

<b>Committee:</b> Markets Committee	<b>Date:</b> 19 July 2017
<b>Subject:</b> Markets Committee Risk	<b>Public</b>
<b>Report of:</b> Director of Markets and Consumer Protection	<b>For Information</b>
<b>Report author:</b> Don Perry 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.

On 26 June at the 2017 Alarm Risk Awards "Recognising risk excellence, the New Spitalfields Market team was highly commended in the Operational Award for their 'Controlling workplace transport risks' initiative. This was a result of much hard work and commitment by all staff at New Spitalfields to improve the health and safety culture at the site.

Market Superintendent, Ben Milligan, accepted the award on behalf of the team at the awards dinner at The Principal Hotel, Manchester.

### **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 is still rated as RED as although some safety improvements have been made, as yet, the key actions that will reduce the risk to amber have not been fully implemented.

A separate detailed report on this risk is also going to this Committee.

## **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

### **Contacts:**

Donald Perry (*Report author*)  
Head of Business Performance  
T: 020 7332 3221  
E: [donald.perry@cityoflondon.gov.uk](mailto:donald.perry@cityoflondon.gov.uk)

Smithfield Market:  
Superintendent – Mark Sherlock  
T: 020 7332 3747  
E: [mark.sherlock@cityoflondon.gov.uk](mailto:mark.sherlock@cityoflondon.gov.uk)

New Spitalfields Market:  
Superintendent – Ben Milligan  
T: 020 8518 7670  
E: [ben.milligan@cityoflondon.gov.uk](mailto:ben.milligan@cityoflondon.gov.uk)

Billingsgate Market:  
Superintendent – Malcolm Macleod  
T: 020 7332 3067  
E: [malcolm.macleod@cityoflondon.gov.uk](mailto:malcolm.macleod@cityoflondon.gov.uk)

# MCP Markets Committee Risk Report Appendix A

Report Author: Donald Perry

Generated on: 05 July 2017



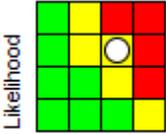
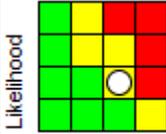
Rows are sorted by Risk Score

Code & Title: MCP Department of Markets and Consumer Protection Risk Register 1 MCP-NS New Spitalfields Risk Register 1 MCP-SM Smithfield Risk Register 2

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	<p><b>Cause:</b> 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><b>Event:</b> 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><b>Effect:</b> Realisation of this risk could result in a prosecution, fine and reputational damage for the City.</p>	<p>Likelihood</p> <p>Impact</p>	16	<p>Work with the SMTA towards the completion of the allocated actions has been agreed, e.g. the SMTA has commissioned training for its banksmen using the FTA as provider. Training was completed 29 June 2017. To review progress the 12 July is set with 2 monthly reviews on progress thereafter.</p> <p>Banksman training complete, a jointly signed letter from the Superintendent and Chairman of the SMTA will be issued to all Market freight transport companies, confirming the improved operational safety standards required and the consequential lock-off of the delivery bays if these standards not be met. This letter will include a site plan, delivery process and site rules</p>	<p>Likelihood</p> <p>Impact</p>	12	31-Jul-2017	↔

				effective from July 17.				
24-Feb-2015 Mark Sherlock				<b>05 Jul 2017</b>				No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
MCP-SM 001e Review infrastructure	Review signage, barriers and pedestrian crossing points and make improvements where required.	Traffic calming measures have been completed restricting the width of the road in West Smithfield and East Poultry with an enhanced pavement and bollard installation which is a significant improvement and risk reduction. A review of all lining and signage has been undertaken. The DBE are now seeking to gain authority from the DFT and or Committee to repaint as is and renew amend signage to further enhance and update all on the Market by the end 2017.	Mark Sherlock	16-Jun-2017	31-Jul-2017
MCP-SM 001f Review delivery practices	Work with the Market Tenants' Association to review sender delivery practices.	Banksman training is completed 29 June 17, a jointly signed letter from the Superintendent and Chairman of the SMTA will be issued to all Market freight transport companies, confirming the improved operational safety standards required and the consequential lock-off of the delivery bays if these standards not be met. This letter will include a site plan, delivery process and site rules effective from July 17.	Mark Sherlock	05-Jul-2017	31-Jul-2017
MCP-SM 001g Produce guidance for drivers	Produce a pamphlet containing site rules and a map showing delivery points for each stand.	Banksman training is completed 29 June 17, a jointly signed letter from the Superintendent and Chairman of the SMTA will be issued to all Market freight transport companies, confirming the improved operational safety standards required and the consequential lock-off of the delivery bays if these standards not be met. This letter will include a site plan, delivery process and site rules effective from July17.	Mark Sherlock	05-Jul-2017	31-Jul-2017
MCP-SM 001h Monitor traffic routes.	Monitor market traffic routes.	This continues to be monitored by the Constabulary and reported on to the Superintendent.	Mark Sherlock	16-Jun-2017	31-Jul-2017
MCP-SM 001i Review unloading practices	Work with the Market Tenants' Association to review unloading practices.	Banksman training is completed 29 June 17, a jointly signed letter from the Superintendent and Chairman of the SMTA will be issued to all Market freight transport companies, confirming the improved operational safety standards required and the consequential lock-off of the delivery bays if these standards not be met. This letter will include a site plan, delivery process and site rules effective from July 17 onwards.	Mark Sherlock	05-Jul-2017	31-Jul-2017
MCP-SM 001j Review forklift management.	Review and implement the local forklift truck management scheme.	The current FLT scheme policy and procedure has been reviewed. The revised policy and procedure has been issued to the market constabulary. The Market Superintendent has updated the Working Manual to this effect and will now be on the agenda for the H&S Forum in July 17	Mark Sherlock	05-Jul-2017	31-Jul-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 <b>Workplace Traffic Management</b>  24-Feb-2015 Ben Milligan	<b>Cause:</b> Over 200 forklift trucks operate on the New Spitalfields Market site. <b>Event:</b> 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. <b>Effect:</b> 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	Outstanding issues are being pursued with tenants and further behavioural changes for timed segregation will be applied following the installation of Entrance barriers. This is subject to planning approval which is being sought at this time.  <b>15 Jun 2017</b>	 Likelihood	8	29-Dec-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	08-Feb-2017	29-Dec-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	08-Feb-2017	29-Dec-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