

Committee(s)	Dated:
Planning & Transportation Committee – For Information	08092020
Subject: Department of the Built Environment Risk Management – Quarterly Report	Public
Report of: Director of the Built Environment	For Information
Report author: Richard Steele	

Summary

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

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

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

Since the last report to Members there has been no change in the list of Corporate risks managed by the department and no new Departmental risks have been identified.

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

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

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

The Department has identified a number of risks in relation to COVID 19. The Departmental level risks are listed at Appendix 3 and are being reported to both this Committee and the 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 owners are consulted and risks are routinely reviewed with the updates recorded in the Corporate (Pentana) system.
3. Each risk managed by the Department of the Built Environment is allocated to either the Planning & Transportation Committee or the Port Health & Environmental Services Committees. **This report only considers risks managed by the Department of the Built Environment that fall within the remit of the Planning & Transportation Committee.**

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

Current Position

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

Risk Management Process

7. Risk and control owners are consulted regarding the risks for which they are responsible at appropriate intervals based on the level of risk and the likelihood that this level will change. In general, RED risks are reviewed monthly; AMBER risk are reviewed quarterly; and GREEN risks are reviewed quarterly, 6 monthly or annually depending on the likelihood of change.
8. Changes to risks were, historically, reported to Members as part of the Business Plan report. Members now receive this report quarterly in accordance with the Corporate Risk Management Strategy.
9. All significant risks (excluding Health & Safety risks, see paragraph 15) identified by the Department are managed through the Pentana System.

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

Significant Risk changes and other items of particular interest to Members

11. The one Corporate risk has been reviewed and remains RED. Further details are below in Summary of Key Risks.
12. Regular review of risks has identified one Departmental Level risk where the Current Risk score has changed.

The Risk Score for **DBE-TP-06 (S106 Controls)** has decreased from 8 (AMBER) to 4 (Green). The impact has been reduced from 4 (Major) to 2 (Serious) as a result of the mitigations and actions taken which have reduced the financial exposure.

13. **DBE-PL-02 (Not being alive to the needs/requirements of the world business centre and the political environment)** has been reviewed and whilst there is increased likelihood and impact as result of the changes in Planning Legislation (proposed and implemented) the increase is not *currently* sufficient to warrant an increase in likelihood or impact and therefore the risk score is unchanged.
14. The Target Risk Ratings/Scores have also been reviewed since the last report to Members and no changes have been identified.
15. While updating the Activity H&S Risk Assessments to include COVID-19 mitigations it became apparent that the Pentana system is not well configured to hold these risks and, pending a review by the Corporate Risk Advisor and the HR Health & Safety Manager, H&S risks are currently being managed outside Pentana. The only H&S risk reported to this Committee is DBE-02 Service/Pipe Subways and this will be found in Appendix 4.

Identification of New Risks

16. 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.
17. 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.
18. No other new risks that fall within the remit of the Planning & Transportation Committee have been identified since the last report.

COVID-19 Risks

19. The Department has identified two departmental risks arising from the impact of COVID19. These are held on the Public Services SILVER group risk register. Exceptionally these risks are being reported both to this Committee and to the Port Health & Environmental Services Committee.

- CVD19 SGPS 27 Failure to deliver the New DBE – Finance
- CVD19 SGPS 28 Failure to deliver the New DBE – Business Plan

The Department has established three BRONZE groups, two of which (Highways, Parking & Enforcement and Development & Construction) relate to the work of this Committee. Each of these BRONZE groups has identified a service risk relating to their (potential) failure to deliver the services required by SILVER. Whilst service risks are not routinely reported to Committees these two risks are included in Appendix 3 because they are likely to be of interest to Members in the present situation.

Since last reported to Members both **CVD19 SGPS 28 (Failure to deliver the New DBE – Business Plan)** and **CVD19 SGPS 26 (Failure by BRONZE to deliver the Development & Construction service required by SILVER)** have reduced in Likelihood from Likely (4) to Probable (3).

Summary of Key Risks

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

Road Safety (CR20) which is RED

This is the risk related to road traffic collisions.

This risk score remains assessed as 24 (RED) with a Likelihood of Probable (3) and an Impact of Extreme (8). This is above the Target Risk score of 16.

- The Bank on Safety interim scheme continues and is expected to complete in September.
- Pavement widening has been completed and with work on signals underway in collaboration with TfL.
- The 15mph request to DfT will be submitted in autumn 2020.
- We have supported TfL's temporary interventions to improve safety and enable social distancing on Bishopsgate and Gracechurch Street.
- A range of on-street measures to enable the safe return of the City's workforce and support COVID-19 recovery are being delivered.

Conclusion

21. Members are asked to note that risk management processes within the Department of the Built Environment adhere to the requirements of the City Corporation's Risk Management Framework and that risks identified within the

operational and strategic responsibilities of the Director of the Built Environment are proactively managed.

Appendices

- Appendix 1 – City of London Corporation Risk Matrix
- Appendix 2 – Register of DBE Corporate and Departmental risks (Planning & Transportation Committee)
- Appendix 3 – Register of DBE COVID19 SILVER group risks (Planning & Transportation Committee)
- Appendix 4 – DBE-02 Service/Pipe Subways

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