

Committee(s): Port Health & Environmental Services Committee	Dated: 20 January 2021
Subject: Risk Management – Periodic Update Report	Public
Which outcomes in the City Corporation’s Corporate Plan does this proposal aim to impact directly?	All
Does this proposal require extra revenue and/or capital spending?	N
If so, how much?	n/a
What is the source of Funding?	n/a
Has this Funding Source been agreed with the Chamberlain’s Department?	n/a
Report of: Director of the Built Environment Director of Markets and Consumer Protection Director of Open Spaces	For Information
Report authors: Richard Steele, Department of the Built Environment Donald Perry, Department of Markets and Consumer Protection Martin Falder, Open Spaces Department	

Summary

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

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

Risk is reviewed regularly within each department as part of the ongoing management of operations. 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.

Recommendation

Members are asked to:

- Note the report and the actions taken by each department to monitor and manage effectively risks arising from their operations.

Main Report

Background

1. The Risk Management Framework of the City of London Corporation requires each Chief Officer to report regularly to Committee on the key risks faced by their department.
2. Appendices 2, 3 and 4 present the current Risk Register Summaries of the:
 - Department of the Built Environment
 - Markets and Consumer Protection Department
 - Open Spaces Department

Current Position

3. This report provides an update on the key risks that exist in relation to the operations of the Department of the Built Environment, the Department of Markets and Consumer Protection, and the Open Spaces Department and which fall within the remit of the Port Health and Environmental Services Committee.

Risk Management Process

4. Risk Management is a standing agenda item at the regular meetings of each department's Senior Management Team.
5. Between Management Team meetings, risks are reviewed in consultation with risk and control owners, and updates are recorded in the corporate risk management system (Pentana).
6. Regular risk management update reports are provided to this Committee in accordance with the City's Risk Management Framework.

Identification of New Risks

7. New and emerging risks are identified through a number of channels, the main being:
 - Directly by Senior Management Teams as part of the regular review process.
 - In response to ongoing review of progress made against departmental Business Plan objectives and performance measures, e.g. slippage of target dates or changes to expected performance levels.
 - In response to emerging events and changing circumstances which have the potential to impact on the delivery of services, such as Brexit and the COVID-19 pandemic.

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

COVID-19 Risks

8. As part of the City Corporation's response to the threat of the COVID-19 virus affecting the operation of services and support for its stakeholders, a command and control structure has been implemented with Gold, Silver and Bronze levels to manage the ongoing situation.
9. Gold requested that all Silver Groups should develop COVID-19 risks that may affect the departments that report to these groups. These risks are now recorded on the Pentana Risk system.
10. Guidance has been issued to all Chief Officers to report relevant Silver Group risks to their appropriate service/Grand Committee with the regular risk update reports that committee would receive.
11. The COVID-19 risks for each department are included in the appendices to this report. Members are asked to note that, in general, no target date has been included for the mitigation of each risk given the current uncertainty over the duration of this pandemic.
12. This approach enables Members to question and seek assurance that departmental COVID-19 risks, held at Silver Group, are being managed and mitigated effectively.

Summary of Key Risks

Department of the Built Environment

13. 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. Good progress has been made working with the City Learning team to reduce uncertainty in the figures for those who are known to be working for the City of London.

14. 92.8% of City of London staff have now completed Driver Check (the Training Needs Analysis). Up from 91.0% in the last report. Action is being taken to increase completion of Driver Check to at least 95%.
15. Completion of the Corporate Transport Policy online training course by drivers and their managers (as identified by Driver Check) is 97.2% Down from 97.3% in the last report.

16. Overall compliance with both Driver Check and the online training course is now at 92.1%. Up from 90.7% in the last report. The Business as usual compliance target is 92.5%.
17. 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.

