

Committee(s):	Date(s):	Item no.
Audit & Risk Management Committee	20 th Sept 2012	
Subject: Health and Safety Top 10 Risk Register	Public	
Report of: Director of HR	For Information	
<u>Summary</u>		
<p>This report was requested for the September Committee meeting in March when the Committee reviewed the Health and Safety (H&S) strategic risk as part of its work plan. The report sets out a brief introduction to the TopX risk management process and then focuses on the Top 10 H&S risks, identifying the nature and character of the risks, together with the mitigating actions agreed and progress to date.</p>		
Recommendations		
<ul style="list-style-type: none"> • The Committee receives the report 		

Main Report

Background

1.1 The Top X system is a corporate H&S risk management tool that has been in place at the City Corporation for some time. It is designed to allow proactive management of safety risks and corporate overview of the main risks. It is key to successfully embedding effective H&S risk management within the organisation.

The TopX System

2.1 Departmental managers must carry out risk assessments and maintain safety risk registers for the services they are delivering. Once identified, risks must be analysed based on level of risk, likelihood and consequence and actively managed until they have reached the stage where all reasonably required practicable controls are in place and the risk is tolerated. Where local management are not able to tolerate and/or are unable to control a risk, it must be placed on their Top X register. This is passed up the management structure for resolution. The risk is escalated within the department and ultimately corporately, if required, until it can be managed.

2.2 There are various levels of scrutiny and monitoring. This is a key feature of Top X as it allows a depth of assurance that key uncontrolled risks will be picked up and managed where necessary. This makes it a “living” and meaningful process.

2.3 Twice a year formal returns are made by departments into the central H&S team in Human Resources. The action plans, controls and tolerances are critically analysed which allows them to be ranked according to risk. These are then compiled into a corporate summary (Top X register) of the risks in all departments that potentially carry a corporate impact.

- 2.4 The summary is presented to the H&S Committee (a senior officer and employee representative group which meet twice a year in May and November to consider H&S risks and activities at a corporate level) who can review, examine and initiate work streams as necessary to ensure safety risks are proactively managed or tolerated. Chief Officer Group (COG) will also have regular visibility of this list and be able to track progress. Immediate action is taken by the corporate safety team as new risks are identified.
- 2.5 See Appendix A for the current corporate safety risk register. The information is tabulated for ease and allows the risks to be tracked from each reporting period tracking the risk's movement; depending on controls implemented by the department. It also presents the overall risk factor and severity through the use of a quantitative scoring system and a colour coding for the risk tolerance.
- 2.6 It is important to note that the TopX H&S process mirrors the risk management framework as per the Risk Management Handbook. Some of the mechanisms differ due to the specific nature of safety and the clear legislative drivers behind issues but as a process it provides a corporate consistency to our overall risk management processes, and has resulted in the mitigation of a number of complex risks, please see paragraph 3.1 iii and x for some examples.

Current Top 10 Corporate Risks

- 3.1 This sets out the risks as at the last review in May 2012 (next one due November 2012). All the risks have the potential for serious harm. Many of the risks have been controlled and are due to come off the list at the next review, (noted below and in Appendix A).

Fire Risk in Buildings

- i. This was a dynamic risk identified within Community and Children's Services as a result of maintenance work which identified poor quality contractor work in a particular residential block. An emergency work programme was put in place to rectify the issues, which has been completed and has received formal sign off by the relevant Local Authority Building Control Officer. A separate risk, in the same residential block, was identified in that the wireless alarm system had "wireless blind spots". This matter has been resolved, with a further recommendation that when the alarm system is replaced in the spring of 2013, that this be done with a "hard wired" rather than a "wireless" system.

Reservoir Works

- ii. This risk covers the works required to large retained water bodies across all Open Spaces; most particularly but not exclusively Hampstead Heath and Epping Forest. The Hampstead Heath flood and water quality project is an element of this risk. It covers issues such as the danger of overtopping, dam failure and flooding; resulting in destruction of property, serious injury or deaths. This requires input at the corporate level with control of contractors and community and stakeholder consultation and engagement. Stakeholder consultations have commenced at both Epping and Hampstead. Committee authorisation has been obtained for the appointment of specialist consultants

and design teams. For Hampstead, appointments will be finalised in October, presentations by potential Strategic Landscape Architects have been made to the stakeholders and further investigations regarding other potentially affected landowners are on-going.

