

Committee: Markets Committee	Date: 23 January 2017
Subject: Markets Committee Risk	Public
Report of: David Smith Director of Markets and Consumer Protection	For Information
Report author: John Smith Department of Markets and Consumer Protection	

Summary

This report has been produced to provide the Markets Committee with assurance that risk management procedures in place within the Department of Markets and Consumer Protection are satisfactory and that they meet the requirements of the corporate Risk Management Framework.

Risk is reviewed regularly by the departmental Senior Management Team as part of the on-going management of operations within the Department of Markets and Consumer Protection. 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.

The Department of Markets and Consumer Protection have identified a number of departmental risks. Of these, the most significant risks for this Committee to consider are:

- MCP-NS 001 – Workplace Traffic Management (Current Risk: AMBER)
- MCP-SM 001 – HGV Unloading Operations (Current Risk: RED)

Recommendation(s)

Members are asked to:

- Note the report and the actions taken in the Department of Markets and Consumer Protection to monitor and manage effectively 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.

Current Position

2. This report provides an update of the key risks that exist in relation to the operations of the wholesale markets within the Department of Markets and Consumer Protection. The report also outlines the processes adopted for the on-going review of risk and mitigating actions.

Risk Management Process

3. The Department of Markets and Consumer Protection risk management is a standing agenda item at the regular Departmental Senior Management Group (SMG) meeting, over and above the suggested quarterly review. SMG receives the risk register for review, together with a briefing note highlighting any changes since the previous review. Consideration is also given as to whether any emerging risks exist for inclusion in the risk register as part of Divisional updates on key issues from each of the Superintendents and Assistant Directors, ensuring that adequate consideration is given to operational risk.
4. Between each SMG meeting, risk and control owners are consulted regarding the risks for which they are responsible, with updates captured accordingly.
5. Regular risk management update reports are provided to this Committee in accordance with the City's Risk Management Framework.

Identification of New Risks

6. New and emerging risks are identified through a number of channels, the main being:
 - Directly by SMG as part of the regular review process.
 - In response to regular review of delivery of the departmental Business Plan; slippage against key deliverables, for example.
 - Annual, fundamental, risk register review, undertaken by the tier of management below SMG.

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

Summary of Key Risks

7. The Department of Markets and Consumer Protection's Risk Register for Markets, attached as Appendix A to this report, has one RED risk and one AMBER risk:

MCP-NS 001 – Workplace Traffic Management (Current Risk: AMBER)

Over 200 forklift trucks are in operation on the New Spitalfields Market site.

An accident involving a pedestrian and a vehicle which resulted in a serious or life changing injury could result in prosecution, a fine, reputational damage for the City and have an adverse impact on the operation and sustainability of the service.

MCP-SM 001 – HGV Unloading Operations (Current Risk: RED)

A lack of suitable and sufficient training and adequate management controls in relation to Heavy Goods Vehicle banksman activities, undertaken by staff employed by Smithfield Market tenants, on an area under the overall control of the City, could result in a serious or life changing injury to pedestrians, caused by uncontrolled or unguided reversing vehicles.

An accident involving a pedestrian and a vehicle which resulted in a serious or life changing injury could result in prosecution, a fine, reputational damage for the City and have an adverse impact on the operation and sustainability of the service.

This risk was previously rated as AMBER and although some safety improvements have been made, as yet we do not have the full co-operation of the market tenants and as their collaboration is key to reducing this risk we have temporarily escalated this risk back to its previous RED rating.

Conclusion

8. Members are asked to note that risk management processes within the Department of Markets and Consumer Protection adhere to the requirements of the City Corporation's Risk Management Framework. Risks identified within the operational and strategic responsibilities of the Department of Markets and Consumer Protection are proactively managed.

Appendices

- Appendix A – Markets Risk Register Summary

Background Papers

Department Business Plan
Department Risk Review
Department Business Plan Progress Report
Risk Management Strategy

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MCP Markets Committee Risk Report Appendix A

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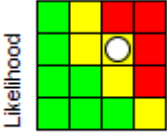
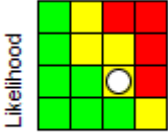

Rows are sorted by Risk Score

Code & Title: MCP-NS New Spitalfields Risk Register 1 MCP-SM Smithfield Risk Register 1

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
MCP-SM 001 HGV Unloading Operations 24-Feb-2015 Matthew Hill	<p>Cause: A lack of suitable and sufficient training and adequate management controls in relation to Heavy Goods Vehicle banksman activities undertaken by staff employed by Smithfield Market tenants.</p> <p>Event: Serious or life changing injury to members of the public, market staff and other service users caused by uncontrolled or unguided reversing vehicles.</p> <p>Effect: Realisation of this risk could result in a prosecution, fine and reputational damage for the City.</p>	 Likelihood Impact	16	This risk was previously rated as AMBER and although some safety improvements have been made, as yet we do not have the full co-operation of the market tenants and as their collaboration is key to reducing this risk we have temporarily escalated this risk back to its previous RED rating. 12 Dec 2016	 Likelihood Impact	8	31-Mar-2017	 Increased Risk Score

