

Committee(s)	Dated:
Planning & Transportation Committee – For Information	18122018
Subject: Department of the Built Environment Risk Management – Quarterly Report	Public
Report of: Director of the Built Environment	For Information
Report author: Richard Steele	

Summary

This report has been produced to provide the Planning & Transportation Committee with assurance that risk management procedures in place within the Department of the Built Environment are satisfactory and that they meet the requirements of the corporate Risk Management Framework.

This report only considers risks managed by the Department of the Built Environment that fall within the remit of the Planning & Transportation Committee. Parallel reports regarding risks that fall within the remit of the Port Health & Environmental Health Committee are submitted to that Committee.

Risk is reviewed regularly as part of the ongoing management of the operations of the Department of the Built Environment. In addition to the flexibility for emerging risks to be raised as they are identified, a process exists for in-depth periodic review of the risk register.

Since the last report to Members there has been no change in the list of Corporate risks managed by the department. One new risk, relating to S106 income, has been identified.

There is one Corporate Risk managed by the Department of the Built Environment:

- CR20 - Road Safety (Current risk: AMBER)
[Planning & Transportation Committee]

The Impact of this risk has been reduced since last reported to the Committee, the Likelihood is unchanged.

There are no Departmental RED Risks managed by the Department of the Built Environment.

Recommendation

Members are asked to:

- Note the report and the actions taken in the Department of the Built Environment to monitor and manage effectively risks arising from the department's operations.

Main Report

Background

1. The Risk Management Framework of the City of London Corporation requires each Chief Officer to report regularly to Committee the risks faced in their department.
2. Risk owners are consulted and risks are routinely reviewed with the updates recorded in the corporate (Covalent) system.
3. Each risk managed by the Department of the Built Environment is allocated to either the Planning & Transportation Committee or the Port Health & Environmental Services Committees. **This report only considers risks managed by the Department of the Built Environment that fall within the remit of the Planning & Transportation Committee.**

Parallel periodic reports are submitted to the Port Health & Environmental Services Committee.

Current Position

4. This report provides an update on the current risks that exist in relation to the operations of the Department of the Built Environment that fall within the remit of the Planning & Transportation Committee.
5. In order to reduce the volume of information presented, and accordance with the Corporate Risk Management Strategy, this report includes all Corporate and Departmental level risks but not Service Level risks (unless there are changes which are considered to be likely to be of interest to Members).
6. The risk register captures risk across all four divisions within the department, (Transportation & Public Realm, District Surveyor, Development and Policy & Performance) but risks relating to the City Property Advisory Team are managed by the City Surveyor. The department provides advice relating to the City bridges to the City Surveyor's department but the risks are owned by the City Surveyor.

Risk Management Process

7. Risk and control owners are consulted regarding the risks for which they are responsible at appropriate intervals based on the level of risk and the likelihood that this level will change. In general, RED risks are reviewed monthly; AMBER risk are reviewed quarterly; and GREEN risks are reviewed quarterly, 6 monthly or annually depending on the likelihood of change.
8. Changes to risks were, historically, reported to Members as part of the Business Plan report. Members now receive this report quarterly in accordance with the Corporate Risk Management Strategy.

9. All significant risks (including Health & Safety risks) identified by the Department are managed through the Covalent Corporate Risk Management System.
10. Members will notice that some risks reported are already at the Target Risk Rating & Score and are only subject to Business As Usual actions. These risks are included in accordance with the Corporate Guidance “Reporting Risk Information to Grand Committees” to assist this committee to fulfil the role of Service Committees (as defined in the Corporate Risk Management Strategy) to “Oversee the significant risks faced by the Departments in the delivery of their service responsibilities.” The annual target date for Business As Usual actions, and risks where we are at Target Risk, will be updated prior to the next report.

Significant Risk Changes

11. Regular review of risks has identified two risks where the Current Risk score has decreased (CR20 & DBE-TP-03) and no risks where the Current Risk score has increased.
12. The Target Risk Ratings/Scores have also been reviewed since the last report to Members and one change, an increase from 4 to 6 has been made (DBE-TP-03). Details of the changes to this risk will be found in Appendix 2.
13. One risk has been closed since the last report to Members:

DBE-PP-02 “Transfer of the Local Land Charges Register to HM Land Registry (HMLR)” has been closed with the comment that “The transfer of the function to HMLR was completed on 8 Oct 18. The risk has been significantly reduced to the extent that it can now be managed as part of the general management of the Department”.

Identification of New Risks

14. New risks may be identified at the quarterly review of all risk; through Risk reviews at the Department Management Team; or by a Director as part of their ongoing business management.
15. An initial assessment of all new risks is undertaken to determine the level of risk (Red, Amber or Green). Red and Amber risks will be the subject of an immediate full assessment with Red risks being report to the Department Management Team. Green risks will be included in the next review cycle.
16. One new risk that fall within the remit of the Planning & Transportation Committee has been identified since the last report.

DBE-PL-06 “S106 controls”. This arises from an Internal Audit report which has identified some disjointed control mechanisms in relation to processing and monitoring S106 agreements which could lead to the loss of funds; non-compliance with agreements and reporting needs and potential reputational damage.

17. The impact of Brexit continues to be reviewed and is referenced in “Not being alive to the needs/requirements of the world business centre and the political environment” (DBE-PL-02) and “Uncertainty of the legislative environment and Central Government advice in respect of Development Management” (DBE-PL-03) (which is a Service Level Risk).

Summary of Key Risks

18. The Department of the Built Environment is responsible for one Corporate Risk. This is:

Road Safety (CR20) which is AMBER

This is the risk related to road traffic collisions.

The ‘Bank on Safety’ scheme proved to be successful based on provisional data and to have met all success criteria. The decision of the Court of Common Council on 13 September was to make the experimental orders at Bank Junction (to restrict traffic to bus and cycle only, Monday to Friday 0700-1900) permanent.

Further mitigation measures are included within the Draft Transport Strategy, which aims to meet Vision Zero objectives by 2040. The Road Danger Reduction and Active Travel Plan provides a five-year action plan to deliver a reduction of traffic related deaths or serious injuries in the near term.

As a result of the decision by the Court of Common Council the Impact has been reduced from Major (4) to Serious (2) with the Likelihood unchanged as Possible (3). The risk score has therefore reduced from 12 to 6 and the target risk score has been achieved. This risk remains AMBER

Conclusion

19. Members are asked to note that risk management processes within the Department of the Built Environment adhere to the requirements of the City Corporation’s Risk Management Framework and that risks identified within the operational and strategic responsibilities of the Director of the Built Environment are proactively managed.

Appendices

- Appendix 1 – City of London Corporation Risk Matrix
- Appendix 2 – Register of DBE Corporate and Departmental risks (Planning & Transportation Committee)

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