

Committee(s)	Dated:
Port Health & Environmental Services Committee – For Information	24012017
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 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.

Since the last report to Members there have been no changes in the list of Corporate or Red risks managed by the department.

There is no Corporate Risk managed by the Department of the Built Environment.

There is one Departmental RED Risk managed by the Department of the Built Environment. This is:

- DBE- TP-01 - Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business (Current Risk: RED - unchanged).

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 (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.
8. Members may wish to be assured that in relation to Service Level risk DBE-TP-06 (City Streets / pavements not kept passable during times of snow) the Snow Plan has been reviewed for winter 2016/17; the vehicles calibrated and we are fully stocked with salt (there also provision to purchase additional salt should it be required).

Risk Management Process

9. 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.

10. Changes to risks were, historically, reported to Members as part of the Business Plan report. Members now receive this report quarterly¹ in accordance with the Corporate Risk Management Strategy.
11. Risk and control owners are consulted regarding the risks for which they are responsible quarterly. Historically changes to risks have been reported to Members as part of the Business Plan report. In future the Port Health and Environmental Services Committee will receive this report 4-monthly.
12. All significant risks (including Health & Safety risks) identified by the Department have been added to the Covalent Corporate Risk Management System.

Significant Risk Changes

13. Regular assessments of risks have identified no increase or decrease in the Risk Score any Departmental risk.

Identification of New Risks

14. 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.
15. 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.
16. No new risks have been identified since the last report.
17. The impact of Brexit continues to be noted in several risk reviews but all relate to the work of the Planning & Transportation Committee.

Planning for the Future City

18. The Department's Business Plan for 2016/19 is focused on the Future City with a vision of 'creating and facilitating the leading future world class City'

It is critical that the department, whilst focused on its vision, continues to deliver its key services and facilitates delivery by our partners. Our risk registers are currently aligned to this work.

As we develop long term ambitious strategies for the Future City through the cross departmental Chief Officer Place Steering Group this will lead to the identification of more strategic risks and opportunities, which in turn will inform those strategies.

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.

Summary of Key Risks

19. The Department of the Built Environment's Risk Register includes one RED risk:

- **Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business (DBE-TP-01)**

This risk is assessed as having Impact 8 (Critical) and Likelihood 2 (Unlikely).

Over 75% of City of London staff have now completed Driver Check (the Training Needs Analysis). However completion is patchy with some departments achieving 100% and others as low as 30%.

Completion of the Corporate Transport Policy online training course by drivers and their managers (as identified by Driver Check) is already over 80%.

Departments with a low completion rate have been contacted and provided with details of who has, and who has not, completed the necessary training. A compliance report will be presented to Chief Officers in early 2017 and the target date for an overall compliance rate of 80% in all aspects (and reduction of the risk from RED to AMBER) has been adjusted accordingly.

20. Members may wish to be aware that routine Contract monitoring has resulted in an increase in the likelihood the Service Level risk DBE-TP-05 (Continued significant service failure by major contractor) from Rare to Unlikely. A detailed rectification plan has been agreed between the City and the contractor to address underperformance on KPI. This plan is subject to weekly monitoring.

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)

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