



## 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><b><i>Yasmin Ali</i></b> <b><u>Required Control Measure Target Date:</u></b> <b><i>31/05/2022</i></b></p>	5	5	25	Yasmin Ali	A Borough That Our Residents Are Proud Of And Love To Live In.		

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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
								<b><u>Required Control Measure Target Date:</u></b>							
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	
								<b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b>							
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		
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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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b>	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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2023</b>	1	5	5	James McCormack			

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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.  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2024</b>	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><b>Jane Abraham</b>  <u>Required Control Measure Target Date:</u>  <b>31/03/2023</b></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><b>Jane Abraham</b>  <u>Required Control Measure Target Date:</u>  <b>31/03/2023</b></p>							

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DTLC0003	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	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	Review all Sources of Data  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.  <b>Umbreen Qureshi</b> <b><u>Required Control Measure Target</u></b> <b><u>Date:</u></b> <b>03/04/2023</b> Acquisition of New database  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.  11/10/21 Work ah commenced on project to acquire new replacement system - full funding yet to be agreed 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.	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>							<p><b>Umbreen Qureshi</b></p> <p><b><u>Required Control Measure Target Date:</u></b></p> <p><b>01/04/2023</b></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	<p>Direct Control</p> <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> <p><b>James McCormack</b></p> <p><b><u>Required Control Measure Target Date:</u></b></p> <p><b>31/05/2023</b></p>	1	4	4	James McCormack			

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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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b>	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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b>	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><b>Jennifer Peters</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b> Establish new BC structure</p> <p>Develop the new BC structure, including new JDs where relevant and recruit to those roles.</p> <p><b>Jennifer Peters</b> <b><u>Required Control Measure Target Date:</u></b> <b>03/04/2023</b> Training and support</p> <p>Identify and develop an internal training package that can help support BC officers in their new roles.</p> <p><b>John McGeary</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b></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 &amp; 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							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.  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><i>Required Control Measure Target Date:</i></b> <b><i>31/07/2023</i></b>	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.  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><i>Required Control Measure Target Date:</i></b> <b><i>30/09/2023</i></b>	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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2023</b>	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	<b><u>Required Control Measure Target Date:</u></b>	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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/09/2021</b>					
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.  <b>Wendy Harrington</b> <b><u>Required Control Measure Target Date:</u></b> <b>01/02/2023</b>	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 &amp; 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><b>Stephen Shapiro</b> <b><u>Required Control Measure Target Date:</u></b> <b>28/02/2023</b> Buildings Valuation Valuation expected by Friday 19th February <b>Stephen Shapiro</b> <b><u>Required Control Measure Target Date:</u></b> <b>19/02/2021</b></p>	1	5	5	Stephen Shapiro	Risk Corporate Plans		

