.
- Ensure and authorise officers from internal audit and anti-fraud to have full, free, and unrestricted access to all functions, records (including electronic records), property, assets, and personnel pertinent to carrying out any engagement and/or investigation, subject to accountability for confidentiality, data protection and safeguarding of records and information.
- Ensure internal audit is allocated sufficient resources and is free to select any service, project or topic for audit; set the frequency of audits; determine the scope of its work and issue reports.
- Ensure officers from internal audit and anti-fraud are able to obtain assistance from the necessary personnel of the Council, as well as other specialised services from within or outside the Council, in order to complete their engagements and/or investigations.

Independence and Objectivity

The Head of Internal Audit will ensure that the internal audit service remains free from all conditions that threaten the ability of internal auditors to carry out their responsibilities in an unbiased manner, including matters of audit selection, scope, procedures, frequency, timing, and report content. If the Head of Internal Audit determines that independence or objectivity may be impaired in fact or appearance, the details of impairment will be disclosed to appropriate parties including the Audit Committee.

Internal auditors will maintain an unbiased mental attitude that allows them to perform engagements objectively and in such a manner that they believe in their work product, that no quality compromises are made, and that they do not subordinate their judgment on audit matters to others.

Internal auditors will have no direct operational responsibility or authority over any of the activities audited. Accordingly, internal auditors will not implement internal controls, develop procedures, install systems, prepare records, or engage in any other activity that may impair their judgment, including:

- Assessing specific operations for which they had responsibility within the previous 12 months.
- Performing any operational duties for the Council, its companies, partnerships or similar arrangements.
- Initiating or approving transactions external to the internal audit, anti-fraud, risk and/or insurance departments.
- Directing the activities of any Council employee not employed by internal audit, anti-fraud, risk or insurance departments except to the extent that such employees have been appropriately assigned to those departments or to otherwise assist the staff employed within them.

Where the Head of Internal Audit has or is expected to have roles and/or responsibilities that fall outside of internal auditing, safeguards will be established to limit impairments to independence or objectivity.

Current Additional Responsibilities and Safeguards

The Head of Internal Audit currently holds responsibility for the Anti-Fraud, Risk and Insurance departments. To safeguard independence and objectivity each department will be independently reviewed and/or audited by a third party at least every three years or more frequently if required. Each review/audit will be sponsored by an appropriate Corporate Director and the outcomes will be reported to senior management and the Audit Committee.

Internal auditors will:

- Disclose any impairment of independence or objectivity, in fact or appearance, to appropriate parties.
- Exhibit professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined.
- Make balanced assessments of all available and relevant facts and circumstances.
- Take necessary precautions to avoid being unduly influenced by their own interests or by others in forming judgments.

The Head of Internal Audit will confirm to the Audit Committee, at least annually, the organisational independence of the internal audit service.

The Head of Internal Audit will disclose to the Audit Committee any interference and related implications in determining the scope of internal auditing, performing work, and/or communicating the results.

Scope of internal audit activities

The scope of internal audit activities encompasses, but is not unduly limited to, objective examinations of evidence for the purpose of providing independent assessments to the Audit Committee, senior management, and appropriate outside

parties on the adequacy and effectiveness of governance, risk management, and control processes for the Council including any wholly or part owned/controlled companies, partnerships or similar arrangements.

Internal audit assessments include evaluating whether:

- Risks relating to the achievement of the Council's strategic objectives are appropriately identified and managed.
- The actions of the Council's members, employees, temporary staff and contractors are in compliance with the Council's policies, procedures, and applicable laws, regulations and governance.
- The results of operations, projects and/or or programmes are consistent with established goals and objectives.
- Operations, projects and/or programs are being carried out effectively and efficiently.
- Established processes and systems enable compliance with the policies, procedures, laws, and regulations that could significantly impact the Council.
- Information and the means used to identify, measure, analyse, classify, and report such information are reliable and have integrity.
- Resources and assets are acquired economically, used efficiently, and protected adequately.