Department of Markets and Consumer Protection

21. The Department of Markets and Consumer Protection's Risk Register for Port Health & Public Protection Services, attached as Appendix 3a to this report, includes one Amber (Corporate) risk and one Amber Departmental risk:
CR21 – Air Quality (Amber, 12)
MCP – PHPP 001 – Brexit (Amber, 12)
22. The Department of Markets and Consumer Protection's COVID-19 Risk Register for Port Health & Public Protection Services, attached as Appendix 3b to this report, includes six risks:
CVD19 SPGS 34 – HARC Emerging recovery (Amber, 12)
CVD19 SGPS 20 – HARC Animal Welfare (Amber, 8)
CVD19 SGPS 21 – Port Health Imported Food and Feed (Amber, 6)
CVD19 SGPS 22 – Port Health Infectious disease control (Green, 4)
CVD19 SGPS 19 – City Mortality Planning Group (Green, 2)

Open Spaces Department

23. The Superintendent is currently reporting 4 amber risks to Committee. They are as follows:
- OSD CC 003 – Deterioration of buildings, plant, and machinery (Amber, 6)
 - OSD CC 009 – Systems Failure (Amber, 6)
 - OSD CC 010 – Extreme Weather (Amber, 6)
 - OSD CC 011 – Tree and Plant Diseases (Amber, 6)
24. All risks remain at the level previously reported in July 2020. The current score for OSD CC 009, 010, and 011, is the same as their target score, indicating that we intend to Accept this level of risk and manage them appropriately.
25. The Open Spaces Department currently reports on seven COVID-related risks to Audit and Risk Management Committee. These are as follows, for information:
- CVD19 SGPS 18 – Failure of Cemetery & Crematorium Services (Red, 16)
 - CVD19 SGPS 29 – Bridge Lifts at Tower Bridge (Amber, 6)
 - CVD19 SGPS 30 – Health and Safety of Visitors and Staff (Amber, 12)
 - CVD19 SGPS 32 – Income Generation and Financial Management (Red, 16)
 - CVD19 SGPS 35 – Reopening Services (Green, 4)
 - CVD19 SGPS 36 – Accelerated Long-term Damage to Sites (Amber, 12)
 - CVD19 SGPS 37 – Open Spaces Workforce Wellbeing (Amber, 6)

Corporate & Strategic Implications

Strategic implications: effective management of risk is at the heart of the City Corporation's approach to delivering cost effective and valued services to the public as well as being an important element within the corporate governance of the organisation.

Financial implications: None

Resource implications: None

Legal implications: None

Risk implications: the proactive management of risk, including the reporting process to Members, demonstrates that each of the departments is adhering to the requirements of the City of London Corporation's Risk Management Policy and Strategy.

Equalities implications: There are no proposals in this report that would have an impact on people protected by existing equality legislation.

Climate implications: None

Security implications: None

Conclusion

26. Members are asked to note that risk management processes within the Department of the Built Environment, the Department of Markets and Consumer Protection, and the Open Spaces Department adhere to the requirements of the City Corporation's Risk Management Framework. Risks identified within the operational and strategic responsibilities of each department are proactively managed.

Appendices

- Appendix 1 – City of London Corporation Risk Matrix
- Appendix 2
 - a) Department of the Built Environment Risk Register
 - b) Department of the Built Environment COVID-19 Risk Register
- Appendix 3
 - a) Department of Markets and Consumer Protection Risk Register
 - b) Department of Markets and Consumer Protection COVID-19 Risk Register
- Appendix 4
 - a) Open Spaces Department Risk Register
 - b) Open Spaces Department COVID-19 Risk Register

Contacts

Richard Steele, Department of the Built Environment
T: 07525 617 411

E: Richard.Steele@cityoflondon.gov.uk

Donald Perry, Head of Business Performance, Department of Markets and Consumer Protection

T: 020 7332 3221

E: Donald.Perry@cityoflondon.gov.uk

Martin Falder, Project Support Officer, Open Spaces Directorate

T: 020 7332 3517

E: Martin.Falder@cityoflondon.gov.uk