

<b>Committee(s):</b> Property Investment Board – For information Corporate Asset Sub (Finance) Committee – For information	<b>Date(s):</b> 18 March 2020 01 April 2020
<b>Subject:</b> City Surveyor’s departmental risk register update	<b>Public</b>
<b>Report of:</b> The City Surveyor (CS 060/20)	<b>For Information</b>
<b>Report author:</b> Faith Bowman / John Galvin City Surveyor’s Department	

### Summary

This report has been produced to provide your Committee with a quarterly update on the management of risks within the City Surveyor’s Department.

The City Surveyor’s department currently has six amber risks on its Departmental Risk Register (Appendix 1).

A further departmental risk is contained in the non-public Appendix 3. This risk has been escalated from the Operations Group risk register.

The City Surveyor’s Department also manages the repairs and maintenance risks associated with the City Bridges. This register (Appendix 2) notes three red risks, which are:

- SUR CB 003 – City Bridges: Substantial vessel strike -  
Current risk score 16 (Red)
- SUR CB 006 – City Bridges: Wanton damage / terrorism  
Current risk score 16 (Red)
- SUR CB 007 – City Bridges: Tunnelling for the Thames Tideway Tunnel  
Current risk score 16 (Red)

### Recommendation(s)

Members are asked to:

- Note the report, and the actions taken within the City Surveyor’s Department to effectively monitor and manage 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. The Property Investment Board (PIB) and Corporate Asset Sub (Finance) Committee (CAsC) has determined that they will receive the City Surveyor’s risk register on a quarterly basis.

## **Current Position**

2. The City Surveyor's departmental risk register currently contains one red risk and six amber risks. The details of each of these are included in Appendix 1. A further risk is contained in Appendix 3.
3. The department also manages the repairs and maintenance risks associated with the City Bridges, of which there are currently three red risks. The details for these risks are included in Appendix 2.

## **Changes since last review**

4. The key changes since the last review was presented to Committee are:

### **A. SUR SMT 015**

This risk has been escalated up to the department risk register from the Operations Group. Further details on this risk have been included in Appendix 3 and will be covered in the non-public session.

### **B. SUR SMT 005 Recruitment and retention Current risk score 6 (Amber)**

This risk has been re-escalated to the departmental risk register from the Group level. Recruitment and retention continues to be a concern, with the department struggling to recruit high quality candidates in a very competitive environment. Initial discussions are ongoing with colleagues in Human Resources to develop a plan to address this issue.

## **Audit and Risk Management Challenge Session**

5. The Audit and Risk Management Committee hosted the City Surveyor in late January for one of their periodic Risk Challenge Sessions. A wide-ranging discussion was had, covering unauthorised works, sub-contractors, staffing and major projects.
6. The Committee recommended that the department consider the risk associated with potential performance failures by our service contractors. This risk is currently managed by the Operations Group at the level below that of the Departmental Risk Register. In line with the Committee recommendation, this risk has been comprehensively reviewed. It is felt that the current controls that are in place, combined with the generally positive performance, means that the risk is currently being managed at the right level. This will be kept under review in line with the organisation's Risk Management Framework.

## **Heatmap**

7. Through the performance dashboard tool, Power BI, it is possible to create heatmaps of the department's risks. Below is a graphical summary of the current public departmental risks (right). This relates to the information presented in Appendix 1 (departmental) and Appendix 2 (City Bridge) risks. Appendix 3 (non-public risk) is not included in this heatmap. A comparison with the those presented at the last report (December) is included as the table on the left. Note that this is

not tracking individual risks over time, rather it is a snapshot comparison of our overall risk profile.

	Minor	Serious	Major	Extreme
Likely			2	
Possible		1	3	
Unlikely			1	1
Rare				

Table 1: December 2019 Risk Heatmap

	Minor	Serious	Major	Extreme
Likely			2	
Possible		2	3	
Unlikely			1	1
Rare				

Table 2: March 2020 Risk Heatmap

## Conclusion

8. Members are asked to note the recent changes to the departmental risk register. The department continues to ensure that it manages its risks in line with best practice as described within the City Corporation's Risk Management Framework.

## Appendices

- Appendix 1 – City Surveyor's departmental risk register
- Appendix 2 – City Bridge top risks
- Appendix 3 – Non-public Appendix

## Background Papers

- The City Surveyor – Risk update – December 2019 (CS 500/19)
- The City Surveyor – Risk update – September 2019 (CS 372/19)
- The City Surveyor – Risk update – June 2019 (CS 197/19)

**John Galvin**

**Faith Bowman**

Business Performance and Improvement

T: 020 7332 3269

E: [john.galvin@cityoflondon.gov.uk](mailto:john.galvin@cityoflondon.gov.uk)