The Head of Internal Audit will report periodically to senior management and the Audit Committee regarding:

- The internal audit service's purpose, authority, and responsibility.
- The internal audit service's plan and performance relative to its plan.
- The internal audit service's conformance with the relevant Code of Ethics and Standards, and action plans to address any significant conformance issues.
- Significant risk exposures and control issues, including fraud risks, governance issues, and other matters requiring the attention of, or requested by, the Audit Committee.
- Results of audit engagements or other activities.
- Resource requirements.
- Any response to risk by management that may be unacceptable to the Council.

Coordinating Activity

To avoid duplication and maximise assurance for the Council, the Head of Internal Audit will coordinate activities, where appropriate/possible, and will consider relying upon the work of other internal and external assurance and consulting service providers.

Consulting and Advisory Services

The internal audit service may perform consultancy and/or advisory and related client service activities, the nature and scope of which will be agreed with the client, provided the internal audit service does not assume management responsibility. Opportunities for improving the efficiency of governance, risk management, and control processes may be identified during advisory engagements. These opportunities will be communicated to the appropriate level of management. The outcome of consultancy and/or advisory services may be used by the Head of Internal Audit to inform the annual opinion.

Scope of Anti-Fraud, Risk and Insurance activities

The Head of Internal Audit currently holds responsibility for the Anti-Fraud, Risk and Insurance departments. The broad responsibilities of these departments includes, but is not unduly limited to, the following:

- To promote an anti-fraud culture within the Council that aids the prevention and detection of fraud and similar crimes such as theft and corruption.
- To investigate allegations of fraud and similar crimes affecting the Council and its customers and report the outcome of those investigations to senior management and the Audit Committee as required.
- To promote and facilitate effective Risk Management.
- To promote and facilitate adequate insurance arrangements for the Council's employees and assets.

The Head of Internal Audit will report periodically to senior management and the Audit Committee regarding:

- Progress and results of anti-fraud activity and investigations (at least quarterly).
- Progress and results of work on Fraud Prevention and National Fraud Initiative (NFI) activities and co-ordination.
- Risk Management activity including, when appropriate, corporate and divisional risk registers and the Council's risk strategy (at least quarterly).
- Insurance activity (at least annually).

Responsibility

The Head of Internal Audit has the responsibility to:

- Submit, at least annually, to senior management and the Audit Committee a risk-based internal audit and anti-fraud plan for review and approval.
- Communicate to senior management and the Audit Committee the impact of resource limitations on the annual plan.
- Review and adjust the annual plan, as necessary, in response to changes in the Council's business, risks, operations, programmes, systems, and controls.

- Present an annual report to senior management and the Audit Committee that provides an overall opinion of the Council's governance, risk management and control processes.
- Communicate to senior management and the Audit Committee any significant changes to the annual plan.
- Ensure each engagement of the internal audit plan is executed, including the establishment of objectives and scope, the assignment of appropriate and adequately supervised resources, the documentation of work programs and testing results, and the communication of engagement results with applicable observations, conclusions and agreed management actions to appropriate parties.
- Follow up on engagement findings and corrective actions, and report periodically to senior management and the Audit Committee any corrective actions not effectively implemented.
- Ensure the principles of integrity, objectivity, confidentiality, and competency are applied and upheld.
- Ensure the internal audit service collectively possesses or obtains the knowledge, skills, and other competencies needed to meet the requirements of the internal audit charter, annual plan and/or individual engagements.
- Establish and ensure adherence to policies and procedures designed to guide the internal audit activity.
- Ensure adherence to the Council's relevant policies and procedures, unless such policies and procedures conflict with the internal audit charter. Any such conflicts will be resolved or otherwise communicated to senior management and the Audit Committee.
- Ensure the internal audit service's conformance with the Public Sector Internal Audit Standards, with the following qualification:
 - If the internal audit service is prohibited by law or regulation from conformance with certain parts of the Standards, the Head of Internal Audit will ensure appropriate disclosures and will ensure conformance with all other parts of the Standards.

