



Port Health & Environmental Services Committee

Date: TUESDAY, 20 SEPTEMBER 2016
Time: 11.30 am
Venue: COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL

Members:

Wendy Mead (Chairman)	Professor John Lumley
Jeremy Simons (Deputy Chairman)	Alderman Julian Malins
Deputy John Absalom	Andrew McMurtrie
Keith Bottomley	Brian Mooney
Dennis Cotgrove	Hugh Morris
Karina Dostalova	Barbara Newman
Peter Dunphy	Ann Pembroke
Deputy Kevin Everett	Henrika Priest
Deputy Bill Fraser	Deputy Richard Regan
Anne Fairweather	Delis Regis
George Gillon	Deputy John Tomlinson
Deputy Stanley Ginsburg	Deputy James Thomson
Graeme Harrower	John Scott
Alderman Peter Hewitt	Michael Welbank (Chief Commoner)
Wendy Hyde	Mark Wheatley
Vivienne Littlechild	Philip Woodhouse

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Lunch will be served in Guildhall Club at 1PM
NB: Part of this meeting could be the subject of audio or video recording

John Barradell
Town Clerk and Chief Executive

AGENDA

Part 1 - Public Agenda

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **MINUTES**
To agree the public minutes and summary of the meeting held on 19 July 2016.

For Decision
(Pages 1 - 8)
4. **OUTSTANDING ACTIONS**
To note the current list of Outstanding Actions.

For Information
(Pages 9 - 12)
5. **APPOINTMENT OF A REPRESENTATIVE TO THAMES21**
To consider the appointment of a representative to an Outside Body.

For Decision
6. **OPEN SPACES DEPARTMENTAL BUSINESS PLAN 2016-19 - QUARTER 1 2016/17 PROGRESS REPORT**
Report of the Director of Open Spaces.

For Information
(Pages 13 - 26)
7. **DEPARTMENT OF THE BUILT ENVIRONMENT BUSINESS PLAN 2016-19 - QUARTER 1 2016/17 PROGRESS REPORT**
Report of the Director of the Built Environment.

For Information
(Pages 27 - 34)
8. **DEPARTMENT OF THE BUILT ENVIRONMENT RISK MANAGEMENT UPDATE**
Report of the Director of the Built Environment.

For Information
(Pages 35 - 42)
9. **NOVATION OF HAZARDOUS WASTE COLLECTION AND DISPOSAL CONTRACT**
Report of the Director of the Built Environment.

For Decision
(Pages 43 - 46)
10. **PORT HEALTH AND PUBLIC PROTECTION BUSINESS PLAN 2016-19 - QUARTER 1 2016/17 PROGRESS REPORT**
Report of the Director of Markets and Consumer Protection.

For Information
(Pages 47 - 68)

11. **DEPARTMENT OF MARKETS AND CONSUMER PROTECTION RISK MANAGEMENT UPDATE**
Report of the Director of Markets and Consumer Protection.
For Information
(Pages 69 - 100)
12. **FUNDING FOR A LOW EMISSION NEIGHBOURHOOD**
Report of the Director of Markets and Consumer Protection.
For Information
(Pages 101 - 104)
13. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
14. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
15. **EXCLUSION OF THE PUBLIC**
MOTION – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of the Schedule 12A of the Local Government Act.

Part 2 - Non-public Agenda

16. **NON-PUBLIC MINUTES**
To agree the non-public minutes of the meeting held on 19 July 2016.
For Decision
(Pages 105 - 106)
17. **OUTSTANDING ACTIONS**
To note the current Non-Public list of Outstanding Actions.
For Information
(Pages 107 - 108)
18. **WAIVER: APPOINTMENT OF URBAN MOBILITY SOLUTIONS FOR THE LOW EMISSION NEIGHBOURHOOD PROJECT**
Report of the Director of Markets and Consumer Protection.
For Information
(Pages 109 - 112)
19. **DEBT ARREARS - PORT HEALTH AND ENVIRONMENTAL SERVICES PERIOD ENDING 30 JUNE 2016**
Joint report of the Director of Open Spaces, the Director of the Built Environment, and the Director of Markets and Consumer Protection.
For Information
(Pages 113 - 120)
20. **REPORT OF ACTION TAKEN BETWEEN MEETINGS**
Report of the Town Clerk.
For Information
(Pages 121 - 122)

21. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
22. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERED URGENT AND WHICH THE COMMITTEE AGREES SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

PORT HEALTH & ENVIRONMENTAL SERVICES COMMITTEE

Tuesday, 19 July 2016

Minutes of the meeting of the Port Health & Environmental Services Committee held at the Guildhall EC2 at 11.30 am

Present

Members:

Wendy Mead (Chairman)	Andrew McMurtrie
Jeremy Simons (Deputy Chairman)	Barbara Newman
Keith Bottomley	Ann Pembroke
Deputy Bill Fraser	Delis Regis
Anne Fairweather	Deputy John Tomlinson
Graeme Harrower	John Scott
Alderman Peter Hewitt	Mark Wheatley
Wendy Hyde	Philip Woodhouse
Vivienne Littlechild	

Officers:

David Arnold	- Town Clerk's Department
Natalie Evans	- Chamberlain's Department
Jenny Pitcairn	- Chamberlain's Department
Julie Smith	- Chamberlain's Department
Sam Cook	- Remembrancer's Office
Carolyn Dwyer	- Director of the Built Environment
Jim Graham	- Department of the Built Environment
David Smith	- Director of Markets & Consumer Protection
Jon Averbs	- Department of Markets & Consumer Protection
Rachel Sambells	- Department of Markets & Consumer Protection
Gary Burks	- Superintendent, City of London Cemetery & Crematorium
Esther Sumner	- Open Spaces Department
Howard Hillier-Daines	- City Surveyor's Department

1. APOLOGIES

Apologies for absence were received from Deputy John Absalom, Dennis Cotgrove, Karina Dostalova, Peter Dunphy, George Gillon, Deputy Stanley Ginsburg, Professor John Lumley, Alderman Julian Malins, Hugh Morris, Henrika Priest, Deputy Richard Regan, and Deputy James Thomson.

2. MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA

There were none.

3. **MINUTES**

RESOLVED – That the public minutes and non-public summary of the meeting held on 23 May 2016 be approved, subject to addition of a Member's apologies for absence.

Noise Pollution

The Committee noted that a briefing regarding the outcome of a meeting with Transport for London to discuss noise and other matters relating to the London Underground network was circulated to all Members after the last meeting. A letter recently sent to TfL's Managing Director of London Underground from the Chairmen of this Committee and the Planning and Transportation Committee would also be circulated for all Members' information after the meeting.

4. **WARDMOTE RESOLUTIONS**

The Committee received two resolutions arising from the Annual Wardmotes of Bishopsgate and Broad Street. Members were advised that the provision of charging facilities for electric vehicles in car parks and at taxi ranks across the City of London would be reviewed and reported back the Committee, although there were currently no plans for their introduction in Bishopsgate. A Member added that she had received requests from residents for electric charging points in the Ward of Bishopsgate, which the Director would look into.

The Director of Cleansing Operations added that action was being taken to discourage smokers from littering and streets were being cleared of cigarette litter regularly.

RESOLVED – That the resolutions arising from the Annual Wardmotes of Bishopsgate and Broad Street be noted.

5. **OUTSTANDING ACTIONS**

RESOLVED – That the list of current Outstanding Actions be noted.

6. **HOUSING AND PLANNING ACT**

The Committee received a report of the Remembrancer that advised Members of the new regulatory functions conferred by the Housing and Planning Act 2016 with respect to landlords, letting agents and property managers in the private sector.

RESOLVED – That the new consumer protections falling within the remit of the Committee be noted.

7. **REVENUE OUTTURN 2015/16**

The Committee received a joint report of the Chamberlain, Director of the Built Environment, Director of Markets and Consumer Protection, and the Director of Open Spaces that compared the revenue outturn for the services overseen by the Committee in 2015/16 with the final budget for the year.

In response to a Member's question regarding the donation of £15,000 from the Port Health service to the Thames Estuary Partnership (TEP), the Director advised that Environment Agency funding of the TEP had been withdrawn. He

added that the City of London Corporation was one of few TEP members not to have provided funding previously and that future regular donations would be looked into as the TEP was a useful partnership that brought together all interested parties to promote and improve access to the River.

RESOLVED – That the revenue outturn 2015/16 and the proposed carry forward of underspendings to 2016/17 be noted.

8. RESPONSIBLE PROCUREMENT STRATEGY 2016-19

The Committee received a report of the Chamberlain that set out the Responsible Procurement Strategy to support the Air Quality Strategy. Members noted that the new Strategy would increase the use of low emissions vehicles and reduce environmental impact by sourcing sustainable food, timber and other goods and by optimising environmental management practices.

In response to a Member's question regarding the use of paper cups at Guildhall, the Assistant Director of Cleansing Operations advised that he was meeting with Keep Britain Tidy shortly to discuss the options for recycling paper coffee cups. The Chamberlain added that Guildhall catering contracts were currently being reviewed prior to their renewal dates in two years' time. The new contracts would include a requirement for the use of recyclable materials. She added that re-usable cups for use in the Guild café had recently been acquired from the same company that supplied the City of London School for Girls.

In response to a question from the Deputy Chairman regarding the need to encourage other local business to follow best practice, the Director of Port Health and Public Protection advised that the CityAir programme had been successful and would continue to promote responsible procurement. The Assistant Director of Cleansing Operations advised that the Corporate Transport Group promoted the use of low emission and cycle-safe vehicles by ensuring that diesel vehicles were only selected if there was no practical alternative and a detailed business case was now required from anyone needing to procure a diesel vehicle. He added that the Greater London Authority was encouraging boroughs to amend their strategies to get commercial businesses to recycle food waste efficiently.

In response to a Member's question regarding light pollution from a construction site on London Wall, the Director of the Built Environment advised that this would be looked into.

RESOLVED – That the Responsible Procurement Strategy to support the Air Quality Strategy be noted.

9. REPORT TO AUDIT AND RISK MANAGEMENT COMMITTEE ON AIR QUALITY

The Committee received a report of the Director of Markets and Consumer Protection regarding the Audit and Risk Management Committee's deep dive review into how air quality matters are being handled by the City Corporation. The Director advised that air quality had been identified as a priority issue by

the new Mayor of London. In addition, the Greater London Authority had introduced criteria for London local authorities to be awarded 'exemplar borough' status in action being taken against air pollution. The City Corporation hoped to achieve this by continuing to demonstrate that the City was doing above and beyond what was expected for statutory compliance to improve air quality and reduce public exposure to pollutants.

In response to a Member's question regarding the effect of Brexit, the Director advised that the infraction process had been issued by the EU to the Government. The Department for Environment, Food and Rural Affairs had informed the Mayor of London that, under the Localism Act, London would be expected to pay its share of any fine. The Mayor had informed the City Corporation and other London Boroughs that he intended to pass this on pro-rata to them. The City Corporation was already demonstrating that it was going above and beyond the statutory requirements and consequently should have a good defense against any such action. As the infraction process would be challenged by the Government, which would take some time, Brexit might negate any impact on the UK.

RESOLVED – That the report be noted.

10. **DRAFT CITY OF LONDON NOISE STRATEGY 2016-26**

The Committee considered a report of the Director of Markets and Consumer Protection that sought approval for the proposed draft City of London Noise Strategy 2016-2026 to undergo external consultation until 17 October 2016. Members noted that comments could be provided to the report author (Pollution Team Manager, Department of Markets and Consumer Protection) throughout the consultation process, which would include consultation via the public website and contact with local businesses, Residents' Associations and neighbouring boroughs.

In response to Members' questions and concerns regarding noise from regular and ad hoc events, the Director advised that the City Corporation's events policy would be taken into account in the Strategy. The impact on Sunday morning church services would also be looked into.

RESOLVED – That the attached draft Noise Strategy to undergo external consultation until 17th October 2016, subject to any comments received at your meeting and a further report will be presented to your 24 January 2017 meeting to approve the subsequent new strategy, be approved.

11. **PORT HEALTH OFFICES - LAND & PREMISES, RIVERSIDE ROAD, CHARLTON, LONDON - RENEWAL OF LEASE**

The Committee considered a report of the Director of Markets and Consumer Protection regarding the terms of a new lease for the Port Health offices at Riverside, Charlton following the expiry of a the lease in December 2015.

RESOLVED – That authority to be delegated to the Town Clerk, in consultation with the Chairman and Deputy Chairman, to consider the terms for a new lease for the Port Health Offices at Riverside, Charlton.

12. **FOOD STANDARDS AGENCY AUDIT 2015**

The Committee received a report of the Director of Markets and Consumer Protection that summarised the findings of an audit of the City of London Corporation's Food Safety service by the Food Standards Agency (FSA). Members noted that the two recommendations arising from the audit were being taken up by the Food Safety service.

RESOLVED – That the results of the FSA audit and the Food Service Action Plan be noted.

13. **CITY OF LONDON CEMETERY AND CREMATORIUM RISK MANAGEMENT**

The Committee considered a report of the Director of Open Spaces regarding the management risks faced by the Cemetery and Crematorium division within the Open Spaces Department. Members noted that the Open Spaces Department had one corporate risk and five departmental risks. There were currently eleven risks for the Cemetery and Crematorium division with five reported as amber and six as green.

RESOLVED – That:-

- a) The Cemetery and Crematorium risk register be approved; and
- b) The removal of the green risks from future risk reports to this Committee be approved.

14. **DEPARTMENT OF THE BUILT ENVIRONMENT BUSINESS PLAN 2015-18 QUARTER 4 PROGRESS**

The Committee received a report of the Director of the Built Environment that provided Members with details of the progress made during Period 3 against the 2015/18 Departmental Business Plan for matters relating to Public Conveniences, Waste Collection, Street Cleansing, Waste Disposal and Transport Services.

In response to a Member's question regarding the target for percentage of household waste recycled, the Assistant Director of Cleansing Operations advised that the target would be reviewed and reported back to the Committee during autumn. The current target included garden waste, which was rarely recycled within the City of London as gardens only existed on a small scale in comparison to some neighbouring boroughs. The Assistant Director added that waste from the City Gardens was difficult to recycle as it was often contaminated with litter and dog faeces, which would be rejected by the Materials Recycling Facilities.

RESOLVED – That the progress made during Period 3 against the 2015/18 Departmental Business Plan for matters relating to Public Conveniences, Waste Collection, Street Cleansing, Waste Disposal and Transport Services be noted.

15. **BODY WORN VIDEO TRIAL UPDATE**

The Committee considered a report of the Director of the Built Environment that sought approval to the introduction of body worn video for use by Street Environment Officers (SEO) following a recent successful six month trial.

In response to a Member's question, the Assistant Director of Cleansing Operations advised that following advice from Data Protection Officers the devices were constantly on but footage was wiped afterwards unless SEOs switched their devices to record, in which case footage was recorded from up to 30 seconds before activation.

RESOLVED – That the introduction of body worn video for use by SEOs be approved.

16. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

There were none.

17. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

The Committee congratulated to Port Health Service's rowing team for their performance in the recent Admiral of the Port's race.

18. **EXCLUSION OF THE PUBLIC**

RESOLVED – That under Section 100A(4) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part 1 of Schedule 12A of the Local Government Act.

19. **NON-PUBLIC MINUTES**

RESOLVED – That the non-public minutes of the meeting held on 23 May 2016 be approved.

20. **MARKETS AND CONSUMER PROTECTION DEPARTMENT SERVICE BASED REVIEW UPDATE**

The Committee received a report of the Director of Markets and Consumer Protection regarding the Department's work to achieve the agreed savings from the Service Based Review.

RESOLVED – That the progress being made by the Department of Markets and Consumer Protection in achieving its Service Based Review savings be noted.

21. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

There were none.

22. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERED URGENT AND WHICH THE COMMITTEE AGREES SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

The Chairman reminded the Committee that the bi-annual visit to the City of London Cemetery and Crematorium would be held at 4:30pm on Tuesday 13 September 2016.

