

Committee(s): Port Health & Environmental Services Committee	Dated: 18 May 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
Report of: Director of the Built Environment Director of Markets and Consumer Protection Director of Open Spaces	For Information
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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
 - Department of Markets and Consumer Protection
 - 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 along with the regular risk update reports.
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 for Port Health and Environmental Services Committee is attached to this report as Appendix 2a. These are as follows:
 - DBE-TP-01** Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business (Red 16)
 - DBE-TP-07** A major incident, such as flooding or fire, makes Walbrook Wharf unusable as a depot (Green 4)
14. 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. This risk is being actively managed with colleagues in the Town Clerks department and a detailed update will be presented to this committee in September.
15. The Department of the Built Environment's COVID-19 Risk Register for Port Health & Public Protection Services, attached as Appendix 2b to this report, includes five risks:
 - CVD19 SGPS 24** Failure by BRONZE to deliver the Waste and Litter service required (Amber 8)
 - CVD19 SGPS 25** Failure by BRONZE to deliver the Highways, Parking & Enforcement service (Amber 8)

CVD19 SGPS 26 Failure by BRONZE to deliver the Development & Construction service (Amber 6)

CVD19 SGPS 27 Failure to deliver the New DBE - Finance (Amber 4)

CVD19 SGPS 28 Failure to deliver the New DBE – Business Plan (Amber 4)

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 Red Departmental risk:

CR21 Air Quality (Amber, 12)

MCP-PHPP 001 Brexit (Red, 24)

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 five risks:

CVD19 SPGS 34 HARC Emerging recovery (Amber, 12)

CVD19 SGPS 20 HARC Animal Welfare (Amber, 12)

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, 4)

23. The Department of Markets and Consumer Protection has an additional departmental risk which is exempt from public disclosure by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972. Appendix 5 to this report contains the details of the risk for consideration by Members in closed session.

Open Spaces Department

24. The Cemetery and Crematorium Risk Register for Port Health and Environmental Services Committee is attached to this report as Appendix 4a.

The Cemetery and Crematorium risks are as follows:

- **OSD CC 003** – Deterioration of buildings, plant and machinery (Amber, 8) (Increased from 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)

25. Three of the risks (Systems failure, Extreme weather and Tree and plant diseases) remain at the same level as previously reported. Their target score is at the same level as their current score, and we 'accept' these risks.

26. **OSD CC 003** – Deterioration of buildings, plant and machinery, has increased from Amber 6 to Amber 8. This reflects the lack of CWP budget for building maintenance. Although the cremator replacement project is now complete, the risk to other buildings and infrastructure remains. The target score for this risk is

the same as its current risk level, as we do not currently have the budget to mitigate it.

27. The Departmental Open Spaces COVID-19 Risk Register for Port Health and Environmental Services Committee is attached to this report as Appendix 4b. Risks related to the operation of the Cemetery and Crematorium have been included. The risks included are as follows:
- CVD19 SGPS 18 – Failure of Cemetery & Crematorium Services (Green, 4) (Reduced from Red, 16)
 - CVD19 SGPS 30 – Health and Safety of Visitors and Staff (Amber, 12)
 - CVD19 SGPS 37 – Open Spaces Workforce Wellbeing (Amber, 8)
28. CV19 SGPS 18 - Failure of Cemetery & Crematorium Services, has reduced significantly as demand has dropped and is now reporting at Green. We will be continuing to report on this risk until the possibility of another spike has passed.
29. The remaining two risks remain at steady state. CVD19 SGPS 37 has not previously been reported to this committee, as it was first added to the risk register in December 2020. Full details of this risk can be found at Appendix 4b.
30. In accordance with current corporate risk guidance, COVID-19 risks where the risk approach is set to 'Accept' have had their Target Score removed from the report.

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

31. 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
- Appendix 5 **(for consideration in Closed Session only)**
Department of Markets and Consumer Protection **Non-Public** Risk Register

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