Quality assurance and improvement programme

The internal audit service will maintain a quality assurance and improvement programme that covers all aspects of the internal audit activity. The programme will include an evaluation of the internal audit services conformance with the Public Sector Internal Audit Standards and an evaluation of whether internal auditors apply the IIA's Code of Ethics. The program will also assess the efficiency and effectiveness of the internal audit service and identify opportunities for improvement.

The Head of Internal Audit will communicate to senior management and the Audit Committee on the internal audit service's quality assurance and improvement programme, including results of annual internal assessments and external assessments which will be conducted at least once every five years by a qualified, independent assessor or assessment team from outside the Council.

Last approved by the Audit Committee on 1st December 2021

Glossary

Definition of Internal Auditing

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

Assurance services

An objective examination of evidence for the purpose of providing an independent assessment on governance, risk management and control processes for the Council. Examples may include financial, performance, compliance, system security and due diligence engagements.

Advisory and Consulting Services

Advisory and related client service activities, the nature and scope of which are agreed with the client, are intended to add value and improve the Council's governance, risk management and control processes without the internal auditor assuming management responsibility. Examples include advice, facilitation and training.

Senior Management

For the purposes of this charter and the Public Sector Internal Audit Standards the Corporate Leadership Team are defined as 'Senior management'.

The Board

For the purposes of this charter and the Public Sector Internal Audit Standards the Audit Committee are defined as 'The Board'.

Public Sector Internal Audit Standards

The Public Sector Internal Audit Standards are mandatory for local authorities. The standards, which are based on the mandatory elements of the International Professional Practices Framework (IPPF) of the Global Institute of Internal Auditors (IIA), are intended to promote further improvement in the professionalism, quality, consistency and effectiveness of internal audit across the public sector.

Governance

The combination of processes and structures implemented by the Council to inform, direct, manage and monitor the activities of the Council toward the achievement of its objectives

Risk

The possibility of an event occurring that will have an impact on the achievement of objectives. Risk is measured in terms of impact and likelihood.

Risk management

A process to identify, assess, manage and control potential events or situations to provide reasonable assurance regarding the achievement of the Council's objectives.

Control

Any action taken by management and other parties to manage risk and increase the likelihood that established objectives and goals will be achieved. Management plans, organises and directs the performance of sufficient actions to provide reasonable assurance that objectives and goals will be achieved.

Code of Ethics

The Code of Ethics of the Institute of Internal Auditors (IIA) are principles relevant to the profession and practice of internal auditing and Rules of Conduct that describe behaviour expected of internal auditors. The Code of Ethics applies to both parties and entities that provide internal audit services. The purpose of the Code of Ethics is to promote an ethical culture in the global profession of internal auditing

Overall opinion

The rating, conclusion, and/or other description of results provided by the Head of Internal Audit addressing, at a broad level, governance, risk management, and/or control processes of the organisation. An overall opinion is the professional judgment of the Head of Internal Audit based on the results of a number of individual engagements and other activities for a specific time interval.

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Anti-Bribery Policy

Version 4.0

Updated January 2023

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Policy Statement - Anti Bribery

Bribery is a criminal offence. The Council does not, and will not, pay bribes or offer improper inducements to anyone for any purpose, nor do we or will we, accept bribes or improper inducements.

To use a third party as a conduit to channel bribes to others is a criminal offence. We do not, and will not, engage indirectly in or otherwise encourage bribery.

The council is committed to conducting business in an ethical and honest manner and is committed to implementing and enforcing systems that ensure bribery is prevented. We will act professionally, fairly, and with integrity in all business dealings and relationships.

We are committed to the prevention, deterrence, and detection of bribery. We have zero-tolerance towards bribery. We aim to maintain anti-bribery compliance “business as usual”, rather than as a one-off exercise.

Objective of this policy

This policy is intended to provide a coherent and consistent framework to enable the council’s employees and others to understand and implement arrangements enabling compliance. In conjunction with related policies and key documents it will also enable employees to identify and effectively report a potential breach.