The meeting closed at 12.25 pm

Chairman

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Port Health & Environmental Services Committee – Outstanding Actions

Item	Date	Action	Officer(s) responsible	To be completed/ progressed to next stage	Progress Update
1.	7 July 2015	Mobile Shredding Vehicles	Director of Transportation and Public Realm / Director of Port Health & Public Protection	Ongoing	<p>As reported previously, the City of London takes the environmental impact of shredding companies on residents and other City users very seriously and is committed to helping companies to reduce their pollution and noise levels within the Square Mile.</p> <p>Over the last 9 months, City Officers have met regularly with Shred-It, the main operator within the City, to look at the issues and potential solutions. These discussions have generally gone very well and a set of joint aims has been established.</p> <p>September Update The outcome of the last meeting held on 28 July 2016 is referred to in the non-public list of Outstanding Actions. Another meeting is planned for the end of September to further advance the actions.</p>
2.	8 March 2016	Recycling Action Plan	Assistant Director of Cleansing Operations	Complete	<p>The Western Riverside Waste Authority (WRWA) carried out two types of monitoring before and after the Golden Ticket Scheme measuring recycling rates and contamination rates. They showed that the Golden Ticket Recycling draw had no effect on increasing the amount of recycling tonnages collected over the length of the campaign when compared to the same period in 2014/15. It also highlighted similar results with the overall contamination rates across all collection rounds and in</p>

Item	Date	Action	Officer(s) responsible	To be completed/ progressed to next stage	Progress Update
					<p>some areas actually showed an increase in contamination rates.</p> <p>WRWA and the boroughs have, however decided to continue with the Golden ticket scheme, they are changing the focus of the scheme from incentives to rewarding residents as recycle. Additionally some of the boroughs believe that the scheme has assisted in sustaining recycling rates. Although there is no clear evidence to support this.</p> <p>The money used to fund this scheme is part of the on-going WRWA budget which is allocated to recycling communications on an annual basis.</p>
3.	23 May 2016	Noise Pollution from the London Underground	Director of Port Health and Public Protection	Ongoing	<p>A briefing detailing the outcome of a meeting with officers from Transport for London (TfL) during May 2016 was circulated following the previous the Committee meeting.</p> <p>July Update The Chairmen of the Port Health & Environmental Services and the Planning & Transportation Committees have written to TfL to request that the issue of noise in the City of London from the London Underground be looked into as a priority and this was circulated for all Committee Members' information.</p> <p>September Update A positive reply was received from the new MD of London Underground, Mark Wild, and that will be circulated</p>

Item	Date	Action	Officer(s) responsible	To be completed/ progressed to next stage	Progress Update
					<p>separately for the information of Committee Members.</p> <p>A further meeting between officers and TfL was held on 21 July 2016 and a series of quarterly meetings going forward are scheduled to progress matters. It was proposed that a meeting should also be arranged between London Underground, officers and the Barbican Association in September. This meeting will also be attended by three (Barbican) Committee Members on 20 September at TfL's offices where TfL will be explaining how they intend to address the concerns raised particularly in relation to their communications, on-going and proposed project work at the stations (Moorgate and Barbican) and operating noise from the tube affecting the Barbican Estate.</p>
4.	20 July 2016	Provision of charging facilities for electric vehicles	Director of the Built Environment	January 2017	The provision of charging facilities for electric vehicles in car parks and at taxi ranks across the City of London would be reviewed and reported back the Committee.

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Committee:	Date:
Port Health & Environmental Services Committee	20 September 2016
Subject: Period 1 (April-July) Open Spaces Department Business Plan update	Public
Report of: Director of Open Spaces	For Information
Report author: Esther Sumner, Open Spaces Department	

Summary

This report updates Members on the performance of the Cemetery & Crematorium April-July 2016. The Cemetery & Crematorium has continued to perform well and is meeting or exceeding its targets. Income is currently 6% ahead of target.

The Shoot project to secure additional burial space has progressed well. The final planning consents have been agreed. This additional burial space coupled with grave re-use will help to secure the longer term financial sustainability of the Cemetery.

Recommendations

Members are asked to note this report

Main Report

Background

1. The Open Space's Departmental Business Plan for 2016-19 was approved by your Committee on 24 May 2016. That plan included two specific actions and four Performance Indicators for the Cemetery & Crematorium.
2. The Business Plan reflects the departmental vision which is to "Preserve and protect our world class green spaces for the benefit of our local communities and the environment". This is supported by four departmental objectives:
 - a. Protect and conserve the ecology, biodiversity and heritage of our sites
 - b. Embed financial sustainability across our activities by delivering identified programmes and projects
 - c. Enrich the lives of Londoners by providing high quality and engaging, educational and volunteering opportunities
 - d. Improve the health and wellbeing of the community through access to green space and recreation

- The vision for the Cemetery and Crematorium is to provide the City of London Cemetery and Crematorium as a model cemetery and crematorium constituting both a site of excellence in bereavement services, a forerunner in cemetery conservation and the greatest choice of burial and cremation facilities in the UK. This together with the Department's vision and objectives inform and direct the work of the service.

Current Position

- The Cemetery & Crematorium has performed well during the period (April-July) of 2016. There were 296 burials and 1111 cremations, resulting in an income of £1.753M

Key actions from the business plan

- The business plan included two actions specific actions for the Cemetery & Crematorium:

Action	Detail	Milestones 16/17	Milestones 17/18	Milestones 18/19-20/12
Continue to develop and implement strategies that direct the management of our open spaces	Development, drafting, consultation and final production of the Cemetery and Crematorium conservation management plan		Cemetery and Crematorium Conservation Management Plan to Committee for approval – 2017/18	
Ensure sustainable provision of the cemetery and crematorium services	Assess and determine the most efficient and effective way to replace the Crematorium's 4 unabated cremators	Project Gateway submitted – early 2017 for Gateway 1 / 2		Options appraisal completed and funding agreed – 2018/19 Procurement process completed, contract awarded and cremators installed 2020/21
	Complete the soft and hard landscaping on the Shoot.	Hard landscaping – 2016/17		Soft landscaping, planting – 2019 Shoot area being used for burials 2020/2021

6. Work has already commenced to ascertain costings for the removal of the 4 existing unabated cremators and the fitting of two new fully abated ones. This will be used to develop the Gateway reports early in 2017.
7. The Superintendent is pleased to confirm that the good progress on the Shoot has continued. The approval notice for the discharge of planning conditions was received from Newham Council on 2 August. This means that all conditions have been discharged and that in the planning terms, the area can receive burials. The hard landscaping is now complete and the area is being left to settle.
8. The shoot project is an important project for the Cemetery as the creation of this additional burial space coupled with grave re-use secures sufficient burial space to secure a sustainable future for the Cemetery.

Performance Indicators

9. The business plan included twenty four Specific, Measurable, Achievable, Relevant and Time bound (SMART) performance indicators. There were a number which were departmental which applied to the Cemetery:

	2015/16 performance	2016/17 Target	April-July performance
Retain 15 Green Flags and improve the overall band score achieved across our Green Flag sites by 2018/2019.	15 green flag sites overall band scores 46% = 80+ 27% = 75 – 79 27% = 70 - 74	Retain 15 green flags	15 green flags secured. 46% = 80+ 27% = 75 – 79 27% = 70 - 74 The Cemetery & Crematorium was rated 80+ and also received a Green heritage award
Increase the percentage of H&S accidents that are investigated within 14 days.	Feb 15 to Jan 16 = 71%	80%	73% (11/15 across the department)
Increase the percentage of Open Space's staff who state they are at least satisfied with their workplace in the annual staff wellbeing survey.	90.22%	92%	Annual measure – HR plan to do the survey at the end of 2016

10. There were a further four specific indicators for the Cemetery:

	2015/16 performance	2016/17 Target	April-July Performance
Maintain our market share of burials in relation to the Cemetery and Crematorium's seven neighbouring Borough's.	6.9%	At least 6.9%	8.2%
Increase the number of burials.	866	At least 866	296
Increase the number of cremations.	2,516	At least 2,516	816
As a minimum, achieve local risk Cem & Crem income target.	Achieved	£1,4777,000 (April-July)	£1,753,000 Income 6% of above target

Finance

11. Members will note that income in this first period has been particularly strong. This reflects more families choosing graves and interments over cremation. As a result of this strong performance, the Superintendent expects to generate an additional £75,000 of income this year.

Other issues

12. The Superintendent has been working together with the City Surveyor to secure a new letting of the Café at the Cemetery. This is the final stages and it is anticipated that a new tenant will be in place shortly.

Risk

13. The Cemetery & Crematoriums risk register is attached as an appendix. The Superintendent has confirmed that all risks are currently managed and controlled. Your Committee previously agreed the removal of the green risks from the register. There are five remaining amber risks – Financial failure; Deterioration of buildings, plant & machinery; Systems Failure; Extreme Weather and Tree & Plant Disease.

Corporate & Strategic Implications

14. The Business Plan identifies how the department's improvement activities will support the aspirations of the organisation, as reflected in the Corporate Plan.

The Improvement Actions particularly support the organisation's core value of: Working in partnership.

15. Delivering the Business Plan will support the Corporation's strategic aims to:
 - SA2 - Provide modern, efficient and high quality local services, including policing, within the Square mile for workers, residents and visitors
 - SA3 - Provide valued services, such as education, employment, culture and leisure to London and the nation.
16. In addition it will deliver the key policy priorities: KPP2, KPP3, KPP4, and KPP5 as defined in the [Corporate plan](#).

Implications

17. The Cemetery & Crematorium continues to provide an important service to the local community. Performance has been strong and all risks are currently managed.

Conclusion

18. The Cemetery & Crematorium is meeting or exceeding the targets agreed by your Committee. The Superintendent will continue to progress works related to the replacement of the cremators, and this will be the subject of further reports to your Committee.

Appendices

- Appendix 1 – Risk Register
- Appendix 2 – Budget

Background Papers:

Open Spaces Business Plan 2016/17-2018/19




Esther Sumner

Business Manager

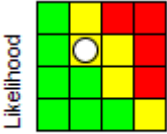
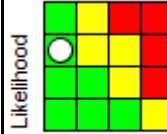
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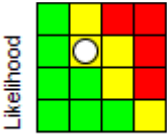
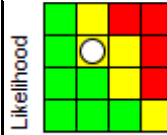
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Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
OSD CC 002 Financial failure 18-Aug-2015 Gary Burks	Causes: Reduction in the number of burials, cremations and grave purchases. Increased unexpected expenditure due to building, plant or machinery failure. Charges too high for local market. Unanticipated high recharges. Insufficient burial space, cremators cannot be operated, poor budget monitoring, increased competition from other providers Event: Net agreed budget position not met at year end. Impact: Financial and reputational impact. Reduction in quality of service.	 Likelihood Impact	6	Cremator maintenance is in a better position than previously. Longer term provision of burial space through reuse and the provision of the Shoot has been identified and reported to Committee. Due to the number of burial options available we can offer a grave at a reasonable price but must consider the whole life costs to ensure that we are charging correctly 06 Jun 2016	 Likelihood Impact	4	31-Mar-2017	 Increased Risk Score

Task no, Title, Date	Description	Latest Note	Managed By	Latest Note Date	Due Date
OSD CC 002 a Burial management	Review undertaken of remaining and additional burial space. Fees comparisons with neighbouring/competitor facilities used to inform annual fees and charges Consideration when setting fees and charges with 'whole life' costs. Effective relationships developed with funeral directors. Monitor any significant changes in competition or ownership of nearby crematoria Ongoing	'Burial Space Plan for the City of London Cemetery' Report to Port Health and Environmental Services Committee in March 2016 setting out current availability and a plan for the next 15 years provision including the new space created by the Shoot and reuse of graves.	Gary Burks	01-Jun-2016	31-Mar-2017
OSD CC 002 b Effective maintenance management	Continue to work with City Surveyors to ensure that planned and preventative maintenance and AWP works for buildings and cremators is effective. Ongoing	Cem & Crem Superintendent will work with City Surveyors, CLPS and industry experts to take a cremator replacement project through the Gateway process in the coming years.	Gary Burks	07-Jun-2016	31-Mar-2017
OSD CC 002 c Budget management	Regular monitoring of income and expenditure and budget adjustments made where appropriate and necessary	Regular and ongoing budget monitoring	Gary Burks	03-Jun-2016	31-Mar-2017

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
OSD CC 003 Deterioration of buildings, plant and machinery 19-Aug-2015 Gary Burks	Causes: Inadequate proactive and reactive maintenance; failure to identify and communicate maintenance issues Event: Operational or public buildings become unusable. Plants and trees die. Impact: Service capability disrupted; ineffective use of staff resources; damage to corporate reputation; increased costs for reactive maintenance	 Likelihood Impact	6	Risk reduced slightly as had three cremators relined and new analytical panels added so cremators operating well, but little change in relation to Buildings other than front gate which is being repaired. 07 Jun 2016	 Likelihood Impact	3	01-Aug-2017	↔ No change

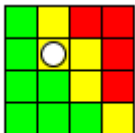
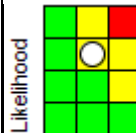
Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
OSD CC 003 a Operational Property Review	Implementation of property review which aims to rationalise operational buildings across open spaces.	City Surveyor's Department attends Senior Leadership meetings to give progress updates. Disused toilets in the C&C declared surplus to operational requirements Rabbits triangle declared surplus	Gary Burks	01-Jun-2016	31-Jul-2016
OSD CC 003 b Building R&M	Develop relationship with City Surveyors and ways of working to ensure AWP works are delivered Regular meetings with CS's Property Facilities Managers Input into 2017+ R&M specification and tender documents	Actions are ongoing. Superintendent attends Customer Working Group inputting into new BRM tender process	Gary Burks	03-Jun-2016	31-Jul-2017

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
OSD CC 009 Systems Failure	Cause: IT systems including telephony fail Effect: Unable to operate as per normal. Unable to access Gower system. Unable to speak to funeral directors, doctors and internally across the site Impact: Burials and cremations may have to be	 Likelihood Impact	6	Recent problems with telephony and computer systems did not have a major impact on services because they were managed through use of mobile phones and manual back-up systems.	 Likelihood Impact	6	31-Mar-2017	↔

01-Jun-2016 Gary Burks	cancelled/no bookings can be taken. Burials in the wrong graves. Loss of income. Reputational damage			Current and target score to match as a lower target score not able to be achieved until corporate IT becomes more reliable and stable. 07 Jun 2016				No change
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Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
OSD CC 009 a Business continuity	Review continuity plans on a regular basis and following significant systems failures Ensure staff are familiar with 'alternate operations' as detailed in the continuity plans IS partners aware that C&C is recognised as a 'critical' service and failures are treated as a priority.	Use of mobile phones and manual systems has been required due to IT issues. IT Business partner escalated issues to 'priority' status due to business impact	Gary Burks	07-Jun-2016	31-Mar-2017

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Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score	Risk Update and date of update	Target Risk Rating & Score	Target Date	Current Risk score change indicator
OSD CC 010 Extreme weather 21-Jun-2016 Gary Burks	Cause: Strong winds causing significant tree damage within the cemetery and crematorium landscape Effect: Roads closed, exclusion of the public, disruption to funerals Impact: Significant cost to division and possible loss of income/ negative publicity	 Likelihood Impact	6 There is a residual significant risk as we can do little to change the course of nature, but have systems in place and experienced staff to deal with any such incident 21 Jun 2016	 Likelihood Impact	6 31-Mar-2017	

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
OSD CC 010 a	A significant storm could (and has in the past) cause	Trees are surveyed and inspected with advisory works carried out. A group of staff within the	Gary Burks	21-Jun-	31-Mar-

Wind damage	significant damage to tree stocks and buildings meaning that for a short period of time the cemetery roads could be closed and block, and one or more buildings could be out of action. Tree inspections Maintain staff with chainsaw qualifications	cemetery team are trained in the operation of chainsaws for clearing fallen trees. It is unlikely that storm damage would close the modern crematorium building but could damage other service chapels and block roads. The cemetery and crematorium service has 6 service chapels.		2016	2017
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Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
OSD CC 011 Tree and plant diseases 21-Jun-2016 Gary Burks	Cause: Tree Disease or infestation Effect: Loss of tree stock or exclusion of the public from certain areas of the cemetery Impact: Partial closure of site or loss of mature trees and the affect that this would have on the landscape	 Likelihood	6	Trees are surveyed and inspected, departmental experts have been setting pheromone traps in vulnerable tree stock 29 Jun 2016	 Likelihood	6	31-Mar-2017	

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
OSD CC 011 a Tree surveys	Regular monitoring of trees Engagement of specialists where required	Continued monitoring and surveys should flag up tree disease or infestation in the early stages, at which time advice will be sought action taken	Gary Burks	21-Jun-2016	31-Mar-2017

Department of Port Health & Environmental Services Local R
(Income and favourable variances a

	Latest Approved Budget 2016/17 £'000	Budget year to date (
		Gross Expenditure £'000	Gross Income £'000
Open Spaces (City Fund) City of London Cemetery and Crematorium	(1,664)	974	(1,477)
TOTAL PORT HEALTH AND ENVIRONMENTAL SERVICES COMMITTEE LOCAL RISK	(1,664)	974	(1,477)

Notes:

1. Income is 6% above target for the Cemetery for the opening quarter of the year due to interments over cremations. Included within these are sales of two "high end" exhumations. Owing to an increase in income at the Cemetery, the Superintendent expects to increase income over target at year-end.