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
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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><b><i>Jaskaren Mahil-Sandhu</i></b></p> <p><b><u>Required Control Measure Target Date:</u></b></p> <p><b>31/12/2024</b></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><b><i>Jaskaren Mahil-Sandhu</i></b></p> <p><b><u>Required Control Measure Target Date:</u></b></p> <p><b>31/03/2023</b></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  <b>Richard Williams</b> <b><u>Required Control Measure Target Date:</u></b> <b>29/06/2018</b>	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	<b><u>Required Control Measure Target Date:</u></b>	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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									<b>Oli Kapopo</b> <u>Required Control Measure Target Date:</u> <b>31/03/2023</b>						
CLPRCG0052	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  <b>Oli Kapopo</b> <u>Required Control Measure Target Date:</u> <b>29/12/2022</b>			3	3	9	Oli Kapopo	OLD *** A Great Place To Live
DRPCDO062	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	<p>Monitoring compliance</p> <p>Embed processes through continued use of new governance framework</p> <p>Continue to monitor adoption of guidance through improved use of templates and the shaerd filing protocol</p> <p><b>John Mitchell</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/06/2021</b></p> <p>Links with Corporate Capital Programme Finance</p> <p>Revise protocols and ensure that these are applied. It is essential to have consistent finance data to enable the capital programme to be effectively monitored by the Capital PMO through dashboard monitoring. The Agresso Upgrade is vital to mitigate this risk.</p> <p><b>John Mitchell</b> <b><u>Required Control Measure Target Date:</u></b> <b>01/06/2021</b></p> <p>Outcome of internal audit on Capital Programme Governance (May 2020)</p> <p>Deliver the recommendations of the Audit as set out in the action plan.</p> <p><b>John Mitchell</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/06/2021</b></p>	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 cophrensive 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				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				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> <b><u>Required Control Measure Target Date:</u></b> <b>31/05/2024</b>	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. <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2023</b>					
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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b>	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. <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2022</b>	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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b>	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	<b><u>Required Control Measure Target Date:</u></b>				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	<b><u>Required Control Measure Target Date:</u></b>				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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								<b>James McCormack</b> <u>Required Control Measure Target Date:</u> <b>31/05/2024</b>					
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. <b>James McCormack</b> <u>Required Control Measure Target Date:</u> <b>31/12/2023</b>	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. <b>James McCormack</b> <u>Required Control Measure Target Date:</u> <b>31/03/2025</b>	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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/06/2022</b>						
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.  <b>Paul Buckenham</b> <b><u>Required Control Measure Target Date:</u></b> <b>03/04/2023</b>	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 agresso and acolaid	3	4	12	Quarterly financial assessments within one month of end of each quarter date  see review <b>John McGeary</b> <b><u>Required Control Measure Target Date:</u></b> <b>26/03/2021</b> Produce and initiate a Building Control Marketing Plan  Marketing plan framework is being developed <b>John McGeary</b> <b><u>Required Control Measure Target Date:</u></b> <b>04/06/2021</b>	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	<b><u>Required Control Measure Target Date:</u></b>	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><b>Financial:</b> 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><b>Physical:</b> 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><b>Performance:</b> 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 &amp; 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><b>Marissa Ryan-Hernandez</b> <b><u>Required Control Measure Target Date:</u></b> <b>29/12/2023</b></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><b>John McGeary</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/01/2023</b></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><b>Jennifer Peters</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b></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><b>Jennifer Peters</b> <b><u>Required Control Measure Target Date:</u></b> <b>28/01/2023</b></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><b>Jennifer Peters</b> <b><u>Required Control Measure Target Date:</u></b> <b>01/04/2023</b></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	Failure to prepare and take action in relation to the proposed Building Safety Bill	<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><b>Karen Swift</b>  <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><b>Alan McCarthy</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2020</b></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><b>Alan McCarthy</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2020</b></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><b>Richard Chilcott</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/01/2020</b></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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									rolled out over the next 18 months or so <b>Alan McCarthy</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/01/2020</b>						
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				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.  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><i>Required Control Measure Target</i></b> <b><i>Date:</i></b> <b><i>31/12/2024</i></b>	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.  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><i>Required Control Measure Target</i></b> <b><i>Date:</i></b> <b><i>31/10/2023</i></b>	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.  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2024</b>	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).  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><u>Required Control Measure Target Date:</u></b> <b>31/07/2023</b>	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.  <b>Jaskaren Mahil-Sandhu</b> <b><u>Required Control Measure Target Date:</u></b> <b>13/02/2023</b>	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.  <b>Jaskaren Mahil-Sandhu</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/07/2023</b>	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  <b>Jaskaren Mahil-Sandhu</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/07/2023</b>	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.  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b>	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.  <b><i>Fiona Heyland</i></b> <b><u>Required Control Measure Target Date:</u></b>	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  <b><i>Kathryn Maund</i></b> <b><u>Required Control Measure Target Date:</u></b>				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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2022</b>	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><b>Daniel Aiano</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/06/2021</b></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><b><u>Required Control Measure Target Date:</u></b></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 &amp; 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><b><u>Required Control Measure Target Date:</u></b></p>	2	4	8	Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.		



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					L	I	Total	L	I	Total		
		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.								
CLPRPM0076	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.

Senior management intervention  
Senior management intervention required to agree an action plan to ensure the income expectation is met. Regular meeting to take place between the Head of Revenue and Parking.

**Michael Darby**  
**Required Control Measure Target Date:**  
**31/03/2022**

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		
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><b>Yasmin Ali</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b></p>	3	3	9	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			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
				<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

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
DRCPCD0043	(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.	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  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.	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  <b>Charlie Carter</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/10/2022</b>	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	<b><u>Required Control Measure Target Date:</u></b>	2	3	6	Anthony Jones	OLD *** Creating Opportunity By Supporting Aspiration And Tackling Poverty

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
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	<b><u>Required Control Measure Target Date:</u></b>	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%  <b>Geoff Schooling</b> <b><u>Required Control Measure Target Date:</u></b> <b>01/04/2020</b> 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.

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
								between 97-100% <b>Sam Brown</b> <b><u>Required Control Measure Target Date:</u></b> <b>25/02/2023</b>					
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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2023</b>	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	<b><u>Required Control Measure Target Date:</u></b>	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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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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2023</b>	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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/09/2023</b>	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		
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. <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2024</b>	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. <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2023</b>	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		
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 &amp; 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 &amp; 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 &amp; Building Control line of business applications.</p> <p>2. Following Transformation Programme, reduced access to data limiting everyday line of business required by Planning &amp; 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 &amp; 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 &amp; 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&amp;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&amp;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><b>Umbreen Qureshi</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/01/2023</b></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&amp;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&amp;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