We require that all people associated with the council, including those permanently employed, temporary agency staff, Members, strategic partners, and contractors:

- Act honestly and with integrity at all times and to safeguard the council’s resources for which they are responsible.
- Comply with the spirit, as well as the letter, of the laws and regulations of all jurisdictions in which the council operates, in respect of the lawful and responsible conduct of activities.

Scope of this policy

This policy applies to all the Council’s operations and activities. For partners, joint ventures, and suppliers, we will seek to promote the adoption of policies consistent with the principles set out in this policy.

Within the Council, the responsibility to prevent, detect and control the risk of bribery occurring resides at all levels. It does not rest solely within assurance functions, but in all business units and corporate functions.

This policy covers all personnel, including all levels and grades, those permanently employed, temporary agency staff, contractors, non-executives, agents, Members (including independent members), volunteers and consultants.

This council’s commitment to action

The council commits to:

- Setting out a clear anti-bribery policy and keeping it up to date;
- Making all employees aware of their responsibilities to adhere strictly to this policy at all times;
- Training all employees so that they can recognise and avoid bribery
- Encouraging employees to be vigilant and to report any suspicions of bribery, providing them with suitable channels of communication and ensuring sensitive information is treated appropriately;
- Rigorously investigating instances of alleged bribery and assisting police, law enforcement agencies and other appropriate authorities in any resultant prosecution;
- Taking firm and vigorous action against any individual(s) or third parties involved in bribery;
- Where bribery has been discovered, whether perpetrated by Officers, Members or third parties (e.g. suppliers, contractors, service providers), the Head of Internal Audit will consult with the Director of Legal Services as appropriate, to form a view on whether the matter should be reported to the Police or other enforcement entities.
- The final decision whether to refer a case to the Police or other enforcement entities or not, will be made by the Monitoring Officer as soon as reasonably practicable. The Monitoring Officer will consider factors such as the nature and seriousness of the offence, as well as the Council's ability to investigate/prosecute itself.
- In all cases where matters are referred to the Police, the Police, and latterly the Crown Prosecution Service, will determine whether an investigation and/or prosecution will be pursued.
- Providing information to all employees to report breaches and suspected breaches of this policy; and
- Dealing appropriately with bribery prevention as part of its procurement and contract monitoring processes.

Bribery – Definition

Bribery consists of offering or giving a financial or other advantage with the intention of inducing a person to improperly perform a relevant function or activity or to reward a person for the improper performance of such a function or activity. A relevant function or activity includes any function of a public nature and any activity connected with a business

Bribery refers to the act of offering, giving, promising, asking, agreeing, receiving, accepting, or soliciting something of value or of an advantage so to induce or influence an action or decision. Bribery is not limited to the act of offering a bribe. If an individual is on the receiving end of a bribe and they accept it, they are also breaking the law.

Bribery is a crime, and the council has a zero tolerance, regardless of if bribery is directly, passively or through a third party. The council is strictly against bribery in any form or shape. If you are uncertain about whether something is a bribe or a gift or act of hospitality, you **must** seek further advice from your manager, head of service or the council's monitoring officer.

The Bribery Act

There are four key offences under the Act:

- Bribery of another person (section 1)
- Accepting a bribe (section 2)
- Bribing a foreign official (section 6)
- Failing to prevent bribery (section 7)

The Bribery Act 2010, makes it an offence;

- to offer, promise or give a bribe (section 1).
- it also makes it an offence to request, agree to receive, or accept a bribe (section 2).
- section 6 of the Act creates a separate offence of bribing a foreign public official with the intention of obtaining or retaining business or an advantage in the conduct of business.
- There is also a corporate offence under Section 7 of failure by a commercial organisation to prevent bribery that is intended to obtain or retain business, or an advantage in the conduct of business, for the organisation. An organisation will have a defence to this corporate offence if it can show that it had in place adequate procedures designed to prevent bribery by or of persons associated with the organisation.

Penalties

An individual guilty of an offence under sections 1, 2 or 6 is liable:

- On conviction in a magistrates court, to imprisonment for a maximum term of 12 months (six months in Northern Ireland), or to a fine not exceeding £5,000, or to both
- On conviction in a crown court, to imprisonment for a maximum term of ten years, or to an unlimited fine, or both

Organisations guilty of an offence under section 7 are liable to an unlimited fine.

