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| Committee(s) | Dated: |
| Port Health & Environmental Services Committee – For Information | 22 09 2020 |
| Subject: Department of the Built Environment Risk Management – Periodic Report | Public |
| Report of: Director of the Built Environment | For Information |
| Report author: 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 Appendix 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) remains RED.

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 Planning & Transportation 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 (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 expected likelihood of change.

Changes to risks were, historically, reported to Members as part of the Business Plan report. Members now receive this report quarterly¹ in

¹ 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.

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 Corporate Risk Management System.
10. Members will notice that some risks reported are already at the Target Risk Rating & Score and are only subject to Business As Usual actions. These risks are included in accordance with the Corporate Guidance "Reporting Risk Information to Grand Committees" to assist this committee to fulfil the role of Service Committees (as defined in the Corporate Risk Management Strategy) to "Oversee the significant risks faced by the Departments in the delivery of their service responsibilities."

Significant Risk Changes

11. Following the Reference from this Committee to the Establishment Committee regarding the lack of a single reference list of all those who work for the City of London work is being undertaken by Officers in the Town Clerk's Department to improve the reporting base. This work is incomplete and is expected to be delayed as a result of the impact of COVID19.
12. Once at least 95% of staff have completed Driver Check and 95% of drivers have completed the online Corporate Transport Policy training the Likelihood will revert to Rare. This risk remains RED.
13. In order to deliver services flexibly and safely in the present situation there has been a significant increase in the number of "grey fleet" drivers.
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. No H&S risks are currently reported to this Committee.

Identification of New Risks

16. New risks may be identified at the quarterly review of all risks; 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 new risks that fall within the remit of this 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 Planning and Transportation 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, one of which (Waste and litter service) relates 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 this risk is included in Appendix 3 because it is likely to be of interest to Members in the present situation.

Since last reported to Members **CVD19 SGPS 28 (Failure to deliver the New DBE – Business Plan)** has reduced in Likelihood from Likely (4) to Probable (3).

Summary of Key Risks

20. 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)

Pending completion of work by HR to improve the certainty regarding who works for the City of London (and is therefore in scope) the Likelihood of the risk remains Unlikely (2) and the Impact remains at 8 (Critical). As a result this risk remains RED.

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.

91.0% of City of London staff have now completed Driver Check (the Training Needs Analysis). Down from 91.2% in the last report. This is in part because of all the new staff at the Schools. Action is being taken to increase completion of Driver Check to at least 95%.

Completion of the Corporate Transport Policy online training course by drivers and their managers (as identified by Driver Check) is 97.3%, unchanged from the last report.

Overall compliance with both Driver Check and the online training course is now at 90.7%. Up from 90.5% in the last report. The Business as usual compliance target is 92.5%.

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 697 drivers registered on DAVIS (98.3% of the 709 who are identified as drivers through Driver Check). Of these there are 666 (95.6%) for whom licence checks have been carried out.

The corresponding figures from the last report (May 2020) were: 717 drivers registered on DAVIS (98.9% of the 725 who are identified as drivers through Driver Check). Of these there are 651 (90.8%) for whom licence checks have been carried out.

The corresponding figures from the previous report (January 2020) were: 624 drivers registered on DAVIS (90.6% of the 709 who are identified as drivers through Driver Check). Of these there are 620 (96.6%) for whom licence checks have been carried out.

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 (Port Health & Environmental Services Committee)
- Appendix 3 – Register of DBE COVID19 SILVER group risks (Port Health & Environmental Services Committee)

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