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>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&amp;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><b>Jennifer Peters</b>  <u>Required Control Measure Target Date:</u>  <b>31/03/2024</b></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.  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2024</b>	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.  <b><i>Rafiqul Hoque</i></b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2022</b>	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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					L	I	Total	L	I	Total	L	I	Total		
									<p>GLA following Sec. of State not confirming CPO for this site in 2015)</p> <p><b>Sabaj Uddin</b> <b><u>Required Control Measure Target Date:</u></b> <b>08/12/2025</b></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><b>Sabaj Uddin</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/11/2023</b></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>						

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		
								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.							
								<b>Sabaj Uddin</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/08/2024</b>							
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. <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2023</b>	1	4	4	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		
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.  <b>James McCormack</b> <b><u>Required Control Measure Target</u></b> <b><u>Date:</u></b> <b>31/12/2023</b>	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.  <b>James McCormack</b> <b><u>Required Control Measure Target</u></b> <b><u>Date:</u></b> <b>31/12/2023</b>	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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								<b>James McCormack</b> <u>Required Control Measure Target Date:</u> <b>30/06/2025</b>					
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.  <b>James McCormack</b> <u>Required Control Measure Target Date:</u> <b>31/03/2023</b>	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.  <b>James McCormack</b> <u>Required Control Measure Target Date:</u> <b>31/03/2025</b>	1	4	4	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		
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							Jennifer Peters	A Borough That Our Residents Are Proud Of And Love To Live In.



Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					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>								

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

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
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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>								

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT	
					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"> <li>- Review data on system for years 2011 - 2013 and write report by 31/10/21</li> <li>- Establish data update plan for last ten years by 30/11/21</li> <li>- Implement data update plan (and test) for last ten years by 31/03/22</li> <li>- Analyse ten year data and write report with recommendations for historic and on-going monitoring by 31/05/22</li> <li>- Agree and establish historic and on-going monitoring plans by 28/09/22</li> </ul> <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"> <li>- Include Exacom requirements by 30/11/21</li> <li>- Update to reflect a proactive approach to monitoring by 31/01/22</li> <li>- Include outcomes from the Exacom Implementation project</li> </ul>	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.

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		
				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  <b>Nicole Layton</b> <b><u>Required Control Measure Target Date:</u></b> <b>21/06/2021</b>	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.		

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
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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 &amp; 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><b><i>Damian Patchell</i></b> <b><u>Required Control Measure Target Date:</u></b> <b><i>31/03/2023</i></b> 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>							

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
				<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 of 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 &amp; 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>								



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>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>MAP Medium Priority Recommendation 8 Recommendation 8.1 The Interim Head of Communities &amp; 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>											

***Damian Patchell***  
**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	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. <b>Jaskaren Mahil-Sandhu</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2024</b>	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.  <b>Sarah Steer</b> <b><u>Required Control Measure Target Date:</u></b> <b>16/12/2022</b>	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><b>Kathryn Maund</b> <b><u>Required Control Measure Target Date:</u></b></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><b>Babatunde Balogun</b> <b><u>Required Control Measure Target Date:</u></b> <b>02/08/2019</b></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><b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2023</b></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			
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	
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  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.  <i>James McCormack</i> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2023</b>		1	4	4	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		
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  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2023</b>	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.  <b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/10/2022</b>	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
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								<b>James McCormack</b> <u>Required Control Measure Target Date:</u> <b>31/12/2023</b>					
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.  <b>James McCormack</b> <u>Required Control Measure Target Date:</u> <b>31/12/2023</b>	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		
									<b>James McCormack</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/09/2021</b>						
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 &amp; 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
									<b><u>Required Control Measure Target Date:</u></b>						

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).  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2024</b>	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.  <b><i>Jaskaren Mahil-Sandhu</i></b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2024</b>	1	3	3	Jaskaren Mahil-Sandhu	A Borough That Our Residents Are Proud Of And Love To Live In.

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					L	I	Total		L	I	Total			
BWY0001	Change of project manager	Unknown	Unknown		5	1	5		<b><u>Required Control Measure Target Date:</u></b>	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.	<b><u>Required Control Measure Target Date:</u></b> 31/12/2023	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.	<b><u>Required Control Measure Target Date:</u></b> 30/04/2024	2	1	2	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		
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 &amp; customer data which will be carried out by Andy Simpson &amp; 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><b>Stephen Willie</b></p> <p><b><u>Required Control Measure Target Date:</u></b> <b>01/02/2022</b></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><b><u>Required Control Measure Target Date:</u></b></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
					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	<b><u>Required Control Measure Target Date:</u></b>	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	<b><u>Required Control Measure Target Date:</u></b>	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	<b><u>Required Control Measure Target Date:</u></b>	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.  <b><i>Damian Patchell</i></b> <b><u>Required Control Measure Target Date:</u></b> <b><i>31/03/2023</i></b>	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  <b><i>Wendy Harrington</i></b> <b><u>Required Control Measure Target Date:</u></b> <b><i>28/02/2023</i></b>				Wendy Harrington	A Borough That Our Residents Are Proud Of And Love To Live In.			