Risk Revenue Budget - 1st April - 31st July 2016
(figures shown in brackets)

Apr-Jul)	Actual year to date (Apr-Jul)				Foreca
Net Expenditure	Gross Expenditure	Gross Income	Net Expenditure	Variance	LAB
£'000	£'000	£'000	£'000	Apr-Jul £'000	£'000
(503)	982	(1,753)	(771)	(268)	(1,664)
(503)	982	(1,753)	(771)	(268)	(1,664)

due to higher than anticipated sales. These sales include a higher number of families choosing comprehensive graves totalling £50,000.

improve on last year's income figure by at least £75,000, which would lead to income total

Appendix 2

Forecast for the Year 2016/17		Note
Forecast Outturn £'000	Over / (Under) £'000	
(2,027)	(363)	1
(2,027)	(363)	

opening graves and

work coming in at £363,000

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Committee:	Date:
Port Health & Environmental Services	20 September 2016
Subject: Department of the Built Environment(Cleansing Services) Business Plan Progress Report for Period 1 (April – July), 2016/17	Public
Report of: Director of the Built Environment	For Information
Report author: Jim Graham, Department of the Built Environment	

Summary

This report sets out the progress made during Period 1 (April – July) against the 2015/18 DBE Business Plan for Public Conveniences, Waste Collection, Street Cleansing, Waste Disposal and Transport Services. It details what has been achieved, and the progress that has been made against the departmental objectives and key performance indicators.

At the end of July 2016 the Department of Built Environment was £208k (7.4%) underspent against the local risk budget to date of £2.8m, over all the services now managed by the Director of Built Environment covering the Port Health & Environmental Services Committee. Appendix B sets out the detailed position for the individual services covered by this department.

Overall the Director of Built Environment is currently forecasting a yearend underspend position of £138k (2.1%) for her City Fund services.

Recommendations

Members are asked to:

- note the content of this report and the appendices
- receive the report.

Main Report

Background

1. The 2015-18 Business Plan of the Department of the Built Environment was approved by this committee on 05 May 2015. As agreed, periodical progress reports will be provided.

Key Performance Indicators

2. During Period 1 (April - July) of this Business Plan, the management team is monitoring five Key Performance Indicators (KPIs) relevant to the work of this Committee (shown in Appendix A). Performance against the departmental KPIs was mixed, with performance against NI191 (the amount of residual domestic waste per household) being slightly under target for the quarter, NI192 (percentage of domestic waste recycled) continuing to be significantly under

target, and TPR1 (the number of failing KPIs on the Refuse and Street Cleansing contract) failing for the first time since the contract commenced in October 2011.

3. Based on the results of this period the overall figure for NI191 for the year would be within 35kg of the rigorous local target set for the year. This does not take into account any upward adjustment of the housing stock figure used to calculate this KPI which may take place during the year as new residential properties are added.
4. The progress of the Recycling Action Plan put in place to improve NI192 performance was detailed in a separate report to this Committee in January 2016. Steady progress against this plan continues with the overall percentage of household waste recycling in this period being slightly up on the same period from 2015/16.
5. Our NI195 KPI (measuring the amount of land with unacceptable level of litter, detritus, fly tipping and graffiti), which is independently monitored by Keep Britain Tidy, achieved well above the target when measured in July, with only 0.41% of all 300 areas surveyed failing to meet the required standards of cleanliness.
6. For the first time since the Street Cleansing and Refuse Collection contract commenced in October 2011 the TPR1 KPI has failed to reach the satisfactory level. Of the suite of 12 KPIS used to measure the contract performance Amey are required to pass 11 of these each month. In April they failed 1 KPI, in May they failed 3, in June they failed 2, and the decision for July has not yet been made due to annual leave commitments. This is disappointing and officers are working with Amey to bring the contract performance back to a satisfactory level. Officers believe that these failures are due to Amey having not filled vacant management and supervisory positions in the contract management. Officers have met with senior representatives of Amey and stressed the importance that the full management structure as detailed in the contract is in place to support the operation. Officers are also meeting with Amey as part of the contract governance procedure and advising that the payment deduction mechanism is invoked in light of this poor performance.

Objective Updates

7. The City Toilet Finder app, launched in April 2015, continues to be successful with over 10,000 people having downloaded the app since its launch.
8. The bin chipping project is progressing well with all preparatory bin adaptations completed and all the bins on all estates having been chipped and assigned. In total, approximately 270 are chipped and assigned with a further 280 to go (with an additional 60 bins located at one new property). It is scheduled that the remaining bins will all be chipped and assigned before the end of this year. The information gathered will identify properties producing a higher than average amount of waste allowing officers to better target waste reduction activities.

Achievements

9. Officers have been working on the roll out of the new Corporate Transport Policy to all departments. Road shows have been held at all sites across the Corporation from the Heathrow Animal Reception Centre to the port at Tilbury and all Open Spaces in between. A compulsory online training course for all staff has been created and will be launched in September.
10. The slight increase in our NI 195 scores from Keep Britain Tidy, which indicate the percentage of streets with unacceptable levels of litter, detritus graffiti and flyposting, were only slightly higher (0.15%) than they have been since October 2014. This maintains our consistently low level scoring even with the difficulties experienced with the contract as detailed above.
11. We have maintained our Gold Standard accreditation with Transport for London Fleet Operator Recognition Scheme (FORS) which acknowledges excellence in all aspects of safety, fuel efficiency, economical operations and vehicle emissions. This scheme recognises over 4,500 fleets that operate throughout London with only just over 100 of these organisations currently achieving Gold. The FORS scheme is closely linked with CLOCS (Construction, Logistics and Cycle Safety), TfL's work related road risk scheme for lorries, which requires high levels of safety equipment and training for drivers. The City has exceeded the requirements of this scheme in fitting side guards, additional mirrors, audible alarms and cameras to all eligible City vehicles.

Financial and Risk Implications

12. The end of July 2016 monitoring position for Department of Built Environment services covered by Port Health & Environmental Services Committee is provided at Appendix B. This reveals a net underspend to date for the Department of £208k (7.4%) against the overall local risk budget to date of £2.8m for 2016/17.
13. Overall the Director of Built Environment is currently forecasting a year end underspend position of £138k (2.1%) for the City Fund services under her control.
14. The reasons for the significant budget variations are detailed in Appendix B, which sets out a detailed financial analysis of each individual division of service relating to this Committee, for the services the Director of Built Environment supports.
15. The better than budget position at the end of July 2016 is principally due to underspends for Public Conveniences due to reduced pension fund contributions and overtime savings, together with underspends on the main contract due to delays in receiving invoices from the current contractor whilst the contract extension is being discussed, plus additional income received from toilet barriers. There have also been underspends to date within the Street Cleansing service due to budgeted price uplifts on the main cleaning contract being set higher at the estimates review than were eventually required.
16. The Director of Built Environment anticipates this current better than budget position will continue to provide a projected yearend underspend, subject to income activity achieving projected levels.

Appendices

- Appendix A – Period 2 KPI results
- Appendix B – Finance Report

Background Papers

DBE Business Plan 2015-18

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Departmental Key Performance Indicators

	This indicator is performing to or above the target.
	This indicator is a cause for concern, frequently performing just under target.
	The indicator is performing below the target.

		Target 16/17	Period 1	Period 2	Period 3	Overall
Transportation & Public Realm						
NI 191	To reduce the residual annual household waste per household.	373.4kg	136.01kg			136.01kg
NI 192	Percentage of household waste recycled.	45%	31.08%			31.08%
NI 195	Percentage of relevant land and highways from which unacceptable levels of litter, detritus, graffiti and fly-posting are visible.	2%	0.46%			0.46%
TPR1	No more than 1 failing KPIs, per month on new Refuse and Street Cleansing contract	<4 per period	6*			6
Comments:						
NI191: This figure is only slightly over the target for the year and may be brought down with any upward adjustment of the housing stock figure used to calculate this KPI.						
NI192: The reviewed and updated Recycling Action Plan is currently being implemented and it is anticipated that this will lead to an increase in the recycling rate.						
TPR1: Results for July are still outstanding but this indicator has already missed its target. Meetings are being held with Amey to draw up a plan to bring this back on track.						
DM7	To manage responses to requests under the Freedom of Information act within 20 working days. (Statutory target of 85%)	85%	98%			98%

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Department of Built Environment Local Risk Revenue Budget - 1st April to 31st July 2016
(Income and favourable variances are shown in brackets)

Appendix B

	Latest Approved Budget 2016/17 £'000	Budget to Date (Apr-Jul)			Actual to Date (Apr-Jul)			Variance Apr-Jul £'000
		Gross Expenditure £'000	Gross Income £'000	Net Expenditure £'000	Gross Expenditure £'000	Gross Income £'000	Net Expenditure £'000	
Port Health & Environmental Services (City Fund)								
Public Conveniences	609	442	(160)	282	349	(177)	172	(110)
Waste Collection	149	345	(297)	48	335	(320)	15	(33)
Street Cleansing	3,836	1,677	(128)	1,549	1,625	(117)	1,508	(41)
Waste Disposal	730	387	104	491	386	101	487	(4)
Transport Organisation	126	84	(31)	53	61	(24)	37	(16)
Cleansing Management	382	105	0	105	103	0	103	(2)
Director and Support	739	266	0	266	266	(2)	264	(2)
TOTAL PORT HEALTH & ENV SRV COMMITTEE	6,571	3,306	(512)	2,794	3,125	(539)	2,586	(208)

Forecast for the Year 2016/17			Notes
LAB £'000	Forecast Outturn £'000	Over / (Under) £'000	
609	576	(33)	1
149	119	(30)	
3,836	3,778	(58)	2
730	743	13	
126	125	(1)	
382	328	(54)	3
739	764	25	
6,571	6,433	(138)	

Notes:

- Public Conveniences** - favourable variance to date relates to salary savings on pension fund contributions and overtime; underspends on the main contract due to delays in receiving invoices from the current contractor whilst the contract extension is being discussed; and additional income received from toilet barriers.
- Street Cleansing** - favourable variance to date and year end forecast relates mainly to the budgeted price uplift on the main cleaning contract being set higher than was eventually required.
- Cleansing Management** - favourable year end outturn relates mainly to staffing vacancies.

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Agenda Item 8

Committee(s)	Dated:
Planning & Transportation Committee – For Information	13092016
Port Health & Environmental Services Committee – For Information	20092016
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 and Port Health and Environmental Services Committees 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.

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 have been no changes in the list of Corporate or Red risks managed by the department.

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

- CR20 - Road Safety (Current risk: RED – unchanged)
[Planning & Transportation Committee]

There is one Departmental RED Risk managed by the Department of the Built Environment. This is:

- DBE- TP-01 - Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business (Current Risk: RED - unchanged).
[Port Health & Environmental Services Committee]

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 Management is a standing item at the Senior Leadership Team meetings.
3. Risk owners are consulted and risks are reviewed between SLT meetings with the updates recorded in the corporate (Covalent) system.

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 and, therefore, Planning & Transportation Committee and/or Port Health and Environmental Services Committee.
5. 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.

Risk Management Process

6. Risk and control owners are consulted regarding the risks for which they are responsible quarterly. Historically changes to risks have been reported to Members as part of the following Business Plan report. In future Members will receive this report quarterly (Planning & Transportation Committee) or 4-monthly (Port Health and Environmental Services Committee).
7. All significant risks (including Health & Safety risks) identified by the Department have been added to the Covalent Corporate Risk Management System.
8. Many of the department's risks have "Business As Usual" mitigations. These mitigations are ongoing and in Appendix 1 they do not have either a "Latest Note" or a "Latest Note Date". Because the Covalent system requires that they have a Due Date the fictitious (and meaningless) date of 31 Dec 2999 has been used.

Significant Risk Changes

9. Regular assessments of risks have identified no increase or decrease in the Risk Score any Departmental risk.

Identification of New Risks

10. 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.

11. 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.
12. No new risks have been identified since the last report. The impact of Brexit has been noted in several risk reviews (in particular in DBE-DS-01 relating to the viability of the District Surveyor's Division) however it is too early to assess the impact in most areas and will be kept under review.

Impact of implementing the future City and the Place Steering Group

13. The Department's Business Plan for 2016/19 is focused on the Future City with a vision of 'creating and facilitating the leading future world class City'

It is critical that the department, whilst focused on its vision, continues to deliver its key services and facilitates delivery by our partners. Our risk registers are currently aligned to this work.

However, as we develop long term ambitious strategies for the Future City through the cross Departmental Chief Officer Place Steering Group this will lead to identification of more strategic risks and opportunities, which in turn will inform those strategies.

The Director of the Built Environment will raise this at the next Audit and Risk Management Committee Informal Risk Challenge session to start to consider how we deal with strategic risks and use them to inform our strategies.

Summary of Key Risks

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

- **Road Safety (CR20) which is RED**
[Planning & Transportation Committee]

This is the risk related to road traffic collisions.

This risk is assessed as having impact 8 (Critical) and Likelihood 4 (Likely). Once the Interim Bank Junction redesign has been implemented (scheduled for completion in April 2017) the risk will be reduced to Amber.

The Target date for risk reduction is unchanged with both the longer term and experimental schemes to improve Bank Junction on track. The Road Danger Campaign is now in final draft. The review of future joint working between the City Police and the City's road safety team has been incorporated into the One Safe City programme and the Due Date adjusted accordingly.

15. The Department of the Built Environment's Risk Register includes one RED risk.
This is:

- **Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business (DBE-TP-01)**
[Port Health & Environmental Services Committee]

This risk is assessed as having Impact 8 (Critical) and Likelihood 2 (Unlikely).

Good progress has been made in implementing the Corporate Transport Policy and all staff will be undertaking a formal Training Needs assessment followed, for those who drive and their managers, by an online training session covering the new policy. All drivers will be required to register their licence details to ensure ongoing validity. The target is to complete 80% of the training and licence checking by the end of October.

The Target Date of 1 September has been met for the formal roll out of the policy however a review of the risk itself has concluded that it would not be appropriate to downgrade the risk from Red to Amber until 80% of training and licence checking is complete and the Target Date has been revised accordingly.

Conclusion

16. 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

Carolyn Dwyer

Director of the Built Environment

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City of London Corporation Risk Matrix (Black and white version)

Note: A risk score is calculated by assessing the risk in terms of likelihood and impact. By using the likelihood and impact criteria below (top left (A) and bottom right (B) respectively) it is possible to calculate a risk score. For example a risk assessed as Unlikely (2) and with an impact of Serious (2) can be plotted on the risk scoring grid, top right (C) to give an overall risk score of a green (4). Using the risk score definitions bottom right (D) below, a green risk is one that just requires actions to maintain that rating.

(A) Likelihood criteria

	Rare (1)	Unlikely (2)	Possible (3)	Likely (4)
Criteria	Less than 10%	10 – 40%	40 – 75%	More than 75%
Probability	Has happened rarely/never before	Unlikely to occur	Fairly likely to occur	More likely to occur than not
Time period	Unlikely to occur in a 10 year period	Likely to occur within a 10 year period	Likely to occur once within a one year period	Likely to occur once within three months
Numerical	Less than one chance in a hundred thousand (<10-5)	Less than one chance in ten thousand (<10-4)	Less than one chance in a thousand (<10-3)	Less than one chance in a hundred (<10-2)

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(B) Impact criteria

Impact title	Definitions
Minor (1)	Service delivery/performance: Minor impact on service, typically up to one day. Financial: financial loss up to 5% of budget. Reputation: Isolated service user/stakeholder complaints contained within business unit/division. Legal/statutory: Litigation claim or find less than £5000. Safety/health: Minor incident including injury to one or more individuals. Objectives: Failure to achieve team plan objectives.
Serious (2)	Service delivery/performance: Service disruption 2 to 5 days. Financial: Financial loss up to 10% of budget. Reputation: Adverse local media coverage/multiple service user/stakeholder complaints. Legal/statutory: Litigation claimable fine between £5000 and £50,000. Safety/health: Significant injury or illness causing short-term disability to one or more persons. Objectives: Failure to achieve one or more service plan objectives.
Major (4)	Service delivery/performance: Service disruption > 1 - 4 weeks. Financial: Financial loss up to 20% of budget. Reputation: Adverse national media coverage 1 to 3 days. Legal/statutory: Litigation claimable fine between £50,000 and £500,000. Safety/health: Major injury or illness/disease causing long-term disability to one or more people Objectives: Failure to achieve a strategic plan objective.
Extreme (8)	Service delivery/performance: Service disruption > 4 weeks. Financial: Financial loss up to 35% of budget. Reputation: National publicity more than three days. Possible resignation leading member or chief officer. Legal/statutory: Multiple civil or criminal suits. Litigation claim or find in excess of £500,000. Safety/health: Fatality or life-threatening illness/disease (e.g. mesothelioma) to one or more persons. Objectives: Failure to achieve a major corporate objective.