Are we a “commercial organisation”?

The guidance states that a “commercial organisation” is anybody formed in the United Kingdom and “...it does not matter if it pursues primarily charitable or educational aims or purely public functions. The scope of the legalisation applies if it engages in commercial activities, irrespective of the purpose for which profits are made.”

Whether or not the council is a “commercial organisation”, it is committed to meeting the standards set by the Bribery Act 2010.

What are “adequate procedures”?

The guidance issued under the Bribery Act 2010, sets out six principles relevant to whether an organisation has adequate bribery prevention procedures in place. The council is committed to proportional implementation of these principles and makes the specific commitments set out below.

Principle 1: Proportionate procedures

The council has adopted this Anti Bribery Policy to set out its over-riding commitment to bribery prevention. The council has related codes of conduct and procedures that are listed later in the policy.

Principle 2: Top level commitment

This policy has been agreed by the Corporate Leadership Team and the Mayor, along with the related action around risk assessment, due diligence, communication, training, monitoring, and review.

Principle 3: Risk Assessment

The council has identified key areas of risk in respect of property disposal, contract award and monitoring, sponsorship, grants and regulatory activity and enforcement. These risks will be subject to review and monitoring within service areas. Regular risk reports will be considered by the Corporate Leadership Team and Members.

Principle 4: Due diligence

The council applies due diligence procedures, taking a proportionate and risk-based approach, in respect of persons or organisations with whom it seeks or will seek services, or provides or will provide services for, in order to mitigate identified bribery risks.

Principle 5: Communication (including training)

This policy will be appropriately publicised within the council and externally. A programme of training will be conducted for employees and Members.

Principle 6: Monitoring and review

This policy and performance under the policy will be the subject of annual review by the Corporate Leadership Team and the Audit Committee.

Behaviours that will not be tolerated

It is unacceptable to:

- give, promise to give, or offer a payment, gift or hospitality with the expectation or hope that an advantage will be received, or to reward an advantage already given;
- give, promise to give, or offer a payment, gift or hospitality to a government official, agent or representative to "facilitate" or expedite a routine procedure;
- accept payment from a third party that you know or suspect is offered with the expectation that it will obtain an advantage for them;
- accept a gift or hospitality from a third party if you know or suspect that it is offered or provided with an expectation that an advantage will be provided by us in return;
- retaliate against or threaten a person who has refused to commit a bribery offence or who has raised concerns under this policy;
- engage in activity in breach of this policy.

Facilitation payments

Facilitation payments are not tolerated and are illegal. Facilitation payments are unofficial payments made to public officials to secure or expedite actions.

Gifts and hospitality

This policy is not meant to change the requirements of our gifts and hospitality policy set out in the Employees' Code of Conduct. This makes it clear that:

- A register of gifts and hospitality is maintained for each directorate.
- Hospitality may be offered to organisations on the Council's premises but only with the express permission of the Head of Service or the Director and on a scale appropriate to the occasion.
- Employees should return or refuse gifts, hospitality or favours that could put them in a compromising position or render them liable to accusations by other parties.
- Employees must not ask for any reward, tip, gift, Christmas box or other inducement and should not put themselves in debt to someone where this could influence their work.
- There may be occasions where some personal hospitality or small gift is permissible, but this should be discussed with the Head of Service or the Director and permission obtained.
- Before accepting a gift or hospitality, consideration should always be given to: the timing of decisions for letting contracts; the type of gift or hospitality; whether the firm may benefit from the council's goodwill; whether the firm is seeking or has a contract; whether the visit is instructive or social; the scale and location of the hospitality and whether it falls in working hours; the frequency of the hospitality; and whether it is directed to a single person or a group.

Members remain subject to the Code of Conduct for Members, under which they make the following commitments:

- A commitment to honesty and integrity and a duty to uphold the law.
- To conduct themselves so as not to bring the Council into disrepute.
- Not to use or attempt to use their positions improperly to confer on or to secure (for themselves or another person) an advantage or disadvantage.
- To declare personal and prejudicial interests in the business of the authority.
- To have specified personal interests recorded in a declaration of interest register.