Fire and Evacuation

- iii. This risk was identified by the Barbican Centre. With the redundancy of the fire safety team, a new process needed to be introduced before their departure to effectively manage fire evacuations. A new process has been agreed and customer experience staff trained. A test exercise was successfully carried out. The Customer Experience Team are now fully operational and directly managing the Fire Safety Systems for the Centre and Exhibition Halls. The last part of the process was completed mid-August. Monitoring of performances, activations, on-going training and drills will continue by the Customer Experience Management Team supported by the Centre's Fire Management Team. This risk will now come off the Corporate Top X.

Fire Risk in Residential Blocks

- iv. This was a proactive review by Community and Children's Services of fire risk based on incidents in other authorities. There were no issues identified. This risk will now come off the Corporate Top X.

Building Maintenance

- v. Identified by the City Surveyor's Department, this risk focuses on ensuring contractors are competent and complying with legal requirements. The department have now engaged 2 main contractors for Building Repairs and Lift Maintenance, replacing our existing 350+ contractors. They are also putting in place Frameworks to cover projects and construction which will have pre-vetted suppliers. This has reduced the risk of ensuring our contractors are competent in complying with legal requirements. Those specialist contractors, projects and construction that fall outside of pre-vetted instructions, will be included in a new policy that will include vetting procedure and the control of contractors for day to day on site management, including the following; permits to work, risk assessments, method statements, and safe working. The policy is due to be published at the beginning of October.

Police H&S Risk

- vi. The City Police identified a risk which will be covered by an appendix in the non-public agenda.

Work at Heights

- vii. This risk was identified by the Markets and Consumer Protection department. It relates to maintenance, installation and general repairs using ladders, portable towers etc. and roof working. Control measures agreed include ensuring that safety lines are repainted and investigation of a safety system for the roof of one market, ensuring that all contractors comply with the requirements of permits to work, rescue plans completed where required and 2 person working for all high risk work. This is currently being managed and risk-reduced across the department and we believe that these measures now

mean that, although it remains a risk, all reasonable measures have been taken.

Event Management

- viii. This matter was raised by Remembrancer's and covered a range of potential scenarios including breaches of security , food hygiene issues, inadequate 3rd party risk assessments and improper evacuation of guests and staff at events. Mitigating actions include liaising with the Security Superintendent and risks assessing all events. Raising awareness of evacuation procedures, and providing additional training where necessary, ensuring Environmental Services continue with rigorous checks of caterers, and developing a checklist for outside venues. There has been the recent view of evacuation procedures and a protocol has been developed with Surveyor's (who lead) which has resolved the issue.

Fire at Buildings

- ix. This was identified as a risk by the City Police (CoLP) in relation to a number of potential fire hazards across the Force estate. A fire safety audit and risk assessments for CoLP buildings have been completed and all recommendations have been actioned. All officers and staff are required to undertake fire safety training and compliance is monitored at Directorate and Force H&S meetings. Since March 2012 an additional 47 staff have completed this training. There is weekly testing of fire alarms and Directorates conduct local H&S inspections which includes checks on fire safety equipment. The fire alarm system at Snow Hill has been upgraded with new control panel, sensors and strobe lighting as an alternative warning mechanism for deaf staff members. Installation of new power cables for the Command and Control Room at Wood Street has been completed which has allowed further shut down and testing of electrical systems to be undertaken.

Traffic Management

- x. This was a risk identified by the Markets and Consumer Protection department. It relates to the movement of cars, lorries and Fork Lift Trucks (FLT's) in common parts. A number of agreed actions include; a review of signage and lighting, regular maintenance of pedestrian walkway and road markings, enforcement of site speed limits, a review and enforcement of a new FLT penalty point scheme, assisting the tenants in developing safer unloading practices, and engaging them to ensure they meet their H&S responsibilities, proposal of traffic calming measures. The FLT strategy was signed off as effective by the HSE (Health and Safety Executive) at Spitalfields when reviewed as part of an investigation. This risk will now come off the Corporate Top X.

4. Conclusion

- 4.1 The Top X register gives the City Corporation a mechanism for safety risk management at all levels, and has been used to good effect. It allows the City Corporation to demonstrate a proactive process to complement the wider safety management system and practically helps to ensure that foreseeable risks do not go unmanaged. Importantly it sends a strong message on safety

leadership throughout the organisation and helps to foster a positive safety culture whilst demonstrating proactive safety management at the senior corporate management level.

Appendices

Appendix A – The Corporate Safety Risk Register - May 2012

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