(C) Risk scoring grid

	X	Impact			
		Minor (1)	Serious (2)	Major (4)	Extreme (8)
Likelihood	Likely (4)	4 Green	8 Amber	16 Red	32 Red
	Possible (3)	3 Green	6 Amber	12 Amber	24 Red
	Unlikely (2)	2 Green	4 Green	8 Amber	16 Red
	Rare (1)	1 Green	2 Green	4 Green	8 Amber

(D) Risk score definitions

RED	Urgent action required to reduce rating
AMBER	Action required to maintain or reduce rating
GREEN	Action required to maintain rating

This is an extract from the City of London Corporate Risk Management Strategy, published in May 2014.

Contact the Corporate Risk Advisor for further information. Ext 1297

October 2015

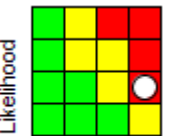

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DBE Corporate & Departmental Level Risks (Port Health & Environmental Services Committee)


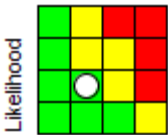

Appendix 2

Report Author: Richard Steele

Generated on: 05 September 2016

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DBE-TP-01 Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business Page 41 13-Mar-2015 Steve Presland	Cause: A member of staff/contractor who is unfit or unqualified to drive causes ... Event: a road traffic collision which results in ... Impact: death or injury; financial claim	 Likelihood Impact	16	Training needs assessments will commence in September with the aim of completing these by the end of September. Drivers and those managing drivers will be required to complete an online training session and this training will also commence in September. All drivers will be required to register their driving licence details to ensure on-going validity. The target is to complete 80% of training and licence checking by the end of October at which point the risk should be reduced to Amber. 23 Aug 2016	 Likelihood Impact	8	31-Oct-2016	↔ No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-01a	Approve Corporate Transport Policy [NB this depends on HR and Chief Officers]	ACTION COMPLETED 16 Jul 15	Oliver Sanandres	29-Apr-2016	31-Aug-2015
DBE-TP-01b	Implement Corporate Transport Policy (including establishing monitoring regimen)	Training needs assessments will commence in September with the aim of completing these by the end of September. Drivers and those managing drivers will be required to complete an online training session and this training will also commence in September. All drivers will be required to register their driving licence details to ensure on-going validity. The target is to complete 80% of training and licence checking by the end of October at which point the risk should be reduced to Amber.	Steve Presland	23-Aug-2016	31-Oct-2016

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DBE-TP-07 A major incident, such as flooding or fire, makes Walbrook Wharf unusable as a depot 27-Mar-2015 Steve Presland	Cause: A major incident, such as flooding or fire Event: Walbrook Wharf unusable as a depot Impact: Unable to clean streets; collect waste or maintain City of London Police vehicles. City of London unable to meet its contractual arrangements with third parties who use the depot for their commercial purposes.	 Likelihood Impact	4	The risk is unchanged. A Business Continuity exercise is scheduled for autumn 2016. 25 Aug 2016	 Likelihood Impact	4		 No change

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Location no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-07a Business Continuity exercise	Conduct annual DBE business continuity exercise	Rescheduled for autumn 2016.	Steve Presland	25-Aug-2016	30-Nov-2016

Committee(s)	Dated:
Port Health and Environmental Services	20 September 2016
Subject: Novation of Hazardous Waste Collection and Disposal Contract	Public
Report of: Director of the Built Environment	For Decision
Report author: Jim Graham, Department of the Built Environment	

Summary

To seek your Committee's approval for the City to novate the Hazardous Waste Collection and Disposal Service contract to Biffa Waste Services Limited following the acquisition of PHS Chemical Waste Ltd (formally PHS Waste Management).

Recommendation(s)

Members are asked to agree that:

- Approval be given to the contract originally let to PHS Waste Management Ltd being novated to Biffa Waste Services Ltd.

Main Report

Background

1. The City currently acts as the lead authority for the provision of a London-wide Hazardous Waste Collection and Disposal Service. This service is used by all of the London Boroughs, with the exception of Hillingdon, and provides a mechanism for the collection of small quantities of asbestos and chemical wastes from members of the public, registered charities, schools, local authority offices and the Emergency Services.
2. The City has acted as lead authority for this service since 1 April 1998. Prior to this it was administered by the Environment Agency from 1 April 1996 to 31 March 1998. They in turn succeeded the former London Waste Regulation Authority and the Greater London Council respectively. It is believed that this particular service has been provided within London since 1966.
3. In 2010 a tendering exercise was carried out for the provision of a Hazardous Waste Collection and Disposal Service. Your Committee agreed to award a five year contract to PHS Waste Management for the collection and disposal of chemicals and asbestos which commenced on 01 October 2010. The contract was for an initial five year period, with an option to extend by a further five years subject to satisfactory performance and further authority being obtained from the participating boroughs and this Committee.

4. Authority was obtained from your Committee on 18th November 2014 and subsequently all 32 of the participating boroughs, including the City agreed to the contract extension and therefore the contract with PHS Waste Management was extended for five years commencing 01 October 2015.
5. Officers were informed in October 2015 that Biffa Waste Services had acquired PHS Chemical Waste Ltd (formally PHS Waste Management) with effect from 29 September 2015.
6. Comptroller & City Solicitors were informed of the acquisition and the contacted Chamberlain's Department asking them to undertake a financial appraisal of Biffa Waste Services. The assessment was undertaken and Biffa waste Services were assessed as being financially satisfactory to undertake the hazardous waste contract.
7. Comptroller and City Solicitors then proceeded in November 2015 to obtain consent for the novation to Biffa Waste Services from all of the authorities participating in the pan-London Agreement. This turned out to be a lengthy exercise with the final consent not received until June 2016.

Current Position

8. Consent for the contract Novation has been received from all participating boroughs of the London Wide Hazardous Waste Collection & Disposal Service.
9. Comptroller & City Solicitors have obtained signed Novation agreements have from Personal Hygiene Services Ltd and Biffa Waste Services Ltd.

Proposals

10. That approval is given to the contract originally let to PHS Waste Management Ltd being novated to Biffa Waste Services Ltd.

Implications

11. Biffa waste Services were assessed by Chamberlain's Department as being financially satisfactory to undertake the hazardous waste contract.
12. All current contract prices including schedule of rates will continue as agreed in the existing contract with no additional costs associated to the Novation being incurred.
13. The relationship between the City and each participating authority is governed by the existence of individual Borough Agreements made under Section 5 of the London Government Act 1963 and Section 101 of the Local Government Act 1972. These agreements allow for the City to charge each participating authority for the costs associated with the provision of the service, namely an apportionment of the administrative and fixed charges of both the City and the contractors, paid in advance at the beginning of each anniversary of the contract, together with the costs of the actual collections carried out within that particular

authority's area, paid at the end of each quarter. The estimated cost of the contract for the present financial year is £383,000. The charge to the City for the last financial year was less than £3,000 (equivalent to its proportion of the fixed costs plus collection costs).

14. The service provides an invaluable service for the collection and disposal of an increasing amount of hazardous wastes. This has been recognised by the Greater London Authority within the Mayor's Municipal Waste Management Strategy and the Mayor's Hazardous Waste Strategy. Without this type of service for London, hazardous wastes could be disposed of through less environmentally friendly means such as fly-tipping, via the drainage system or hidden in the general waste stream.
15. The present arrangement within London is unique and cannot be compared with any other hazardous waste service that is carried out within the rest of the UK. It is therefore difficult to compare like for like costs, however a single contract administered by the City on behalf of another 31 other Boroughs is seen as a role model for joint procurement by the GLA.

Conclusion

16. The present contractual and administrative arrangements have provided an essential and reliable service to the participating London authorities. The service has also gained praise from other bodies and other local authorities have used it as a model on which to base their own schemes. The existence of the service has meant a significant amount of hazardous waste generated in London has been managed properly.
17. The City acts as lead authority on behalf of all London Boroughs (with the exception of Hillingdon) for the provision of this service which provides an excellent example of joined up partnership working on a London-wide scale. It also reinforces the City's position of providing services or amenities for the benefit of London as a whole.

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Committee(s)	Dated:
Port Health and Environmental Services	20 September 2016
Subject: Markets and Consumer Protection Business Plan 2016-2019: Progress Report (Period 1)	Public
Report of: The Director of Markets and Consumer Protection	For Information
Report author: Joanne Hill, Department of Markets and Consumer Protection	

Summary

This report provides an update on progress against the key performance indicators (KPIs) and improvement objectives outlined in the Business Plan of the Port Health and Public Protection Division (PH&PP) of the Department of Markets and Consumer Protection (M&CP), for Period 1 (April-July) of 2016-17.

The report consists of:

- Performance against our key performance indicators (KPIs) – Appendix A
- Progress against our key improvement objectives – Appendix B
- Enforcement activity – Appendix C
- Financial information – Appendix D

Key points from the report are that:

- Officers in the Commercial Teams were involved in the promotion of the Food Standards Agency’s National Food Safety Week which focused on sustainability and the reduction of food waste.
- Environmental Health Officers supported, and presented at, the first national IRATA (Industrial Rope Access Trade Association) “Work At Height” seminar held at Guildhall.
- The Trading Standards team has commenced an investigation involving over 200 victims of an investment scam. All victims have been exposed to a secondary fraud which, thanks to the work of the team, has now been stopped in its tracks. Work is underway to help these victims avoid further fraud.
- The draft Noise Strategy 2016-2026 which was approved by your Committee is now out for external consultation.
- The City has been awarded £1 million in funding over 3 years from the Mayor’s Air Quality Fund to establish a Low Emission Neighbourhood in a bid to reduce levels of air pollution in the City.
- At the ports, June and July were the busiest in the last 4 years in terms of the number of consignments received and processed.
- Heathrow Animal Reception Centre income streams have continued to be high and this period has been the Centre’s highest grossing period to date.
- At the end of the July 2016, M&CP was £279k (31.7%) underspent against the local risk budget to date of £0.9m, over all the PH&PP services managed by the Director and covered by the Port Health & Environmental Services Committee. Overall the Director is currently forecasting a year end

underspend position of £65k (3%) for all of the PH&PP City Fund services under his control.

Recommendation(s)

Members are asked to:

- Note the content of this report and its appendices.

Main Report

Background

1. The 2016-19 PH&PP Business Plan sets out eight key performance indicators (KPIs) and sixteen improvement objectives against which the Division's performance will be measured throughout the year.
2. The KPIs and objectives were selected to be representative of the main elements of work carried out.

Current Position

3. To ensure that your Committee is kept informed of progress against the current business plan, progress against KPIs (Appendix A) and key improvement objectives (Appendix B) is reported on a periodic (four-monthly) basis, along with a financial summary (Appendix D). This approach allows Members to ask questions and have a timely input to areas of particular importance to them. Members are also encouraged to ask the Directors for information throughout the year.
4. Progress against the business plan is regularly discussed by Senior Management Groups to ensure any issues are resolved at an early stage.
5. In order to provide further information on the work carried out by PH&PP, each periodic report includes a summary of the enforcement activity carried out (Appendix C).

Air Quality

6. The Risk Register for PH&PP includes Air Quality as a high (red) risk.
7. Air Quality is now also on the Corporate Risk Register and a list of actions to demonstrate mitigation against that risk was reported to the Audit and Risk Management Committee in June 2016.

Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated with long term and short term exposure to nitrogen dioxide. Under certain atmospheric conditions there is a higher probability of poor air quality within the City and it is more likely that residents, workers and visitors would suffer the acute consequences.

8. The consequences, both acute and chronic, may include:
 - An increase in hospital referrals placed upon both emergency services and the NHS for those already suffering from respiratory or cardiovascular conditions (it may also place a strain on City social services).
 - An increase in deaths, particularly of those already suffering from respiratory or cardiovascular conditions (both residents and workers).
 - Economic costs such as acting as a deterrent to businesses coming to London, or staying here, and financial penalties for non-compliance with air quality limits.
 - Persistent poor air quality may affect the longer term health of the City population.
 - Persistent poor air quality may attract adverse media coverage making the City seem a less attractive place to live and work.
9. With the aim of reducing the risk, the City continues to implement the policies detailed within the City of London Air Quality Strategy 2015-2020. The department is also working jointly with the Department of the Built Environment to investigate ways of reducing those factors which create air pollution. A number of other actions have been undertaken during Period 1 and a selection of these is shown in the Enforcement Activity Report at Appendix C.

Operational Property Holdings

10. In accordance with Standing Order 55, PH&PP property holdings are reviewed annually with the City Surveyor and were subject to an in depth review in 2014, as part of the Service Based Review (SBR), from which property-related savings measures were identified. The department's property holdings were also included in the City's Operational Property Review in 2015. Actions taken this year to date, against a specific improvement objective (objective 10), are given in Appendix B.

Corporate & Strategic Implications

11. The monitoring of KPIs and improvement objectives across the Division links to all three of the Strategic Aims set out in the Corporate Plan 2015-19.

Implications

Financial and Risk Implications

12. The end of July 2016 monitoring position for M&CP services covered by the Port Health & Environmental Services Committee is provided at Appendix D. This reveals a net underspend to date for PH&PP of £279k (31.7%) against the overall local risk budget to date of £0.9m for 2016/17.
13. Overall the Director of Markets & Consumer Protection is currently forecasting a year end underspend position of £65k (3%) for all of the PH&PP City Fund services under his control.

14. The reasons for the significant budget variations are detailed in Appendix D, which sets out a detailed financial analysis of each PH&PP service the Director supports.
15. The better than budget forecast position at the end of July 2016 is mainly due to staffing vacancies at the Ports that are taking longer to recruit to than originally envisaged, additional Common Veterinary Entry Document (CVED) income from continued increases in trade at London Gateway, plus additional income at the Heathrow Animal Reception Centre relating to passports for pets services.
16. The Director anticipates this current better than budget position will continue to year end, subject to income activity maintaining its current high performance.

Consultees

17. The Town Clerk and the Chamberlain have been consulted in the preparation of this report.

Appendices

- Appendix A – Performance Management Report Period 1 2016-17
- Appendix B – Progress against Key Objectives Period 1 2016-17
- Appendix C – Enforcement Activity Period 1 2016-17
- Appendix D - Financial Statements: Department of Markets and Consumer Protection, Port Health & Public Protection Division

Background Papers

Port Health & Public Protection Business Plan 2016-2019
(PH&ES Committee 23 May 2015)

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Performance Management Report 2016-17
Period One: 1 April – 31 July 2016

Department of Markets and Consumer Protection
Port Health and Public Protection Division

Progress against Key Performance Indicators

	This indicator is performing to or above the target. (100% of the target or higher)
	This indicator is a cause for concern, frequently performing just under target. (85% - 99% of the target)
	The indicator is performing below the target. (<85% of the target)

	All PH&PP Service Areas	Actual 2015-16			Target 2016-17	Actual 2016-17	Status
		Period 1	Period 2	Period 3		Period 1	
PI 1	Achieve an overall sickness absence level of no more than 6 days per person by 31 March 2016, and a total of no more than 696 days (<232 days per period) across all PH&PP Service areas.	180 days	158 days	228 days	<232 days per period	225 days	😊
PI 2	a) 90% of debts to be settled within 60 days.	93%	91%	82%	90%	78%	😐
	b) 100% of debts settled within 120 days.	96%	97%	91%	100%	85%	😐

PI 1: Target based upon Full Time Equivalent (FTE) members of PH&PP staff at 31 December 2015 (no. 116).

PI 2a: The majority of outstanding debts incorporated in this result were still less than 61 days old at the end of July 2016. It is, therefore, still possible that they will be settled within 60 days.

PI 2b: Debts older than 120 days relate mainly to Port Health and the HARC. All debtors with debts more than 120 days old are currently being chased.



		Actual 2015-16			Target 2016-17	Actual 2016-17	Status
		Period 1	Period 2	Period 3		Period 1	
PI 3 *1	Port Health 95% of imported food consignments that satisfy the checking requirements cleared within five days:	All products: 93.9%	All products: 95.5%	All products: 93.1%	a) Non-fish products 95%	97%	😊
					b) Fish products 85%	90%	😊
PI 4 *2	Food Safety Over the course of the year, secure a positive improvement in the overall Food Hygiene Ratings Scheme (FHRS) ratings profile for City food establishments compared to the baseline profile at 31 March 2013.	N/A	N/A	End of year result: Improved profile	Improved profile	N/A	-
PI 5	HARC Less than 1% of missed flights for transit of animals caused by the Animal Reception Centre (ARC).	0%	0.05%	0%	<1%	0%	😊

*1 New indicator for 2015-16

*2 Annual indicator

PI 3: Time elapsed between receipt of documents/presentation of container to release, on electronic cargo handling system. For 2016-17, this indicator has been split into separate measures for non-fish and fish products.

PI 4: The purpose of this indicator is to show an overall improvement in the FHRS rating profile across all City food establishments by the end of the year. The target cannot be expressed as a specific percentage since any increase will indicate achievement.

