

Open Spaces Department Risk Register

Appendix B

The method of assessing risk reflects the City Corporation's standard approach to risk assessment as agreed by the Strategic Risk Management Group. Each risk is assigned a score from 1 to 25 (with 1 being the lowest risk and 25 being the highest risk) using the 5x5 matrix shown on the next page. The matrix assigns a single score to each risk based on its 'impact' and the 'likelihood' of it happening. The SRMG has also issued guidance on interpretation of the 'Impact Terms' used in the matrix.

The register is divided into columns which show the following:

- Risk number
- Risk Direction
- Risk Details
- Risk Owner/ Lead Officer
- Existing Controls
- Likelihood
- Impact
- Status
- Further Action

The resultant scores can be categorised as:

- Low Risk – 1 to 7 (colour coded green);
- Medium Risk – 8 to 18 (amber);
- High Risk – 19 to 25 (red).

Strategic Risk Management Group

The Risk Assessment Matrix

IMPACT	LIKELIHOOD					
	CATASTROPHIC	14	20	22	24	25
	SEVERE	11	17	18	21	23
	MODERATE	6	10	13	16	19
	MINOR	3	5	8	12	15
	INSIGNIFICANT	1	2	4	7	9
		IMPROBABLE	UNLIKELY	POSSIBLE	LIKELY	VERY LIKELY

Strategic Risk Management Group – Impact Assessment Criteria

Impact	Description	Indicators
Insignificant	An event where the impact can be easily absorbed without management effort.	<ul style="list-style-type: none"> ▪ No real impact on service delivery ▪ Short term loss up to £5k adverse variances across one or more budget ▪ Very minor injuries ▪ No sustained reputational damage, does not result in adverse media comment
Minor	Impact can be readily absorbed although some management input or diversion of resources from other activities may be required. The event would not delay or adversely affect a key operation or core business activity.	<ul style="list-style-type: none"> ▪ Disruption on a divisional/ business unit level. Impact on service delivery of little/ no concern to stakeholders ▪ Short term loss of up to £10k, or adverse budget variance of up to 10%. ▪ Slight injuries ▪ Minimal localised reputational damage with minor short-term adverse media comment, early recovery possible
Moderate	An event where the impact cannot be managed under normal operating conditions, requiring some additional resource or Senior Management input or creating a minor delay to operation or core business activity	<ul style="list-style-type: none"> ▪ Serious disruption to service delivery from one department, affecting an isolated group of customers, short term impact on the environment ▪ Short term loss of £100k, or adverse budget variance of 10-25%. ▪ Major/Serious injuries ▪ Breach of regulation/ law leading to sanctions or legal action ▪ Local adverse media comment/ public perception, possible medium/ long-term impact
Major	Major event or serious problem requiring substantial management/ Chief Officer effort and resources to rectify. Would adversely affect or significantly delay an operation and/ or core business activity or result in failure to capitalise on a business opportunity.	<ul style="list-style-type: none"> ▪ Serious disruption to service delivery from more than one department, affecting a range of customers, recovery possible in the short term. ▪ Sustained loss of £5-10m, or short term loss in excess of £1m, or adverse budget variance of 25-50%. ▪ Single fatality/ medium-term impact on quality of life. ▪ Serious breach or regulation/ law causing intervention/ sanctions/ legal action ▪ Short-term adverse media comment on a National level with prolonged comment on a local level leading to long-term damage and a general loss of confidence
Catastrophic	Critical issue causing severe disruption to the City of London, requiring almost total attention of the Leadership Team/ Court of Common Council and significant effort to rectify. An operation or core business activity would not be able to go ahead if this risk materialised.	<ul style="list-style-type: none"> ▪ Catastrophic impact on service delivery across the organisation, protracted recovery period, possibly requiring organisational structure or process change ▪ Sustained loss in excess of £10m per annum or adverse budget variance of greater than 50% inadequate resources to fund essential operations ▪ Multiple fatalities/ long-term impact on quality of lives or permanent impact on the environment ▪ Substantial breach of regulation/ law resulting in prosecution of directors/ Corporation ▪ Substantial adverse media comment on an International/ National level, with long-term impact that may threaten the City Corporation's ability to continue to operate as a service provider.

The descriptors above are indicative of likely outcomes/ materiality measures at each impact level, this table has been developed to assist in ensuring that risk is considered and assessed within the appropriate context. As part of the assessment process, due consideration must be given to the lifetime of a risk; the project lifecycle or duration of the activity, whether this is a one off or a recurring activity and the general proximity of the risk.