Public contracts and failure to prevent bribery

The council's commitment to prevent bribery is reflected in its procurement procedures. Under the Public Contracts Regulations 2015 (which gives effect to EU law in the UK), a company is automatically and perpetually debarred from competing for public contracts where it is convicted of a corruption offence. There are no plans to amend the 2015 Regulations for this to include the crime of failure to prevent bribery. Organisations that are convicted of failing to prevent bribery are not automatically barred from participating in tenders for public contracts. This organisation has the discretion to exclude organisations convicted of this offence.

Staff responsibilities

The prevention, detection and reporting of bribery and other forms of corruption are the responsibility of all those working for the organisation or under its control. All staff **must** avoid activity that breaches this policy. Staff must comply with their terms and conditions of employment and the Employees' Code of Conduct.

Staff **must**:

- ensure they read, understand, and comply with the information contained within this policy, and with any training or other anti-bribery and corruption information provided.
- be responsible for the prevention, detection, and reporting of bribery and other forms of corruption. Staff are required to avoid any activities that could lead to, or imply, a breach of this anti-bribery policy.
- notify their line manager, Head of Service, the Director or monitoring officer if they have reason to believe or suspect that an instance of bribery or corruption has occurred or will occur in the future
- Raise concerns as soon as possible if they believe or suspect that a conflict with this policy has occurred or may occur in the future.

Raising a concern

This council is committed to ensuring that all of us have a safe, reliable, and confidential way of reporting any suspicious activity. We want every member of staff to know how they can raise concerns.

We all have a responsibility to help detect, prevent, and report instances of bribery. If you have a concern regarding a suspected instance of bribery or corruption, **please speak up** – your information and assistance will help. **The sooner you act, the sooner it can be resolved.**

There are multiple channels to help you raise concerns. Staff anonymity will be protected in accordance with stipulations of the whistleblowing policy. Staff can view the [whistleblowing process on The Bridge](#).

Staff that refuse to accept or offer a bribe, or those who raise concerns or report wrongdoing can understandably be worried about the repercussions. We encourage openness and will support anyone who raises a genuine concern in good faith under this policy, even if they turn out to be mistaken. Staff do not have to obtain absolute proof of bribery to raise concerns, **if you have a suspicion, raise your concerns.**

We are committed to ensuring nobody suffers detrimental treatment through refusing to take part in bribery or corruption, or because of reporting a concern in good faith.

Any external person who wishes to report a concern about bribery may do so by contacting any of the following –

Robert Watt. Investigations Manager. Tel: 07908 130194
Email: rob.watt@towerhamlets.gov.uk

Janet Fasan, Monitoring Officer 0207 3644 348
Email: monitoring.officer@towerhamlets.gov.uk

Further information

If you have any questions about these procedures, please contact Robert Watt or Bharat Mehta.

Other relevant policies

- Anti-Fraud and Corruption strategy
- Anti-Money Laundering policy
- Whistleblowing policy
- Employees' Code of Conduct
- Code of Conduct for Members
- Procurement procedures

Useful links

CIPFA Better Governance Forum <https://www.cipfa.org/services/networks/better-governance-forum>

The Bribery Act [Bribery Act 2010](#)

Transparency International [Transparency International UK](#)

Protect (Previously Public Concern at Work) <https://protect-advice.org.uk/>

The British Standards Institution (Code of Practice on whistleblowing arrangements 2008, Anti Bribery Management System Standard late 2011) [BSI: Standards, Training, Testing, Assessment & Certification](#)

Department for Business Innovation and Skills (Blowing the whistle to a prescribed person)
http://www.direct.gov.uk/prod_consum_dg/groups/dg_digitalassets/@dg/@en/@employ/documents/digitalasset/dg_177605.pdf



AUDIT COMMITTEE WORK PLAN 2022/23

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Last updated:	17 th January 2023