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
MCP-SM 001d Work with local venues	Work with local licenced venues to segregate pedestrians from market traffic.	Regular contact is maintained with Oriole, Smiths and Fabric. This includes partnership working with the CoL Police throughout events such as the Christmas Traffic Plan where the police took the action to address local business liaison.	Paul Spooner	06-Jan-2017	31-Mar-2017
MCP-SM 001e Review infrastructure	Review signage, barriers and pedestrian crossing points and make improvements where required.	White lining in East Poultry have been re painted to reinforce vehicle/pedestrian priority. Other measures continue to be reviewed e.g. signage. Traffic calming measures have been installed restricting the width of the road in East Poultry with an enhanced pavement and bollard installation which is a significant improvement and risk reduction. Regular review inspection and maintenance of all lining is in place. Additionally, a signage audit has been undertaken by the DBE who have committed to replace and update all signage on the Market by the end of year 2016/2017.	Paul Spooner	06-Jan-2017	31-Mar-2017

MCP-SM 001f Review delivery practices	Work with the Market Tenants' Association to review sender delivery practices.	The SMTA have agreed a meeting to discuss progress before the January Freight Transport Association visit.	Paul Spooner	06-Jan-2017	31-Mar-2017
MCP-SM 001g Produce guidance for drivers	Produce a pamphlet containing site rules and a map showing delivery points for each stand.	Currently progressing a site rules information document which will include parking information. The Market website is to be updated but no staff have access to the site. This is an IT issue. Staff are to be trained when course are available to enable the change to be made internally. Loading bays are all clearly identified and there are signs displaying the correct classes for use of loading bays.	Paul Spooner	06-Jan-2017	31-Mar-2017
MCP-SM 001h Monitor traffic routes.	Monitor market traffic routes.	Regular checks of pallets in loading bays are conducted by the constabulary and a fall in the amount of loading bays blocked by produce has been recorded. As a result, The Market Superintendent has addressed this by writing to offending company principles. As a result there has been significant improvement.	Paul Spooner	06-Jan-2017	31-Mar-2017
MCP-SM 001i Review unloading practices	Work with the Market Tenants' Association to review unloading practices.	The COL has made clear to the SMTA that its current level of training is unacceptable. The SMTA have agreed to commission suitable refresher training with the Freight Transport Association and this will be implemented by the end of January 2017, holding sessions on a quadrant by quadrant basis as before. In addition local training by the Head of Maintenance in new barriers and equipment has been completed. Loading bay equipment training took place on the 11th October and tenants have been supplied with a handbook explaining how to operate the equipment.	Paul Spooner	06-Jan-2017	31-Mar-2017
MCP-SM 001j Review forklift management.	Review and implement the local forklift truck management scheme.	The Constabulary continue to be proactive in dealing with this issue.	Paul Spooner	06-Jan-2017	31-Mar-2017

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
MCP-NS 001 Workplace Traffic Management 24-Feb-2015 Ben Milligan	Cause: Over 200 forklift trucks operate on the New Spitalfields Market site. Event: There is a serious risk of life changing injury to a pedestrian if vehicle movements in this constrained space are not appropriately managed and controlled. Effect: An accident involving a pedestrian and a vehicle which resulted in a serious or life changing injury could result in prosecution, a fine, reputational damage for the City and have an adverse impact on the operation and sustainability of the service.	 Likelihood	12	Mitigation works are continuing and a program of line marking has commenced to identify no parking areas etc. HGV and van parking areas are being considered to improve safe parking and loading. Due to weather constraints line marking is now proving difficult 05 Dec 2016	 Likelihood	8	02-Jan-2017	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
MCP-NS 001i Train Managers In Forklift Safety	A member of staff from all tenants to be nominated and trained in FLT safety procedures.	Meeting held with Morgan Training Solutions. They will build a training scheme now to deliver to 15-20 managers at a time. COL will sign off course content and the SpMTA will facilitate the booking/promotion.	Ben Milligan	14-Nov-2016	27-Jan-2017
MCP-NS 001j Create Time Segregation	Artic Time Segregation and No Tolerance in market hall.	A parking policy has now been implemented that encompasses HGV parking. Penalty charge notices have been implemented to ensure that vehicles park in their respective areas. Curtain side trucks now have special provision for their parking and unloading. An offence has been created for forklift drivers unloading HGVs outside loading times allowable around the market. HGVs onsite must not unload around the market beyond 3am up until 8am. Once the car park at the far end of the market has been reviewed and the parking changed, as required, these HGVs will not be allowed to unload around the market between 12 midnight and 8am. This is the next step in the process.	Ben Milligan	14-Nov-2016	27-Jan-2017
MCP-NS 001k Install Barrier System	Controlled barriers entry system for pedestrians and vehicles.	Project, Project Sub, and Markets Committees all passed with no issues. Procurement are now inviting potential installation companies in to show the level of technical solution they believe should be installed. Once this has occurred, a detailed gateway 5 report will be created for final sign off at the Markets Committee.	Ben Milligan	07-Sep-2016	01-Oct-2018