		Actual 2015-16			Target 2016-17	Actual 2016-17	Status
		Period 1	Period 2	Period 3			
PI 6	Pollution Team 90% justifiable noise complaints investigated result in a satisfactory outcome.	92.5%	94.7%	96.8%	90%	96.4%	
PI 7	Trading Standards Respond to all victims of investment fraud identified to the Trading Standards Service within 5 working days to advise on the risk of repeat targeting, assess the need for safeguarding interventions and initiate the safeguarding process where appropriate.	N/A	N/A	N/A	100%	100%	
<p>PI 6: The percentage of total justified noise complaints investigated resulting in noise control, reduction to an acceptable level and/or prevention measures; complaints may or may not be actionable through statutory action.</p> <p>PI 7: New indicator for 2016-17</p>							

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Progress against Port Health & Public Protection key improvement objectives 2016-2017

Ref:	Objective	Progress to date
1	Pollution Team to implement the policies and actions set out in the City of London Air Quality Strategy, 2015–2020.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> • Notification of funding for Low Emission Neighbourhood of £1 million over 3 years has been received. • Monthly idling engine action day are being held: June's day featured on Radio 4's 'World at One' and July's on CNN. • An 'Action on Air Quality' event was held at the Guildhall to roll out a work programme with Barts Health NHS Trust to public health professionals. • Officers have given presentations on air quality to Parliamentary and Scientific Committees. • A 'Responsible Procurement Strategy' has been adopted corporately and includes a number of air quality measures including a commitment to purchase non-diesel vehicles unless there is no alternative. The Policy has been widely publicised.
2	Trading Standards Team to collaborate with City of London Police and other relevant partner organisations to tackle economic crime, particularly investment fraud.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> • This is ongoing with the continuing success of Operation Broadway. • Funding has now been made available to recruit an additional Trading Standards Officer to develop the Operation Broadway "model" across Greater London with our partners, agencies and other London local authorities.
3	Public Protection's Commercial Teams to develop services in line with the changes that followed the Service Based Review, including regulation at Smithfield Market.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> • The new structure of the Commercial Teams is now embedded and officers continue to work towards cross-skilling former 'specialist' food and health & safety staff to deal with a variety functions.
4	Complete and implement an agreed Action Plan to address measures identified in the Food Standards Agency Audit of December 2015.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> • Some actions have already been completed and the remainder are approaching completion, as reported to the July PH&ES Committee ('Food Standards Agency Audit 2015').
5	Continue to implement, and monitor progress on delivery of, measures identified as part of the Service Based Review.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> • Work on this objective is ongoing.
6	Produce a revised Port Health Authority Order.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> • Meetings have been held between Port Health and the City Solicitors. GIS maps have been drafted and Customs boundaries have been requested from the port operators.

Ref:	Objective	Progress to date
7	Explore opportunities for increased income generation from the Animal Reception Centre and the Public Protection teams.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> This has commenced with the work of one contractor being at draft report stage. Further consultants are to be appointed through City Procurement and the formal tender process.
8	Work with the City Surveyor to agree Mission Critical assets at the HARC and our Port Offices as part of the BRM (Building Repairs and Maintenance) Asset Verification Process.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> Work has been undertaken at the HARC in conjunction with City Surveyors. Feedback from City Surveyors is awaited. The initial draft asset list for the Port Health Service has been requested as a variation to the BRM contract. Further improvements will be provided at a later date by electrical, mechanical and building fabric specialists.
9	Provide input to the renewal of the corporate Building repairs and maintenance (BRM) contract. Work with the City Surveyor to develop procurement strategy and the technical specification and individual Site Data Packs for each of our sites.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> Representatives have provided input at meetings and by follow-up email. The Port Health Assistant Director sits on the Facilities Services Category Management Board.
10	Review our property holdings with City Surveyors Department to ensure that we do not occupy buildings and land in excess of our identified operational need, in accordance with Standing Order 55.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> Work is being undertaken to ensure appropriate property holdings for Port Health including extending the lease at Denton; increasing office space at Manorway; alternative accommodation in the upper river; and early release/alternative accommodation at Tilbury. A review is being commissioned of the land use at Heathrow Animal Reception Centre to optimise any underutilised space. Options to be considered include an export checks facility and provision of more office accommodation for the Animal & Plant Health Agency.
11	Introduce mobile working technology throughout the PH&PP service, in collaboration with the Chamberlain's IT Division.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> The first phase of mobile working has commenced at the Ports allowing officers to update back office systems 'live' and search for reference material and documentation. The first phase of Public Protection's mobile working project, 'Look & Feel', in which officers trialled two types of tablet device was completed and feedback collated. Preparations for the next phase, in which officers will trial a new electronic Food Hygiene inspection form, are nearly complete with the final technical issues being worked out with IT / Agilisys.
12	Complete transition of all M&CP business risks on to the Covalent database. Populate the Covalent system with M&CP Top X risks.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> Port Health business risks have been prepared for input into Covalent. All but three of the Health & Safety Risk Assessments have been reviewed and updated.

Ref:	Objective	Progress to date
		<ul style="list-style-type: none"> All Public Protection risks are on the Covalent database. They are regularly reviewed and updated as necessary.
13	Implement the priorities outlined in the Departmental Workforce Plan.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> The Departmental Workforce Planning Group continues to progress this objective.
14	Senior managers will review and implement all relevant actions in the M&CP liP Business Improvement Plan and work towards providing evidence for the relevant indicators to achieve the Gold liP Standard.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> The CoL has decided to postpone accreditation of the Gold standard until 2018. In the meantime, however, evidence for the indicators continues to be documented and collated.
15	Complete the training needs analysis identified for Commercial Teams in line with recent service changes and forthcoming changes in the assessment of food regulators' competency to complete official food controls. Include succession planning, workforce capability and career progression.	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> All Commercial Team officers undertaking official food controls work have worked through the Food Standards Agency's Competency Framework and assessment which has identified any specific training needs. Succession planning has identified officers to receive leadership and management training.
16	Deliver a Leadership Development Programme for a cohort of 10-12 current and future managers. <i>(Linked to Corporate Equalities priority within the Equalities and Inclusion Action Plan 2016)</i>	<p>Period 1: April – July 2016</p> <ul style="list-style-type: none"> A programme was delivered via a series of one day workshops for a group of 15 current and future managers in the department. A further development day and parallel work has been organised to lead into the 2016-17 business planning process.

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Port Health & Public Protection Enforcement Activity Period 1 (April–July) 2016-17

Food Safety	2015-2016 Annual Total	2016-17 Target (where applicable)	Period 1 2016-17 Total
Programmed inspections	<u>Food Hygiene:</u> 1,014	<u>Food Hygiene:</u> 920	<u>Food Hygiene:</u> 294
	<u>Food Standards:</u> 303	<u>Food Standards:</u> 617	<u>Food Standards:</u> 83
Hygiene Emergency Closures	1	N/A	0
Voluntary closures	5	N/A	1
Complaints & service requests received	267	N/A	99
Notices served	13	N/A	3
Prosecutions	0	N/A	0

Period 1 - Food Safety Enforcement Highlights

- The FSA published revised guidance on the safe production of rare burgers (served 'lightly cooked'). We have had a number of instances where the advice within this new guidance has not been followed; this has resulted in a number of **interventions to advise City food businesses** which wish to offer such burgers.
- We were involved in the promotion of the **FSA's National Food Safety Week** which focussed on sustainability and the reduction of food waste. The theme was to encourage food businesses (and consumers) to consider how they can limit the amount of food they waste and direct them to further assistance. An information sheet was designed and continues to be distributed to all food businesses with our enforcement letters. One of our EHOs also gave a presentation on reducing food waste at the Clean City Awards.
- The Senior Authorised Officer at Smithfield Market and one of the Port Health Official Veterinarians delivered **practical meat training** and the associated examination to prospective MSc students from the University of Derby who required it to complete their Environmental Health course. Students spent a whole week in London receiving training on practical food inspection, including meat hygiene.
- The first part of the **mobile working project**, "Look & Feel", was successfully completed with the trial of two handheld tablet devices. The feedback generated has informed the next stage which will see Food Safety EHOs trialling an electronic inspection form on handheld tablets as they carry out their inspections.

Port Health & Public Protection Enforcement Activity Period 1 (April–July) 2016-17

Food Hygiene Rating Scheme (FHRS) – profile of food businesses in the City of London

		Hygiene Rating						Total no. of food businesses in the City included in the FHRS
		5	4	3	2	1	0	
Number (%) of food businesses	March 2013	925 (58%)	345 (22%)	171 (11%)	69 (4%)	61 (4%)	12 (1%)	1583
	August 2013	908 (56%)	378 (23%)	168 (10%)	83 (5%)	67 (4%)	25 (2%)	1629
	29 November 2013	903 (55%)	387 (23%)	172 (10%)	98 (6%)	70 (4%)	24 (2%)	1654
	31 March 2014	880 (53%)	374 (23%)	182 (11%)	104 (6%)	74 (5%)	23 (1%)	1661 <i>(incl. 24 awaiting inspection)</i>
	31 July 2014	898 (54%)	374 (23%)	174 (10%)	102 (6%)	67 (4%)	19 (1%)	1661 <i>(incl. 27 awaiting inspection)</i>
	1 December 2014	919 (55%)	380 (23%)	175 (10%)	92 (6%)	58 (4%)	17 (1%)	1675 <i>(incl. 34 awaiting inspection)</i>
	31 March 2015	960 (57%)	361 (21%)	165 (10%)	88 (5%)	64 (4%)	18 (1%)	1692 <i>(incl. 36 awaiting inspection)</i>
	31 July 2015	1014 (59%)	361 (21%)	158 (9%)	77 (4.5%)	58 (3.5%)	8 (0.5%)	1721 <i>(incl. 45 awaiting inspection)</i>
	30 November 2015	1049 (60%)	360 (21%)	147 (8%)	68 (4%)	57 (3%)	10 (1%)	1748 <i>(incl. 57 awaiting inspection)</i>
	31 March 2016	1106 (63%)	320 (18%)	142 (8%)	74 (4%)	56 (3%)	18 (1%)	1756 <i>(incl. 40 awaiting inspection)</i>
	29 July 2016	1163 (66%)	306 (17%)	132 (8%)	60 (3%)	49 (3%)	13 (1%)	1765 <i>(incl. 42 awaiting inspection)</i>

'0' rated food businesses in the City

These businesses were rated '0' at 29 July 2016; food businesses will have taken some action to improve and some have been since been re-inspected - further information is given in the 'Details' column.

Premises	Details
Assenheims 56 , 24 Cophall Avenue, London EC2R 7DN	This business rated 0 following problems with their water supply; they had attempted to trade but agreed to close voluntarily when we inspected. There were other problems with practices but these have been largely resolved. The FBO was advised that he could make a re-rating request but has he not done. The next full inspection is due in October.

**Port Health & Public Protection Enforcement Activity
Period 1 (April–July) 2016-17**

Bad Egg , Retail Unit 1b, 1 Ropemaker Street, London EC2Y 9AW	This business was inspected again in early August. Systems have improved considerably and the business is now rated a 4.
Bow Wine Vaults , 10 Bow Churchyard, London EC4M 9DQ	The business was re-inspected in mid-August and has managed to sustain some improvement. The rating is now a 3, broadly compliant with hygiene legislation.
Cheeky Chicos Ltd , 8-12 New Bridge Street, London EC4V 6AL	This business has since been inspected and its rating is now a 3, broadly compliant. This is an improvement but still a work in progress.
Grand Union Public House , Rolls Passage, London EC4A 1HL	This premises had a serious problem with rodent activity. A Hygiene Improvement Notice was served and has now been complied with. The level of mouse activity is now much improved as are other systems (such as cleaning).
Madison , Roof Terrace Restaurant, 1 New Change, London EC4M 9AF	This premises was inspected again in August. The FBO is a large business and it has taken them some time to ensure they are compliant; they are now much improved and would appear to have sustained this improvement since the last inspection.
The Old Red Cow Public House , 71-72 Long Lane, London EC1A 9EJ	A further Food Hygiene inspection was carried out in July. The business hygiene practices had vastly improved but the business's rating is still a non-compliant 2 because of a hot water defect.
People Choice Café , 38 Goswell Road, London EC1M 7AA	Follow-up visits have been made since the original inspection and things are improving but slowly. A further visit was made on 7 September 2016. The business has progressed greatly on both management recording and documentation. The pest control and structure of the premise has also improved. The owner has requested, and has been provided with, an application to have the business re-rated.
Simple Health Kitchen , 73A Watling Street, London EC4M 9BJ	The company have made significant attempts to improve their system; several visits have been made to help support this process, the latest involved sampling of food and hand contact surfaces.
Sweet News , Retail Unit 2, 1 Fleet Place, London EC4M 7RA	This business (a newsagent) had a serious rodent problem and concerted effort was required to improve the situation. The original inspection has been followed up with a number of visits and improvements have been made. However, the business has not requested a re-rating.
Toast , 21 West Smithfield, London EC1A 9HY	The pest control issues have been resolved following an agreement to close the premises. The business has not requested a re-rating.
Turntable , 7-9 Norwich Street, London EC4A 1EJ	This premises has closed
Zucla , 40 Whitefriars Street, London EC4Y 8BH	The business had a further full inspection at the end of August and is very much improved; it is now rated a 4.

Port Health & Public Protection Enforcement Activity Period 1 (April–July) 2016-17

Health & Safety	2015-16 Annual Total	2016-17 Target (where applicable)	Period 1 2016-17 Total
Programmed Cooling Tower inspections	73	75	22
Other H&S Inspections	3	N/A	8
H&S Project visits	0	N/A	4
Accident and dangerous occurrences notifications	240	N/A	88
Complaints & service requests received	145	N/A	59
Notices	0	N/A	0
Prosecutions	1	N/A	0

Period 1 – Health & Safety Enforcement Highlights

- Work has continued to implement the **Service Based Review reorganisation**, in particular improving the competence of former H&S Team officers to carry out the full range of Food Safety enforcement required in the City.
- We ran a two day **training course on rodent control** for officers from Public Protection's Environmental Health Teams; the City Surveyor's Contract Manager; the DBE Drainage Team; and Smithfield Market staff.
- Officers supported, and presented at, the first national IRATA (Industrial Rope Access Trade Association) "**Work At Height**" **seminar** held at Guildhall. Our team produced a video of the event (with PRO and M&CP funding) including interviews with key presenters and industry leaders and which can be seen at www.youtube.com/cityoflondon. The event was also supported by the Corporate Health & Safety Unit and was judged by all to be a considerable success.
- An **investigation into a serious accident** involving a window cleaner falling from height while using rope access methods at a Broadgate premises is almost complete.
- We ran a **training course on inspection of Cooling Towers** for nine local authority health & safety enforcement officers (mostly from London).
- We delivered investigations training to CBRE's Health & Safety Team as part of our developing **Primary Authority Partnership** with them.
- Our **new YouTube video** (Building Design and Work at Height) targeted at designers of buildings was launched. The video aims to raise awareness of revised legal requirements to consider the health & safety needs of end users of buildings - e.g. how external facades of new or refurbished buildings will be cleaned safely. www.cityoflondon.gov.uk/business/environmental-health/health-and-safety/resources/Pages/Building-Design-and-Work-at-Height

Port Health & Public Protection Enforcement Activity Period 1 (April–July) 2016-17

Trading Standards	2015-16 Annual Total	2016-17 Target (where applicable)	Period 1 2016-17 Total
Inspections and visits	77	N/A	35
Complaints & service requests received	3,321	N/A	710
Home Authority referrals	101	N/A	45
Acting as a responsible authority for Licensing Applications	122	N/A	34
Prosecutions	2	N/A	0

Period 1 – Trading Standards Highlights

- The team continues to work in partnership with the CoL Police, Metropolitan Police, HMRC and the Financial Conduct Authority on **Operation Broadway** to disrupt investment fraud in the Square Mile. The Operation Broadway team attended the City-wide Residents Meeting at Guildhall in May and spent time explaining their work to attendees and giving practical advice to avoid becoming a victim of financial fraud and other scams.
- The Trading Standards team has commenced an investigation involving over 200 victims of an **investment scam**. All victims have been exposed to a secondary fraud which, thanks to the work of the team, has now been stopped in its tracks. Work is underway to help these victims avoid further fraud.
- Our Trading Standards Manager is participating in the Home Office driven '**Joint Fraud Taskforce**' with the objective of looking at new ways of preventing fraud against vulnerable consumers across the UK.
- Our Trading Standards Officers have been working on a project to enforce the new legal provisions relating to the **activities of Letting Agents** within the City. There are serious issues right across London with rogue agents 'ripping off' prospective tenants and we are feeding into a London-wide project on this important area of work.
- The team continues to look for opportunities to develop **Primary Authority Partnerships** with businesses; one global brand retailer has recently met with us to explore an innovative new working relationship.
- Finally, your Committee's previous endorsement of the team taking on an additional fixed-term contract Trading Standards Officer to **develop the Operation Broadway model** across Greater London has also been enthusiastically endorsed by the City Corporation's Economic Crime Board and recruitment is currently underway.