AUDIT COMMITTEE WORK PLAN 2022/23

REPORT TITLE	BRIEF SUMMARY	LEAD OFFICER	OTHER CTTEE MEETINGS
26TH JANUARY 2023			
1. KMPG Update		Andrew Cardoza	
2. Deloitte	Standing item	Jonathan Gooding/ Angus Fish	
3. Internal Audit Charter & Annual Review of Anti-Bribery Policy	Annual review and approval of the Internal Audit Charter. Annual review and approval of the Council's Anti-Bribery policy.	Aaron Winter	
4. Treasury Management Report and Mid-Year Review	Progress on the Treasury Management Strategy Statement and the Treasury Prudential Indicators	Kevin Bartle/ Nisar Visram & Miriam Adams	
5. Treasury Management Strategy Statement, Investment Strategy and Capital Strategy Report for 2022-23		Miriam Adams	
6. Internal Audit and Anti-Fraud update 2022/23 Q3 Progress update	An update on the progress against the delivery of the 2022/23 Annual Internal Plan. Highlights any significant issues since the last report to the Audit Committee.	Aaron Winter	
7. Risk Management Report 2022-23 – Q3 Progress update & Directorate Risk Register	An update on risks in the Corporate Risk Register.	Aaron Winter	
8. RIPA Policy 2021/22	Regulation of Investigatory Powers Act 2000 (RIPA) relates to covert surveillance. A report updating Members on the policy and use of these powers, in accordance with the code of practice.	Agnes Adrien	Deferred

AUDIT COMMITTEE WORK PLAN 2022/23

REPORT TITLE	BRIEF SUMMARY	LEAD OFFICER	OTHER CTTEE MEETINGS
	Reviewed Annually.		
9. Audit Committee Work Plan	Review and agree items on the work plan for the Committee.	Audit Committee Members	
6TH APRIL 2023	AUDIT TRAINING DAY	Kevin Bartle/ Nisar Visram/ Miriam Adams/Aaron Winter	
	Statement of Accounts; Accounting Policies; Treasury Management		
13TH APRIL 2023			
1. Deloitte	Standing item	Jonathan Gooding/ Angus Fish	
2. Annual Internal Audit and Counter-Fraud Strategy & Plan 2023/24	Draft Internal Audit Plan for 2023/24. For review and approval by the Committee.	Aaron Winter	
3. Draft Annual Governance Statement 2023/24	For Review. Approval in July 2023 with Annual Accounts.	Aaron Winter	
4. Review of Code of Corporate Governance 2023/24	To report on an annual basis. Monitoring Office. Approval in July 2023 with Annual Accounts.	Matthew Mannion	
5. RIPA Policy 2023/24	Regulation of Investigatory Powers Act 2000 (RIPA) relates to covert surveillance. A report updating Members on the policy and use of these powers, in accordance with the code of practice. Reviewed Annually.	Agnes Adrien	
6. Draft Terms of reference for 2023/24	Review. To be approved in July 2023.	Aaron Winter	

AUDIT COMMITTEE WORK PLAN 2022/23

REPORT TITLE	BRIEF SUMMARY	LEAD OFFICER	OTHER CTTEE MEETINGS
7. Annual Self-Assessment and report of the Audit Committee	Self –Assessment – March 2022 Report by the Audit Chair to go to Full Council in July 2022	Cllr Whitehead/ Aaron Winter/ Charlotte Webster	Deferred to new municipal year 2022-23 – June Mtg
8. Risk Management Report 2022-23 – Q4 Progress update & Directorate Risk Register	An update on risks in the Corporate Risk Register.	Aaron Winter	
9. RIPA Policy 2021/22	Regulation of Investigatory Powers Act 2000 (RIPA) relates to covert surveillance. A report updating Members on the policy and use of these powers, in accordance with the code of practice. Reviewed Annually.	Agnes Adrien	Deferred to new municipal year 2022-23 – June Mtg Deferred to 24/11/22 Deferred again to 13/4/2023
CARRY FORWARD ITEMS – 2023/24			
1.			
2.			
3.			

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