

Committee(s)	Dated:
Port Health & Environmental Services Committee – For Information	22 May 2018
Subject: Department of the Built Environment Risk Management – Periodic 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 risks managed by the department. No new Departmental risks have been identified.

There is no Corporate Risk managed by the Department of the Built Environment. The Departmental Risks are listed at Annex 2.

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) continues to be assessed as Unlikely. The Business As Usual compliance target (originally 80) is now 92.5% and we are currently achieving 92.1%.

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.

Risk Management Process

8. 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.

9. 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.
10. All significant risks (including Health & Safety risks) identified by the Department have been added to the Covalent Corporate Risk Management System.

Significant Risk Changes

11. Routine monitoring has identified no significant risk changes since the last report.

Identification of New Risks

12. 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.
13. 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.

No new Departmental level risks have been identified since the last report.

The two new risks that were reported to Members in January (which relate to the retendering of the cleansing & waste contract) are being monitored and there are further details below.

14. The risks associated with each project across the entire DBE project portfolio are currently being reviewed. The outcome of this exercise will be reviewed at the second stage of the training which is planned for the first week of June. The objective remains to standardise process and escalation procedures across all projects.

Summary of Key Risks

15. 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)**

Following implementation of the Corporate Transport Policy this risk continues to be assessed as having Impact 8 (Critical) and Likelihood 1 (Rare).

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.

Over 94% (up from 92% at the last report) of City of London staff have

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.

now completed Driver Check (the Training Needs Analysis). Whilst completion remains patchy no department is now below 69% (up from 67% at the last report) and only two departments are below 80% (unchanged from the last report).

Completion of the Corporate Transport Policy online training course by drivers and their managers (as identified by Driver Check) is over 97% (up from 95% at the last report).

Overall compliance with both Driver Check and the online training course is now at 92.1% (up from 91.5% at the last report).

The Business as usual compliance target was increased to 92.5% earlier this year and compliance has already improved so that the difference between target and achieved (0.4%) represents 15 members of staff and all departments are provided with periodic reports which include details of all staff who are not compliant.

Business As Usual monitoring ensures that compliance is maintained at a level to give assurance that the likelihood of this risk occurring remains Rare.

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.

There are currently 700 (94% of 740 who are identified as drivers through Driver Check) registered on DAVIS. Of these there are 627 (89%) for who we have a "current" licence check. Work is ongoing to match Driver Check and DAVIS records to increase compliance with driving licence checks.

Other Risks of particular interest to Members

16. The Department of the Built Environment's Risk Register includes two other Risks regarding which Members have expressed particular interest. Both relate to the retendering of the cleansing and waste contract:

- DBE-TP-12 relates to the risk that the tender process will result in (a) greater expense (for the same level of service); or (b) deliver a lower level of service (for the same cost) (or a combination of the two).
- DBE-TP-13 relates to the risk that if there are delays to the procurement process or the mobilisation process we may not have a new fully functioning contract in place before the existing contract expires.

There has been no change in the risk score of either risks and they are both believed to be well controlled. Both of these risks appear in Appendix 2.

Conclusion

17. 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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