Port Health & Public Protection Enforcement Activity Period 1 (April–July) 2016-17

Pollution	2015-16 Annual Total	2016-17 Target (where applicable)	Period 1 2016-2017 results			
			Total	% Noise complaints resolved	Notices served	Prosecutions
Complaint investigations, noise	1,045	N/A	348	96.4%	5 COPA S60*	0
Complaint investigations, other	260	N/A	29	N/A	N/A	0
Licensing, Planning and Construction Works applications assessed	1,726	N/A	414	N/A	N/A	N/A
No. of variations (to construction working hours) notices issued	1,151	N/A	322	N/A	6 COPA S61*	N/A

* COPA: Control of Pollution Act 1974: S60 - Control of noise on construction sites

S61 - Prior consent for work on construction sites

Period 1 – Pollution Team Highlights

- The draft **Noise Strategy 2016-2026** was approved at the PHES Committee and is now out for external consultation.
- The **Bank Station Capacity Upgrade Project** lead by London Underground Limited and Dragados is now fully underway and demolition of the whole site and preparatory works on Arthur Street have commenced.
- Work towards a **Memorandum of Understanding between TfL and the City** on mitigating the noise impacts of work on the TfL network has commenced.
- The following actions were taken to implement the policies and actions set out in the **City of London Air Quality Strategy 2015–2020**:
 - An application for funding from the Mayor's Air Quality Fund to establish a Low Emission Neighbourhood in the City has been successful with £1 million over 3 years being awarded.
 - One idling engine action day is being held each month: June's action day featured on Radio 4's 'World at One' and July's on CNN.
 - The roll out of idling engine action days to 11 other London boroughs has commenced and a contractor has been appointed.
 - Work has commenced to look into the impact on air quality of using standby generators for short term operating reserve.
 - An 'Action on Air Quality' event was held at the Guildhall to roll out a work programme with Barts Health NHS Trust to public health professionals.
 - During a visit to the Sir John Cass' School, the Mayor of London announced his proposals to clean London's air; the City Corporation responded to the initial consultation.
 - Officers have given presentations on air quality to Parliamentary and Scientific Committees.
 - A 'Responsible Procurement Strategy' has been adopted corporately and includes a number of air quality measures including a commitment to purchase non-diesel vehicles unless there is no alternative. The Policy has been widely publicised.
 - Officers have presented two successful Mayor's air quality fund projects at Mayoral events.

**Port Health & Public Protection Enforcement Activity
Period 1 (April–July) 2016-17**

Animal Health & Welfare	2015-16 Annual total	2016-17 Target (where applicable)	Period 1 2016-2017 results			
			Total	Warning letters	Notices served	Prosecutions
Animal Reception Centre						
Throughput of animals (no. of consignments)	22,228	N/A	8,075	9	0	4
Animal Health						
Inspections carried out*	366	N/A	67	0	6	0
*Due to the legislation, most of the Animal Health licensing inspections are carried out at the end of the calendar year and figures will, therefore, fluctuate across quarters.						

Period 1 - Animal Health Highlights

- Due to operations being run at Dover and Coquelle by APHA (Animal and Plant Health Agency), the number of **non-compliant animals** that the team have had to deal with so far this year has decreased considerably.
- Our **Primary Authority Partnerships** are starting to pay dividends with both other authorities and the businesses themselves, through improved communication and understanding.

Period 1 - HARC Highlights

- HARC **income streams** continue to hold up well and the first period has been the HARC's highest grossing period to date.
- HARC has been asked to assist with a local college's **further education provision**.
- HARC has **worked with American Airlines** to improve their staff instructions and procedures.

**Port Health & Public Protection Enforcement Activity
Period 1 (April–July) 2016-17**

Port Health	2015-16 Annual total	Target 2016-17 (where applicable)	Period 1 2016-2017 results			
			Total	Cautions	Notices served	Prosecutions
Food Safety inspections and revisits	18	N/A	9	0	0	0
Ship Sanitation Inspections and Routine Boarding of Vessels	120	N/A	45	0	0	0
Imported food Not of Animal Origin - document checks	15,823	N/A	4,832	0	104	0
Imported food Not of Animal Origin - physical checks	3,522	N/A	780	0	N/A	0
Number of samples taken	339	N/A	104	N/A	N/A	N/A
Products of Animal Origin Consignments – document checks	10,258	N/A	3,273	0	13	0
Products of Animal Origin Consignments – physical checks	4,046	N/A	1,305	0	10	0
Number of samples taken	228	N/A	67	N/A	7	N/A

Period 1 – Port Health Highlights

- The first phase of **mobile working** has commenced in the Ports allowing officers to update back office systems 'live' and search for reference material and documentation.
- June and July were the busiest in the last 4 years in terms of number of **consignments**.
- The number of **CVEDs** processed during January-July 2016 was just over 10% more than the same period in 2015.
- **London Gateway** trade continues to increase steadily (35% January-July), and third country trade at Tilbury continues to decrease, although July at Tilbury was busy.
- **Income** increased by more than 13% in comparison to January-July 2015 (£117,906).

Department of Markets & Consumer Protection Local Risk Revenue Budget - 1st April to 31st July 2016
(Income and favourable variances are shown in brackets)

Appendix D

	Latest Approved Budget 2016/17 £'000	Budget to Date (Apr-Jul)			Actual to Date (Apr-Jul)			Variance Apr-Jul £'000
		Gross Expenditure £'000	Gross Income £'000	Net Expenditure £'000	Gross Expenditure £'000	Gross Income £'000	Net Expenditure £'000	
Port Health & Environmental Services (City Fund)								
Coroner	56	8	0	8	5	0	5	(3)
City Environmental Health	1,787	626	(22)	604	634	(39)	595	(9)
Animal Health Services	(821)	704	(1,075)	(371)	707	(1,130)	(423)	(52)
Trading Standards	337	104	(15)	89	103	(14)	89	0
Port Offices & Launches	827	1,124	(573)	551	990	(654)	336	(215)
TOTAL PORT HEALTH & ENV SRV COMMITTEE	2,186	2,566	(1,685)	881	2,439	(1,837)	602	(279)

Forecast for the Year 2016/17			Notes
LAB £'000	Forecast Outturn £'000	Over / (Under) £'000	
56	56	0	
1,787	1,812	25	1
(821)	(817)	4	2
337	337	0	
827	733	(94)	3
2,186	2,121	(65)	

Notes:

- 1. City Environmental Health** - adverse forecast due to additional salary costs for maternity cover and extension of a part-time post relating to a flexible retirement.
- 2. Animal Health Service** - favourable forecast to date mostly relates to increased passports for pets income. Too early to predict whether this will continue until year end.
- 3. Port Offices & Launches** - underspend to date is due to staff vacancies taking longer to fill than anticipated, these will be partly offset at year end by additional agency cover for long term sickness. Further underspend variances relate to additional Common Veterinary Entry Document (CVED) income from continued increased trade at London Gateway.

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Committee(s)	Dated:
Port Health and Environmental Services Committee	20 September 2016
Subject: Department of Markets and Consumer Protection – Port Health and Environmental Services Committee Risk	Public
Report of: Director of Markets and Consumer Protection	For Information
Report author: John Smith, Department of Markets and Consumer Protection	

Summary

This report has been produced to provide the Port Health and Environmental Services Committee with assurance that risk management procedures in place within the Department of Markets and Consumer Protection are satisfactory and that they meet the requirements of the corporate Risk Management Framework.

Risk is reviewed regularly by the departmental Senior Management Team as part of the on-going management of operations within the Department of Markets and Consumer Protection. 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.

The Department of Markets and Consumer Protection have identified a number of departmental risks. Of these, the most significant risks are for this Committee to consider are:

- CR21 – Air Quality (Current Risk: RED)
- MCP-HA 001 – Traffic Management (Current Risk: AMBER)
- MCP-HA 002 – Repair Delays (Current Risk: AMBER)
- MCP-HA 003 – IS Systems Failure (Current Risk: AMBER)
- MCP-HA 004 – Venomous or toxic species (Current Risk: AMBER)
- MCP-HA 007 – Loss support for bespoke database (Current Risk: AMBER)
- MCP-HA 010 – Zoonotic disease outbreak (Current Risk: AMBER)
- MCP-HA 013 – Legislative changes (Current Risk: AMBER)
- MCP-HA 014 – Failure of safety mechanism (Current Risk: AMBER)
- MCP-PH 001 – Loss of IT facilities for more than 24 hours (Current Risk: AMBER)
- MCP-PH 002 – Loss of trade (Current Risk: AMBER)
- MCP-PH 003 – Non-compliance in respect of fee recovery (Current Risk: AMBER)
- MCP-PH 004 – Service launch unavailable (Current Risk: AMBER)
- MCP-PH 005 – Insufficient workspace (Current Risk: AMBER)
- MCP-PH 006 – Inadequate staff numbers (Current Risk: AMBER)
- MCP-PH 007 – No access to workplace (Current Risk: AMBER)

Recommendation(s)

Members are asked to:

- Note the report and the actions taken in the Department of Markets and Consumer Protection to monitor and manage effectively risks arising from our 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 key risks faced in their department. Audit and Risk Management Committee has requested that such risks should be reported at a Committee level.

Current Position

2. This report provides an update of the key risks that exist in relation to the operations of the Department of Markets and Consumer Protection. The report also outlines the processes adopted for the on-going review of risk and mitigating actions.

Risk Management Process

3. The Department of Markets and Consumer Protection risk management is a standing agenda item at the monthly Departmental Senior Management Group (SMG) meeting, over and above the suggested quarterly review. SMG receives the risk register for review, together with a briefing note highlighting any changes since the previous review. Consideration is also given as to whether any emerging risks exist for inclusion in the risk register as part of Divisional updates on key issues from each of the Assistant Directors and Superintendents, ensuring that adequate consideration is given to operational risk.
4. Between each SMG meeting, risk and control owners are consulted regarding the risks for which they are responsible, with updates captured accordingly.
5. Regular risk management update reports are provided to this Committee in accordance with the City's Risk Management Framework.

Identification of New Risks

6. New and emerging risks are identified through a number of channels, the main being:
 - Directly by SMG as part of the monthly review process.
 - In response to regular review of delivery of the departmental Business Plan; slippage against key deliverables, for example.
 - Annual, fundamental, risk register review, undertaken by the tier of management below SMG.

The risk register may be refreshed over and above the stated process for review and oversight, in response to emerging issues or changing circumstances.

Summary of Key Risks

7. The Department of Markets and Consumer Protection's risk Register for Port Health and Environmental Services, attached as Appendix 1 to this report, includes One RED risk which is also a Corporate Risk and Nine AMBER risks:

CR21 – Air Quality (Current Risk: RED)

Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated with long term and short term exposure to nitrogen dioxide. Under certain atmospheric conditions there is a higher probability of poor air quality within the City and it is more likely that residents, workers and visitors would suffer the acute consequences.

The consequences both acute and chronic may include:

An increase in hospital referrals placed upon both emergency services and the NHS for those already suffering from respiratory or cardiovascular conditions (it may also place a strain on City social services).

An increase in deaths, particularly of those already suffering from respiratory or cardiovascular conditions (both residents and workers).

Economic costs such as acting as a deterrent of businesses coming to London or staying and financial penalties for non-compliance with air quality limits.

Persistent poor air quality may affect the longer term health of the City population.

MCP-HA 001 – Traffic Management (Current Risk: AMBER)

The car parking area at HARC is used by staff and visitors as well as through traffic which includes Heavy Goods Vehicles. The area is also used for unloading by forklift truck.

There is a real risk of injury or death of a pedestrian if vehicle movements in this constrained space are not appropriately managed and controlled.

If this risk were realised it could result in serious injury or fatality; prosecution, a fine, reputational damage for the City. It could also have an adverse impact on the operation and sustainability of the service.

MCP-HA 002 – Repair Delays (Current Risk: AMBER)

The Heathrow Animal Reception Centre has experienced significant delays to maintenance and/or repair of equipment and facilities due to be carried out under the corporate repair and maintenance contract.

This has resulted and will result in future operational difficulties, including security risks where security doors are left inoperable leading to the risk of closure of the facility by the enforcing authorities leading to reputational damage and financial loss to the City.

MCP-HA 003 – IS Systems Failure (Current Risk: AMBER)

There is a lack of robustness of Information Technology systems at the Heathrow Animal Reception Centre.

A technical failure of these systems leading to the loss of computer network facilities and telephones for a period in excess of 24 hours would have an adverse effect on customer service and income generation. This would also result in a risk to animal welfare where HARC cannot be notified of airside incidents.

If realised, this risk would have a reputational as well as a financial impact on the City of London.

MCP-HA 004 – Venomous or toxic species (Current Risk: AMBER)

Arrival of unknown venomous/toxic species through BIP could result in the envenomation or poisoning of a staff member or visitor leading to serious illness or death.

If this risk were realised it could result in prosecution, a fine and serious reputational damage for the City.

MCP-HA 007 – Loss support for bespoke database (Current Risk: AMBER)

Loss of IS support for ARC Ledger bespoke database could result in loss of data, recording and reporting, and invoicing capability.

Realisation of this risk could result in reputational damage due to compromised service delivery and loss of income.

MCP-HA 010 – Zoonotic disease outbreak (Current Risk: AMBER)

Outbreak of zoonotic disease within Greater London/South East could result in a restriction of animal movements and possible closure of Border Inspection Post to some species.

If this risk were realised it could result in a loss of income if BIP closed

MCP-HA 013 – Legislative changes (Current Risk: AMBER)

Legislative change on current 100% checks of EU pet movements could result in reduced or no requirement to check EU pets entering UK.

Realisation of this risk would result in a loss of income.

MCP-HA 014 – Failure of safety mechanism (Current Risk: AMBER)

Failure of scissor lift safety mechanism during handling of heavy consignments in the Large Animal Border Inspection Post could result in Injury.

If this risk were to be realised it could result in prosecution, a fine and reputational risk to the City.

MCP-PH 001 – Loss of IT facilities for more than 24 hours (Current Risk: AMBER)

Loss of IT facilities and telephones for more than 24 hours at Tilbury and London Gateway BIP/Offices.

If this risk were to be realised it could result in compensation claims from importers and/or the Port Operator, loss of trade, loss of confidence and reputational damage.

MCP-PH 002 – Loss of trade (Current Risk: AMBER)

Increase of fees resulting in trade moving to other more competitive ports.

This risk, if realised, could result in loss of income from charges, compensation claims from Port Operators for loss of trade and reputational damage.

MCP-PH 003 – Non-compliance in respect of fee recovery (Current Risk: AMBER)

Failure to meet legal obligations for fee recovery leading to a lack of funding and compromising service delivery.

This risk, if realised, could result in the service being compromised triggering stakeholder complaints, compensation claims and reputational damage.

MCP-PH 004 – Service launch unavailable (Current Risk: AMBER)

One or both launches being out of service affecting the performance of both statutory and non- statutory duties.

This risk, if realised, could result in the service being compromised triggering stakeholder complaints, compensation claims and reputational damage.

MCP-PH 005 – Insufficient workspace (Current Risk: AMBER)

Current workspace becomes too small for the volume of future operations.

This risk, if realised, could result in compensation claims resulting from delays in processing and releasing consignments, diversion of trade to other ports possibly causing financial loss and reputational damage.

MCP-PH 006 – Inadequate staff numbers (Current Risk: AMBER)

Inadequate staff numbers to cope with an increase in trade caused by a lengthy recruitment process and lack of suitable applicants. Brexit may also have an impact on recruiting and retaining European staff.

This risk, if realised, could result in compensation claims resulting from delays in processing and releasing consignments, diversion of trade to other ports possibly causing financial loss and reputational damage.

MCP-PH 007 – No access to workplace (Current Risk: AMBER)

Staff unable to access the Tilbury and/or London Gateway sites for more than 24 hours.

This risk, if realised, could result in compensation claims resulting from delays in processing and releasing consignments, diversion of trade to other ports possibly causing financial loss and reputational damage.

Conclusion

8. Members are asked to note that risk management processes within the Department of Markets and Consumer Protection adhere to the requirements of the City Corporation's Risk Management Framework. Risks identified within the operational and strategic responsibilities of the Department of Markets and Consumer Protection are proactively managed.