Open Spaces Department Risk Register	Owned By	Director of Open Spaces	Version	1
	Administered By	Support Services Manager	Date	01/12/2011

Risk No.	Risk Direction	Risk Details	Risk Owner/ Lead Officer	Existing Controls	Likelihood (previous assessment)	Impact (previous assessment)	Status	Further Action
1	↓	Threat of death or serious injury resulting in heavy fines and bad publicity, if health and safety procedures fail or other regulations fail.	Director of Open Spaces and Superintendents	<p>The Department has developed an annual H&S auditing system including independent assessment, and has identified Top X risks.</p> <p>Departmental H&S Policy Framework now developed. Mapping of underground services has been carried out across the Department.</p>	Possible	Moderate	13	<p>Action outcomes from annual audit and accident investigations. Keep Top X risks under review.</p> <p>Alert staff to new mapping arrangements.</p>
2	↓	Buildings/ infrastructure may deteriorate or become unstable/ unusable through insufficient maintenance and may cause serious injury	City Surveyor and the Director of Open Spaces	<p>-City Surveyor undertakes annual surveys and has a 20 year plan of works to maintain the buildings.</p> <p>-The Superintendents have commented on revisions to the maintenance plan including infrastructure.</p> <p>-Extra investment from the additional works programme. Control measures have been introduced for some reservoirs and others are planned.</p> <p>-Corporate training on the Control of Contractors implemented and protocol developed.</p>	Unlikely	Moderate	10	<p>Further meetings taking place with the City Surveyor to develop a SLA.</p> <p>Develop plan to address Wanstead Park "at risk" status. Departmental legionella and asbestos plans have been completed.</p>

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3	→	Extreme weather or changing environmental conditions having an effect on site operations and usage.	Superintendents and the City Surveyor	Monitoring of reservoirs required to meet Environment Agency directives. Emergency plans required and being prepared. Regular monitoring of water levels taking place. Planting regimes adapted to take account of changing weather patterns. Departmental Habitat Fire Management Policy developed.	Possible	Catastrophic	22	Completion of Emergency Plans and introduction at all sites. Agree defined responsibilities for the Director of Open Spaces and City Surveyor to address implications of Dam works at Hampstead Heath and Epping Forest.
4	↓	Major incident (e.g. terrorist attack) leading to OS property/ land being incapable of occupation.	City Surveyor and OS Management Team	Departmental contingency plan produced, which allows the work of the Directorate to move to our local offices, if necessary. Adhering to the advice of the Business Continuity team and City Police.	Unlikely	Moderate	10	Review contingency plan annually or after a major incident.
5	→	Service delivery affected by outside factors e.g. pandemic, strikes, fuel shortages & Olympics.	OS Management Team	Departmental pandemic plan produced. Cover can be arranged for staff, but other controls to mitigate the effect of other factors are more difficult. Olympic Resource plan has been produced.	Possible	Moderate	13	Review in the light of any further advice from the Corporate Business Continuity team.

Risk No.	Risk Direction	Risk Details	Risk Owner/ Lead Officer	Existing Controls	Likelihood (previous assessment)	Impact (previous assessment)	Status	Further Action
6	↑	Failure to secure sufficient external funding for major capital works.	Superintendents of EF and HH	Funding achieved for Wanstead Flats and Branching Out Project. Funding for Hampstead Heath and Wanstead Park still to be identified.	Unlikely	Moderate	10	Project programmes in place to secure funding for Hampstead Heath and Wanstead Park, but will have to follow the further resolution of hydrology issues.
7	→	Unavoidable reduction in income.	Superintendents	All sites monitor their income and debt closely to ensure they remain within their local risk budgets and new income streams have been identified where appropriate. More pressure on budgets due to efficiency savings. Monitoring cross-compliance of ELS/ HLS obligations.	Likely	Moderate	16	Further ways of increasing income to be considered at all sites.
8	↑	Encroaching housing development may have an adverse effect on the Open Spaces, arising from Planning legislation changes	Superintendents	Planning applications monitored closely by Superintendents. Adjoining land is purchased when possible to effect a buffer zone.	Likely	Moderate	16	Monitor further opportunities to purchase land. Need to develop mechanisms and identify new solutions to address planning policy.
9	↓	IS failure affecting service delivery.	IS Division	Risk management included in IS Strategy, numerous measures in place. Departmental business continuity plan has been developed.	Likely	Moderate	16	Continuous review of systems and improvement programme carried out by IS Division.

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10	→	Impact on Landscape Management of an outbreak of diseases affecting animals (e.g. foot & mouth) Plant and tree diseases, with the potential to alter the character of land and eradicate plants.	Superintendents	Monitor DEFRA websites for updates. Meet all DEFRA guidance on animal welfare, movements and, if outbreak occurs, protection zones. Train relevant staff. Inform public/ restrict access as required. Monitoring Forestry Commission and DEFRA web sites.	Likely	Moderate	16	Continue to monitor arrangements for grazing animals and local animal enclosures. Consider additional vaccination. Review annually. Introducing further measures, based on advice received.
11	→	Loss of specialist statistical information relating to non-supported data.	OS Management Team and IT Manager	Contingency arrangements for IS and premises in place. Dependence on specialist software kept under review by the departmental IS improvement group.	Possible	Moderate	13	Ensure specialist software used as such as ArboTrack is supported in the future by its supplier. Need to consider moving to GIS in the future.
12	→	Increase fly-tipping, including handling hazardous substances, with risk of contamination, risk of environmental damage, landfill tax.	Superintendents	Ensure staff are appropriately briefed.	Likely	Moderate	16	Promote the need for increased fines and ensure more publicity to highlight the issue.
13	↑	Implications of increasing energy costs.	Superintendents	Departmental Improvement Group and a Departmental Energy Action Plan.	Likely	Moderate	16	Demand to reach Carbon Reduction Commitment.
14	→	Inability to deliver additional burial space.	Superintendent and Registrar	Scheme to use more of existing burial space and reuse graves.	Possible	Moderate	13	Developing a project to prepare additional space for 10 years' time.