

<b>Committee(s)</b>	<b>Dated:</b>
Port Health & Environmental Services Committee – For Information	21 05 2019
<b>Subject:</b> Department of the Built Environment Risk Management – Periodic Report	<b>Public</b>
<b>Report of:</b> Director of the Built Environment	<b>For Information</b>
<b>Report author:</b> Richard Steele	

### 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 the Built Environment are satisfactory and that they meet the requirements of the corporate Risk Management Framework.

This report only considers risks managed by the Department of the Built Environment that fall within the remit of the Port Health & Environmental Services Committee.

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

There is no Corporate Risk managed by the Department of the Built Environment. No new Departmental risks have been identified. The Departmental Risks are listed at Annex 2.

The Departmental Key Risk (DBE- TP-01 - Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business) continues to be assessed as Unlikely.

### 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 (Pentana Performance, formerly Covalent) system.
4. Each risk managed by the Department of the Built Environment is allocated to either the Planning & Transportation Committee or the Port Health & Environmental Services Committees. **This report only considers risks managed by the Department of the Built Environment that fall within the remit of the Port Health & Environmental Services Committee.**

Parallel periodic reports are submitted to the Planning & Transportation Committee.

### **Current Position**

5. This report provides an update on the current risks that exist in relation to the operations of the Department of the Built Environment that fall within the remit of the Port Health and Environmental Services Committee.
6. In order to reduce the volume of information presented, and accordance with the Corporate Risk Management Strategy, this report includes all Corporate and Departmental level risks but not Service Level risks (unless there are changes which are considered to be likely to be of interest to Members).
7. 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**

8. Risk and control owners are consulted regarding the risks for which they are responsible at appropriate intervals based on the level of risk and the likelihood that this level will change. In general RED risks are reviewed monthly; AMBER risk are reviewed quarterly; and GREEN risks are reviewed quarterly, 6 monthly or annually depending on the likelihood of change.

Changes to risks were, historically, reported to Members as part of the Business Plan report. Members now receive this report quarterly<sup>1</sup> in accordance with the Corporate Risk Management Strategy.

9. All significant risks (including Health & Safety risks) identified by the Department are managed through the Corporate Risk Management System.
10. Members will notice that some risks reported are already at the Target Risk Rating & Score and are only subject to Business As Usual actions. These risks are included in accordance with the Corporate Guidance "Reporting Risk Information to Grand Committees" to assist this committee to fulfil the role of Service Committees (as defined in the Corporate Risk Management Strategy) to

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<sup>1</sup> Due to the scheduling of meetings of the Port Health & Environmental Services Committee, and with the agreement of that Committee, these reports are presented at 4 months intervals instead of quarterly.

“Oversee the significant risks faced by the Departments in the delivery of their service responsibilities.” The annual target date for Business As Usual actions, and risks where we are at Target Risk, will be updated prior to the next report.

### **Significant Risk Changes**

11. Following successful implementation of the new cleansing & waste contract – Procurement Timings” risk (DBE-TP-13) has been closed.

### **Identification of New Risks**

12. 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.
13. 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.
14. No new departmental risks have been identified since the last report to Members.

### **Summary of Key Risks**

15. The Department of the Built Environment’s Risk Register includes one Key Risk:

#### **Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business (DBE-TP-01)**

Following implementation of the Corporate Transport Policy this risk continues to be assessed as having Impact 8 (Critical) and Likelihood 1 (Rare).

Since it is not possible to reduce the impact all our efforts continue to be directed to reduce the likelihood through compliance with the corporate Transport Policy.

97.6% (up from 96% at the last report) of City of London staff have now completed Driver Check (the Training Needs Analysis). Completion is now good and the lowest performing Department has an overall compliance of 92.7% (up from 87.9% at the last report).

Completion of the Corporate Transport Policy online training course by drivers and their managers (as identified by Driver Check) is over 98.4% (up from 98.0% at the last report).

Overall compliance with both Driver Check and the online training course is now at 95.7% (up from 95.1% at the last report). The Business as usual compliance target is 92.5%.

Business As Usual monitoring ensures that compliance is maintained at a level to give assurance that the likelihood of this risk occurring remains Rare.

The use of an online system (DAVIS) to maintain records of staff driving licences and, where staff use their own vehicle on business, the vehicle details. This system allows driving licences to be checked against DVLA records (normally every 6 months) to ensure drivers continue to be appropriately licenced.

There are currently 679 drivers registered on DAVIS (93.0% of the 730 who are identified as drivers through Driver Check). Of these there are 641 (94.4%) for whom licence checks have been carried out. 87.8%

The corresponding figures from the last report (January 2019) were: 658 drivers registered on DAVIS (92.0% of the 715 who are identified as drivers through Driver Check). Of these there are 618 (93.9%) for whom licence checks have been carried out.

Work is ongoing to match Driver Check and DAVIS records to increase compliance with driving licence checks. During this period compliance has improved from 86.4% to 87.8%

## **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 (Port Health & Environmental Services Committee)

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