Appendices

- Appendix A – Port Health and Environmental Services Risk Register Summary
- Appendix B – Risk Matrix

Background Papers

Department Business Plan
Department Risk Review
Department Business Plan Progress Report
Risk Management Strategy

MCP PH&PP Committee Risk Report Appendix A

Generated on: 31 August 2016 08:05



Code	CR21	Title	Air Quality
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Description	<p>Cause: Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated with long term and short term exposure to nitrogen dioxide.</p> <p>Event: Under certain atmospheric conditions there is a higher probability of poor air quality within the City and it is more likely that residents, workers and visitors would suffer the acute consequences.</p> <p>Effect: The consequences both acute and chronic may include: An increase in hospital referrals placed upon both emergency services and the NHS for those already suffering from respiratory or cardiovascular conditions (it may also place a strain on City social services). An increase in deaths, particularly of those already suffering from respiratory or cardiovascular conditions (both residents and workers). Economic costs such as acting as a deterrent of businesses coming to London or staying and financial penalties for non-compliance with air quality limits. Persistent poor air quality may affect the longer term health of the City population. Persistent poor air quality may attract adverse media coverage making the City seem a less attractive place to live and work.</p>

Category	Environmental	Approach	Reduce (By appropriate remedial action)
Risk Level	Corporate	Risk Owner	Jon Avern

Strategic Aim	SA2	Key Policy Priority	KPP3
Department	Department of Markets and Consumer Protection	Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	<p>16 ↔ No change</p>
Likelihood	Likely
Impact	Major

Target Risk Assessment & Score	<p>6</p>
Likelihood	Possible
Impact	Serious

Risk Score	16
Review Date	17-Aug-2016

Risk Score	6
Target Date	31-Dec-2020

Latest Note	This risk continues to be regularly reviewed in line with all statutory obligations imposed by the Environment Act 1995.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CR21 001a	Implement policies	Implement the policies contained in the City of London Air Quality Strategy 2015-2020. The strategy contains 10 policy areas with 60 specific actions. An annual report will be produced demonstrating progress with each action.	Jon Averns	31-Aug-2016	40%	Work has commenced on implementing a Low Emission Neighbourhood in the City. progress on actions can be viewed in the annual status report at www.cityoflondon.gov.uk/air
CR21 001b	Review Air Quality	Review and assess air quality in line with statutory obligations of the Environment Act 1995. Submit all relevant statutory reports. Approval of all reports by Defra and the GLA will demonstrate compliance with statutory obligations.	Jon Averns	31-Aug-2016	100%	The report was submitted on time
CR21 001c	Become an Exemplar Borough	Ensure the City Corporation becomes a Mayor of London Exemplar Borough for air quality.	Jon Averns	29-Dec-2017	25%	the City is taking all relevant action required by the GLA to become an exemplar borough but the scheme hasn't been officially launched yet
CR21 001d	Develop communications strategy.	Develop and implement a robust communications strategy to ensure people have sufficient information to reduce their exposure on days of 'high' air pollution.	Jon Averns	30-Sep-2016	30%	The strategy is being drafted as of June 2016

CR21 001e	Develop plan	Develop and implement a plan for reducing the impact of diesel vehicles on air pollution in the Square Mile. This is to complement the work being undertaken by the Mayor of London to reduce air pollution in the central zone through the implementation of the Ultra Low Emission Zone.	Jon Aaverns	31-Dec-2018	20%	Work has commenced in a Low Emission neighbourhood scheme which will result in a reduction in the number of diesel vehicles in the City
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Code	MCP-HA 001	Title	Traffic Management
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Description Page 77	Cause: The car parking area is used by staff and visitors as well as through traffic which includes Heavy Goods Vehicles. The area is also used for unloading by forklift truck.
	Event: There is a real risk of injury or death of a pedestrian if vehicle movements in this constrained space are not appropriately managed and controlled.
	Effect: Serious injury or fatality; prosecution, a fine, reputational damage for the City. Adverse impact on the operation and sustainability of the service.

Category	Health and Safety
Risk Level	Departmental

Approach	Reduce (By appropriate remedial action)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP5
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison		8	↔	No change
	Likelihood	Impact		

Target Risk Assessment & Score		8
	Likelihood	Impact

Likelihood	Unlikely
Impact	Major
Risk Score	8
Review Date	10-Jul-2016

Likelihood	Unlikely
Impact	Major
Risk Score	8
Target Date	31-Dec-2015

Latest Note	RISK IS STILL MANAGED ACCORDINGLY
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-HA 001a	Maintain Training	Maintain all current training activity for counterbalance truck users.	Robert Quest	31-Dec-2015	100%	New forklift training now in place. Several staff have already received refresher training.
MCP-HA 001b	Maintain Professional Staff Numbers	Ensure Vehicle & Grounds Attendant post remains filled and that a minimum of 4 other staff are also trained in banksman skills.	Robert Quest	11-Sep-2015	100%	Now have 11 trained banksman

Code	MCP-HA 002
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Title	Repair Delays
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Description	<p>Cause: The Heathrow Animal Reception Centre has experienced significant delays to maintenance and/or repair of equipment and facilities due to be carried out under the corporate repair and maintenance contract.</p> <p>Event: This has resulted and will result in future operational difficulties, including security risks where security doors are left inoperable.</p> <p>Effect: The risk of closure of the facility by the enforcing authorities leading to reputational damage and financial loss to the City.</p>
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Category	Legal
Risk Level	Departmental

Approach	Reduce (By appropriate remedial action)
Risk Owner	Robert Quest

Strategic Aim	SA3
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Key Policy Priority	KPP5
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Department	Department of Markets and Consumer Protection
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Committee	Port Health & Environmental Services Committee
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Current Risk Assessment, Score & Trend Comparison	<p>12 ↔ No change</p>
Likelihood	Possible
Impact	Major
Risk Score	12
Review Date	18-Jul-2016

Target Risk Assessment & Score	<p>2</p>
Likelihood	Unlikely
Impact	Minor
Risk Score	2
Target Date	30-Dec-2016

Latest Note	There have been no significant repair delays since the last assesmnt
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2016-07-19

Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
16-P-HA-002a	Address Needs With Property Services	Meetings between HARC and Property Services to address ongoing maintenance needs.	Robert Quest	30-Jul-2016	0%	<p>There have been some serious issues with delays in property maintenance recently, namely the bird wing electrics and the vehicle bay doors. The issues with the bird wing not only resulted in lengthy waiting times ,which had an operational knock on effect, but the poor state of the work resulted in a near miss being reported</p> <p>Spare parts for the doors are now kept on site to speed up repairs but the confirmation on the approved contractor is till outstanding. Small issues</p>

						however have been rectified hastily
MCP-HA 002b	Raise Performance Issues	Maintenance issues/loss of facilities/resource planning concerns/unsatisfactory performance targets raised with C.O.	Tristan Bradfield; Robert Quest	01-Sep-2016	50%	Roofing completed except damage caused by contractor, which needs repairing. Generator electrical mapping due to be done on Sunday 5th June

Code	MCP-HA 003	Title	IS Systems Failure
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Description	<p>Cause: A lack of robustness of Information Technology systems at the Heathrow Animal Reception Centre.</p> <p>Event: Technical failure of Information Technology systems leading to the loss of computer network facilities and telephones for a period in excess of 24 hours.</p> <p>Effect: Disruption to service, damage to reputation, temporary loss of income. Possible threat to animal welfare where HARC cannot be notified of airside incidents.</p>
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Category	Economic
Risk Level	Departmental

Approach	Reduce (By appropriate remedial action)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP5
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	<p>12 ↔ No change</p>
Likelihood	Possible
Impact	Major
Risk Score	12

Target Risk Assessment & Score	<p>1</p>
Likelihood	Rare
Impact	Minor
Risk Score	1

Review Date	18-Jul-2016	Target Date	30-Dec-2016
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Latest Note	Some on-site IS upgrades are currently being carried out. This has caused the intermittent loss of some services
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-HA 003a	Meet with Agilysis.	Meet with Agilysis to determine possibility of 24hr IS support.	Robert Quest	30-Jul-2016	80%	Restricted out of hours support is available. New telephone system is currently being installed

Code	MCP-HA 004	Title	Venomous or toxic species
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Description	<p>Cause: Arrival of unknown venomous/toxic species through BIP.</p> <p>Event: Envenomation or poisoning of staff or visitor leading to serious illness or death.</p> <p>Effect: Serious injury or fatality; prosecution, a fine, reputational damage for the City. Adverse impact on the operation and sustainability of the service.</p>
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Category	Health and Safety
Risk Level	Departmental

Approach	Accept (the costs of mitigation out weigh the benefits)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP4
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	<p>8 ↔ No change</p>
Likelihood	Rare

Target Risk Assessment & Score	<p>8</p>
Likelihood	Rare

Impact	Extreme
Risk Score	8
Review Date	18-Jul-2016

Impact	Extreme
Risk Score	8
Target Date	30-Dec-2016

Latest Note	Some clarification from local NHS service is still required. Good health and safety practice is recognised by all as very important.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-HA 004a	Update Envenomation procedure	Update Envenomation procedure with local hospital.	Robert Quest	30-Jul-2016	80%	Some clarification from local NHS service is still required. Trained staff work in pairs when dealing with dangerous species and countersigned notes are kept to ensure security of housed animals

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Code	MCP-HA 007	Title	Loss support for bespoke database.
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Description	<p>Cause: Loss of IS support for ARC Ledger bespoke database.</p> <p>Event: Loss of data, recording and reporting, and invoicing capability.</p> <p>Impact: Reputational damage due to compromised service delivery. Temporary loss of income.</p>
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Category	Reputation
Risk Level	Service

Approach	Reduce (By appropriate remedial action)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP4
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Possible
Impact	Serious
Risk Score	6
Review Date	18-Jul-2016

Target Risk Assessment & Score	
Likelihood	Rare
Impact	Minor
Risk Score	1
Target Date	30-Dec-2016

Latest Note	There are upgrades being made to the hardware at the HARC
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-HA 007a	Establish system.	Establish system for pre-approval of pets paperwork.	Robert Quest	01-Oct-2015	100%	Currently in trial.
MCP-HA 007b	Liaise with APHA.	Liaise with APHA regarding any imminent airline approvals.	Robert Quest	01-Aug-2016	50%	Good ad-hoc communication between HARC and AHPA ensures both reactive and proactive issues are resolved accordingly
MCP-HA 007c	Scoping of new database	Opportunity Outline drafted by Richard Reilly, for scoping of new database.	Robert Quest	31-Aug-2015	100%	Scope complete

Code	MCP-HA 010	Title	Zoonotic disease outbreak.
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Description	<p>Cause: Outbreak of zoonotic disease within Greater London/South East.</p> <p>Event: Restriction of animal movements, possible closure of Border Inspection Post to some species.</p> <p>Impact: Loss of income if BIP closed, cost of resourcing response to zoonoses outbreak, damage to reputation if at fault or poor response.</p>
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Category	Reputation
Risk Level	Service

Approach	Accept (the costs of mitigation out weigh the benefits)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP4
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Rare
Impact	Extreme
Risk Score	8
Review Date	18-Jul-2016

Target Risk Assessment & Score	
Likelihood	Rare
Impact	Extreme
Risk Score	8
Target Date	30-Dec-2016

Latest Note	no change
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note

Code	MCP-HA 013	Title	Legislative changes.
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Description	Cause: Legislative change on current 100% checks of EU pet movements. Event: Reduced/no requirement to check EU pets entering UK. Impact: Loss of income, increased risk of introduction of rabies.		
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Category	Financial
Risk Level	Service

Approach	Accept (the costs of mitigation out weigh the benefits)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP4
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Possible
Impact	Serious
Risk Score	6
Review Date	06-Jun-2016

Target Risk Assessment & Score	
Likelihood	Possible
Impact	Serious
Risk Score	6
Target Date	30-Dec-2016

Latest Note	No current changes
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note

Code	MCP-HA 014	Title	Failure of safety mechanism.
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Description	<p>Cause: Handling of heavy consignments in the Large Animal Border Inspection Post, handling of large animals, failure of scissor lift safety mechanism.</p> <p>Event: Injury caused by failed safety mechanism on scissor lift, or kicking/trampling by horses and other large animals.</p> <p>Impact: Serious injury of staff, APHA staff or consignment attendant.</p>
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Category	Health and Safety
Risk Level	Service

Approach	Accept (the costs of mitigation out weigh the benefits)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP4
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Unlikely
Impact	Major
Risk Score	8
Review Date	18-Jul-2016

Target Risk Assessment & Score	
Likelihood	Unlikely
Impact	Major
Risk Score	8
Target Date	30-Dec-2016

Latest Note	No current issues. All staff working in that area ensure authorised visitors wear appropriate PPE and that risk assessments are adhered to
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note

Code	MCP-PH 001	Title	Loss of IT facilities/telephones for more than 24 hours
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Description	<p>Cause: Loss of IT facilities/telephones for more than 24 hours at Tilbury & London Gateway BIP/Office, Denton, leading to an inability to perform functions and properly record actions specifically at Tilbury and Gateway including delays in clearance, disruption of trade, missing deadlines for returns. Unable to communicate with stakeholders</p> <p>Event: Electrical failure, Hardware failure, Loss of part of system Inadequate number of user access points for CNS and Destin8 systems.</p> <p>Effect: Stakeholders' complaints. Compensation claims from importers, port operator, loss of trade. Loss of confidence, reputational damage.</p>		
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Category	Reputation	Approach	Reduce (By appropriate remedial action)
Risk Level	Service	Risk Owner	Gavin Stedman

Strategic Aim	SA3	Key Policy Priority	KPP2
Department	Department of Markets and Consumer Protection	Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison		
	Likelihood	Possible
	Impact	Major
	Risk Score	12
	Review Date	24-Jun-2016

Target Risk Assessment & Score		
	Likelihood	Unlikely
	Impact	Major
	Risk Score	8
	Target Date	31-Dec-2016

Latest Note	<p>Back up via COL IS. Alternative methods of gaining access to systems in place by laptop through VPN system. Limited Wifi connection through Manorway Office. Wifi installed at the BCP LG & printers at all locations can be used as fax devices. Manual system hold and release done by fax to Port Operator and agents. Hard copies of manifests requested of shipping lines. Payment of the CNS and Destin8 invoices in a timely manner. Purchased 5 Mi-Fi units to enable laptop connection.</p>
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH 001a	Install independent web connection	The installation of sufficient independent Internet capability at Manorway and Tilbury, IS to advise on compatibility and capacity	Gavin Stedman	01-Jul-2016	0%	

Code	MCP-PH 002	Title	Loss of trade
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Description	<p>Cause: Increase of fees resulting in trade moving to other more competitive ports.</p> <p>Event: Large increase in rates valuation by Thurrock Council. Large increase in lease costs of buildings. Lack of investment in new technology to maintain efficiency and reduce costs.</p> <p>Effect: Salary and redundancy liability of excess staff. Loss of income from charges. Claims of compensation from port operators for loss of trade and reputational damage.</p>
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Category	Financial
Risk Level	Service

Approach	Reduce (By appropriate remedial action)
Risk Owner	Gavin Stedman

Strategic Aim	SA2
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP2
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Possible
Impact	Serious
Risk Score	6

Target Risk Assessment & Score	
Likelihood	Unlikely
Impact	Serious
Risk Score	4

Review Date	24-Jun-2016	Target Date	31-Dec-2016
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Latest Note	Introduction of WiFi in inspection and seal checking areas and use of tablets to allow remote working. Identify and make funds available for emergency investment with the aim of full recovery cost progressively.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH 002a	Provide mobile solution	Work with IS to provide Wi-Fi and tablets. Identify funds with finance.	Gavin Stedman	01-Oct-2016	0%	
MCP-PH 002b	Appeal Rate Review	Appeal rate review: Consultant rating analyst hired to look at merits of a possible appeal.	Gavin Stedman	31-Dec-2016	0%	
MCP-PH 002c	Negotiate Charge	Letter from Thamesport port operator confirming vacancy of the office since 2015. Letter will be used to negotiate the charge with Medway Council.	Gavin Stedman	01-Apr-2017	0%	

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Code	MCP-PH 003	Title	Non-compliance in respect of fee recovery.
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Description	<p>Cause: Failing to meet legal obligations for fee recovery. Lack of funding, compromising service delivery.</p> <p>Event: Lack of adequate Financial Management, Importers becoming insolvent and unable to pay debt.</p> <p>Effect: Non-compliance for not recovering fees where applicable Service compromised triggering stakeholders complaints, compensations, reputational damage.</p>
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Category	Reputation	Approach	Reduce (By appropriate remedial action)
Risk Level	Service	Risk Owner	Gavin Stedman

Strategic Aim	SA2	Key Policy Priority	KPP2
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Department	Department of Markets and Consumer Protection
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Committee	Port Health & Environmental Services Committee
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Current Risk Assessment, Score & Trend Comparison	 12 ↔ No change
Likelihood	Possible
Impact	Major
Risk Score	12
Review Date	24-Jun-2016

Target Risk Assessment & Score	 4
Likelihood	Unlikely
Impact	Serious
Risk Score	4
Target Date	31-Dec-2016

Latest Note	Monthly aged debt analysis. Finance policy for new agents to set up Direct Debit. Recovery of funds using court action if necessary by Finance Department
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH 003a	Set Debt limit	Explore with Finance setting aged debt limit	Gavin Stedman	01-Oct-2016	0%	
MCP-PH 003b	Set up CRYSTAL report	-- enter action details here --		01-Mar-2017	0%	
MCP-PH 003c	Agree Reconciliation system	To agree with Finance a system to reconcile the CRYSTAL report with the invoices raised.	Gavin Stedman	01-Oct-2016	0%	

Code	MCP-PH 004	Title	Service launch unavailable
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Description	<p>Cause: Unavailability of one or both launches affecting the performance of the statutory duties and non- statutory duties. For 1 week Over 1 month. Launches unable to be kept in the river.</p> <p>Event: Mechanical breakdown of launch and engine and equipment Damage to launch from terrorism, vandalism or accident Failing to renew the existing leases for Charlton and Denton, and losing the mooring points or failing to provide with suitable alternatives.</p> <p>Effect: Reputational damage due to non- compliance with statutory duties and non-statutory duties. Compensations, claims from stakeholders.</p>		
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Category	Reputation
Risk Level	Service

Approach	Reduce (By appropriate remedial action)
Risk Owner	Gavin Stedman

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP3
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison		
	Likelihood	Possible
	Impact	Serious
	Risk Score	6
	Review Date	15-Jul-2016

Target Risk Assessment & Score		
	Likelihood	Rare
	Impact	Serious
	Risk Score	2
	Target Date	31-Dec-2016

Latest Note	Annual servicing, daily checks, regular maintenance and inspection by MCA. Security cameras monitor vessel and moored offshore. Two to three years life left on the leases.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH	Set up replacement fund	Discuss with finance how to set	Gavin Stedman	01-Dec-2016	0%	

004a		up a replacement fund, and explore with the Chamberlains department contributions towards a maintenance and replacement fund.				
MCP-PH 004b	Produce report	Produce a report on the effects on statutory duties at 1 week and 1 month, type of vessel required for each duty, whether statutory or ceremonial and possible alternatives to LPHA vessel.	Gavin Stedman	01-Dec-2016	0%	
MCP-PH 004c	Find suitable moorings	With support from the City Surveyor set up meetings with existing landlords for exploring the renewal of the building leases. Or alternatively explore other suitable landlords (PLA or other commercial operators on the river).	Gavin Stedman	01-Dec-2016	0%	

Code	MCP-PH 005	Title	Insufficient workspace
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Description	<p>Cause: Building becomes too small for the volume of operations required. River section staff in need of office space.</p> <p>Event: Trade / throughput increase or workload increase. Berth 3 at LG opening 08/2016. Denton office lease coming to an end.</p> <p>Effect: Compensation claims from: delay in processing and releasing consignments, diversion of trade to other ports possibly causing financial and reputational damage.</p>
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Category	Reputation	Approach	Reduce (By appropriate remedial action)
Risk Level	Service	Risk Owner	Gavin Stedman

Strategic Aim	SA3	Key Policy Priority	KPP3
Department	Department of Markets and Consumer Protection	Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	<p>12 ↔ No change</p>	Target Risk Assessment & Score	<p>8</p>		
	Likelihood		Possible	Likelihood	Unlikely
	Impact		Major	Impact	Major
	Risk Score		12	Risk Score	8
	Review Date		25-Aug-2016	Target Date	31-Dec-2016

Latest Note	Having reviewed this risk, and taken into account recent developments. This risk is now reduced.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH	Draft Business case	Provide business case details to	Gavin Stedman	01-Sep-2016	0%	

005a		Surveyor's Department to enable them to produce a committee report recommending use of the rest of the second floor space at Manorway House.				
MCP-PH 005b	Extend current accommodation	Work with the City Surveyor's and IS Department to prepare the extended Manorway office accommodation.	Gavin Stedman	01-Sep-2016	0%	

Code	MCP-PH 006	Title	Inadequate staff numbers
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Description	<p>Cause: Inadequate staff numbers.</p> <p>Event: Sudden sustained increase in trade. Sudden sustained increase in workload. Lengthy recruitment process. Lack of suitable applicants to vacancies. Brexit implication for recruiting and retaining staff</p> <p>Effect: Compensation claims from: delay in processing consignments, diversion of trade to other ports possibly causing financial and reputational damage</p>
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Category	Reputation
Risk Level	Service

Approach	Reduce (By appropriate remedial action)
Risk Owner	Gavin Stedman

Strategic Aim	SA2
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP2
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	<p>Likelihood</p> <p>Impact</p> <p>8 ↔ No change</p>
Likelihood	Likely

Target Risk Assessment & Score	<p>Likelihood</p> <p>Impact</p> <p>6</p>
Likelihood	Possible

Impact	Serious
Risk Score	8
Review Date	25-Aug-2016

Impact	Serious
Risk Score	6
Target Date	31-Dec-2016

Latest Note	Liase with port owners to anticipate large increases in demand requiring staff increases. Training of PHO s in degree programme.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH 006a	Consult HR	Contact HR	Gavin Stedman	01-Oct-2016	0%	
MCP-PH 006b	Contact major seaports	Contact other major seaports re staffing. Maintain contact with ex-employee OVSs and contractors outside CoL.	Gavin Stedman	01-Feb-2017	0%	
MCP-PH 006c	Develope scheme	Develop a Career Progression Scheme and Development Plan together with HR for staff to train and enable progression between grades.	Gavin Stedman	01-Apr-2017	0%	

Code	MCP-PH 007
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Title	No access to workplace
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Description	<p>Cause: Staff unable to access- Tilbury/ London Gateway sites for more than 24 hours.</p> <p>Event: Building not fit for use or access denied or cease of use (closure of Tilbury office and centralisation to Manorway). Problems with roads or traffic,</p> <p>Effect: Compensation claims from: delay in processing consignments, diversion of trade to other ports possibly causing financial and reputational damage if prolonged.</p>
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Category	Reputation
Risk Level	Service

Approach	Reduce (By appropriate remedial action)
Risk Owner	Gavin Stedman

Strategic Aim	SA2
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP2
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	<p>8 ↔ No change</p>
Likelihood	Unlikely
Impact	Major
Risk Score	8
Review Date	25-Aug-2016

Target Risk Assessment & Score	<p>4</p>
Likelihood	Rare
Impact	Major
Risk Score	4
Target Date	01-Nov-2016

Latest Note	
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH 007a	Produce report	Port Health and Launch Service to produce a report to consider, and put in place a plan, for the use of the launch to transport officers from south of the river to north of the river.	Gavin Stedman	01-Nov-2016	0%	

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City of London Corporation Risk Matrix (Black and white version)

Note: A risk score is calculated by assessing the risk in terms of likelihood and impact. By using the likelihood and impact criteria below (top left (A) and bottom left (B) respectively) it is possible to calculate a risk score. For example a risk assessed as Unlikely (2) and with an impact of Serious (2) can be plotted on the risk scoring grid, top right (C) to give an overall risk score of a green (4). Using the risk score definitions bottom right (D) below, a green risk is one that just requires actions to maintain that rating.



MCP Markets Committee Risk Report Appendix B

(A) Likelihood criteria

(B) Impact criteria

	Rare (1)	Unlikely (2)	Possible (3)	Likely (4)	Impact title	Definitions
Criteria	Less than 10%	10 – 40%	40 – 75%	More than 75%	Minor (1)	Service delivery/performance: Minor impact on service, typically up to one day. Financial: financial loss up to 5% of budget. Reputation: Isolated service user/stakeholder complaints contained within business unit/division. Legal/statutory: Litigation claim or find less than £5000. Safety/health: Minor incident including injury to one or more individuals. Objectives: Failure to achieve team plan objectives.
Probability	Has happened rarely/never before	Unlikely to occur	Fairly likely to occur	More likely to occur than not		
Time period	Unlikely to occur in a 10 year period	Likely to occur within a 10 year period	Likely to occur once within a one year period	Likely to occur once within three months	Major (4)	Service delivery/performance: Service disruption > 1 - 4 weeks. Financial: Financial loss up to 20% of budget. Reputation: Adverse national media coverage 1 to 3 days. Legal/statutory: Litigation claimable fine between £50,000 and £500,000. Safety/health: Major injury or illness/disease causing long-term disability to one or more people Objectives: Failure to achieve a strategic plan objective.
Numerical	Less than one chance in a hundred thousand (<10-5)	Less than one chance in ten thousand (<10-4)	Less than one chance in a thousand (<10-3)	Less than one chance in a hundred (<10-2)		
					Extreme (8)	Service delivery/performance: Service disruption > 4 weeks. Financial: Financial loss up to 35% of budget. Reputation: National publicity more than three days. Possible resignation leading member or chief officer. Legal/statutory: Multiple civil or criminal suits. Litigation claim or find in excess of £500,000. Safety/health: Fatality or life-threatening illness/disease (e.g. mesothelioma) to one or more persons. Objectives: Failure to achieve a major corporate objective.

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Likelihood	X	Impact						
		(C) Risk scoring grid						
					Extreme (8)			
Likely (4)	4	Green	8	Amber	16	Red	32	Red
Possible (3)	3	Green	6	Amber	12	Amber	24	Red
Unlikely (2)	2	Green	4	Green	8	Amber	16	Red
Rare (1)	1	Green	2	Green	4	Green	8	Amber

(D) Risk score definitions

RED	Urgent action required to reduce rating
AMBER	Action required to maintain or reduce rating
GREEN	Action required to maintain rating

This is an extract from the City of London Corporate Risk Management Strategy, published in May 2014.
Contact the Corporate Risk Advisor for further information. Ext 1297
Version date: December 2015

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Committee	Dated:
Barbican Residents' Consultation Committee	5 September 2016
Health and Wellbeing Board	16 September 2016
Barbican Residential Committee	19 September 2016
Port Health and Environmental Services	20 September 2016
Planning and Transportation	4 October 2016
Cultural Hub Working Party	17 October 2016
Subject: Funding for a Low Emission Neighbourhood	Public
Report of: Director of Markets and Consumer Protection	For Information
Report author: Ruth Calderwood Environmental Policy Officer, Port Health and Public Protection Dept.	

Summary

The Mayor of London has awarded the City of London Corporation £990,000 over three years to implement a Low Emission Neighbourhood (LEN). This followed a successful application for funding submitted in April 2016.

The LEN will focus on three areas: Barbican, Guildhall and Barts. This zone was chosen as it supports plans for improvements to Beech Street and the cultural hub, supports the Barbican Estates plans for freight consolidation and electric charge points and builds on previous air quality engagement projects with Barts Health NHS Trust, Barbican residents and local businesses.

The overall aim of the LEN is to improve local air quality by reducing the amount of traffic and encouraging and supporting low and zero emission vehicles in the locality. Improvements in air quality are expected both within the proposed neighbourhood and more widely across the City due to an increase in low and zero emission vehicles. It is anticipated that the most successful measures will be rolled out across the City.

This work supports the aims and objectives of the City of London Air Quality Strategy 2015 – 2020, in addition to a number of other corporate policies and strategies. It also goes towards addressing air quality, which has been identified as a corporate risk. An update report will be submitted to your Committee in early 2017.

Recommendation

Members are asked to note the report.

Main Report

Background

1. The City of London Corporation is in receipt of £990,000 funding over three years from the Mayor of London to implement a Low Emission Neighbourhood (LEN) in the City.
2. Figure 1 details the core LEN area and wider area of influence. This area was chosen for the following reasons:
 - Existing stakeholder support for air quality improvements achieved through a year-long air quality monitoring and engagement programme with residents, business engagement in the locality and a three year air quality programme with Barts Health NHS Trust
 - It includes residential areas and a hospital, both of which are considered to be sensitive land uses due to the people exposed to pollution
 - Measures introduced will support and complement proposed improvements to Beech Street, the forthcoming cultural hub and the Barbican Estates plans for freight consolidation and increasing the number of charge points for electric vehicles.
 - The area incorporates the Guildhall, which will enable the City Corporation to lead by example

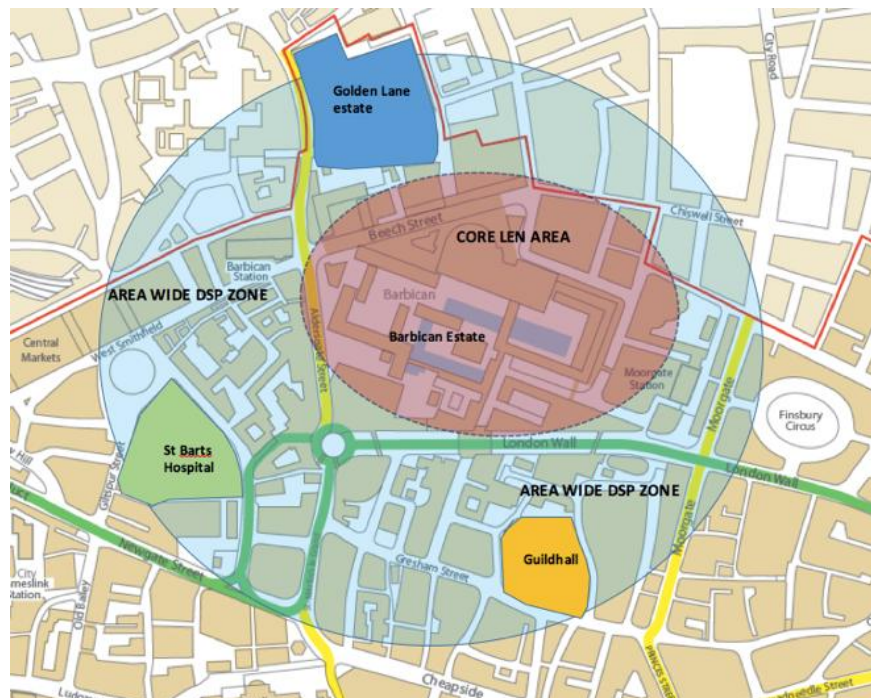


Figure 1: The proposed Low Emission Neighbourhood Area

Low Emission Neighbourhood

3. There are a number of initiatives proposed for the LEN which focus on reducing the number of vehicles in the area and supporting and encouraging low and zero emission vehicles. These include:
 - A communications strategy
 - Business engagement
 - A review of planning policies and controls over emissions from developments
 - Controls over idling vehicle engines
 - Reducing levels of pollution in Beech Street
 - Reducing emissions from freight
 - Electric vehicle recharging infrastructure
 - Measures to support zero emission capable taxis
 - Support for greening in the area
4. Community and stakeholder engagement will take place with each proposal.

Financial implications

5. The City Corporation is required to match the funding that has been awarded by the Mayor of London. Match funding will come from existing budgets and there will not be any need for any additional capital or revenue funding. Match funding for the first year will be sourced from a combination of allocated Local Implementation Plan funding, money already spent or allocated to the Beech Street project, existing departmental revenue and staff time. Sponsorship opportunities will also be sought through the LEN business engagement programme. An application may be made for a small amount of community infrastructure levy funding to support the implementation of the LEN in years two and three.

Corporate & Strategic Implications

6. The work on air quality supports Key Policy Priority KPP3 of the Corporate Plan: 'Engaging with London and national government on key issues of concern to our communities such as transport, housing and public health'.
7. The project will be delivered in very close cooperation with the Department of Built Environment, Town Clerk's Department and Barbican Estates. The project manager for the LEN will be working closely with the Beech Street Project Board to support and complement their aims and objectives.
8. This work supports the aims and objectives of the City of London Air Quality Strategy 2015 – 2020 and goes towards addressing air quality, which has been identified as a corporate risk.
9. Implementation of a LEN will complement the air quality policy in the City's Local Plan 2015. In addition the LEN will contribute towards delivering the priority set

out in the Joint Health and Wellbeing Strategy to make City air healthier to breathe.

10. The LEN proposals align with the objectives of the Barbican & Golden Lane Area Strategy, which was approved in 2015. Reducing traffic and emission levels will assist in making Beech Street more pedestrian and cycle friendly, and will help to improve links and enhance the arrival experience to the Barbican Centre from new and existing connections to the west. Similarly, as Beech Street forms a central axis of the emerging Cultural Hub, the LEN proposals will assist in delivering this wider corporate strategy.
11. Measures included in the LEN scheme support the Department of Community and Children's Services strategic aim of delivering value for money and outstanding services through the Barbican Estate's Service Based Review Programme. Specifically from the underutilisation of the car parks, in which any potential Consolidation Centre and Electric Vehicle charging services would be based.

Conclusion

12. The City Corporation is taking a wide range of actions to deal with air pollution and its effect on health. Delivery of a Low Emission Neighbourhood will lead to an improvement in air quality in a sensitive area of the City and act as a platform to roll out successful interventions more widely. It will also act to reduce the risks associated with the current poor air quality in the City.
13. A LEN programme update will be submitted to your Committee in early 2017.

Background Papers: Low Emission Neighbourhood application for funding – main document. Available [online](#) and via hard copy from the Town Clerk's Department upon request.

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