

District of Easington Risk Assessment

Identification Number: CRR 2009

Risk Group: Summary of 2009 Corporate Risks Refresh

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SHEET 1 OF 16

RISK ASSESSMENT MATRIX

(GREY SHADED AREA DENOTES APPETITE FOR RISK)

ISSUED BY

Risk Management Strategy Steering Group (RMSSG)

ISSUED TO

Executive

DATE ISSUED

23-Feb-09

APPROVED BY

Executive

DATE APPROVED

14.10.08

RISK ASSESSMENT ACCEPTED BY

Executive



Risk Likelihood

A	Very High			0001	
B	High			0002, 0003, 0004, 0005, 0006, 0007	
C	Significant		0009	0008, 0012	
D	Low			0010, 0011,	
E	Very Low		0014, 0015, 0016	0013, 0017	
F	Almost Impossible	0018, 0019, 0020, 0021, 0022, 0023, 0024, 0025, 0026, 0027, 0028, 0029, 0030, 0031, 0032			

1. WRITE DOWN THE RISKS BELOW AND SCORE THEM.
2. ENTER THE RISK NUMBER FROM THE LEFT HAND COLUMN BELOW INTO THE RELEVANT BOX IN THE MATRIX ABOVE.

4 Negligible	3 Marginal	2 Critical	1 Catastrophic
Impact			

No	Risk Detail	Risk Likelihood	Impact	Current Risk Rating	Target Risk Rating	No	Action Required	Person Responsible	Review Date
0001	Implications on the District of Easington as a result of Local Government Re-organisation	A	2	A2	D2	0001	Refer to separate risk assessment outlining LGR risks.	Janet Johnson (Chief Executive) / Management Team	Completed Sept 2008
0002	Impact of regional policy changes - Northern Way / City Regions and the ability to influence the regional debate	B	2	B2 (Changed from A1)	D3	0001	The council will continue to host the secretariat of the Alliance for Regional aid for the North East region. Members and Officers will continue to represent the district and the region in the shaping and delivery of national and regional policy issues	Peter Coe (Acting Director of Regeneration & Development)	31/03/09
						0002	The Team will respond to local, sub regional, regional and national policy consultation rounds in order to ensure that representations of the council's views are made to the appropriate bodies.	Peter Coe (Acting Director of Regeneration & Development)	31/03/09
						0003	Politicians and officers will continue to positively represent the district in sub regional, regional and national forums where the issue requires the local view to be promoted to ensure benefit to the locality.	Peter Coe (Acting Director of Regeneration & Development)	31/03/09
0003	East Durham homes does not achieve 2* rating	B	2	B2 (Changed from A1)	D2	0001	Monitor and review progress against the 3-Year Action Plan contained within the Council's Housing Strategy 2008-11 and EDH Delivery Plan.	Ian Morris (Head of Housing Strategy)	31/03/09
						0002	Finance and support to EDH Decent Homes Programme using Capital Programme funding	Ian Morris (Head of Housing Strategy)	31/03/09
						0003	Quarterly Performance Reports to Service Delivery/Regeneration Scrutiny	Ian Morris (Head of Housing Strategy)	31/03/09

						0004	Monthly Joint Management Team and Senior Management Review meetings with DOE and EDH.	Ian Morris (Head of Housing Strategy)	31/03/09
						0005	Monitor progress against EDH Delivery Plan.	Ian Morris (Head of Housing Strategy)	31/03/09
						0006	Monitoring and review via established EDH/DOE Improvement Board.	Ian Morris (Head of Housing Strategy) / Janet Johnson (Chief Executive)	31/03/09
0004	Community aspirations/expectations not met by Decent Homes Standard	B	2	B2	D2	0001	EDH Business Plan	Ian Morris (Head of Housing Strategy)	Completed July 2008
						0002	EDH/EDC Service Improvement Plan	Ian Morris (Head of Housing Strategy)	Completed July 2008
						0003	EDH 3* Service Plans	Ian Morris (Head of Housing Strategy)	Completed July 2008
						0004	EDC Capital Programme / GF / HRA Business Plan	Ian Morris (Head of Housing Strategy)	31/03/09
						0005	Monitor and review progress against the 3-Year Action Plan contained within the Council's Housing Strategy 2008-11	Ian Morris (Head of Housing Strategy)	31/03/09

						0006	Comprehensive communications arrangements in place via EDH work with tenants on development of the Decent Homes Standard works programme	Ian Morris (Head of Housing Strategy)	31/03/09
						0007	New and updated EDH Delivery Plan adopted and in place July 2008 to reflect changes in circumstances	Ian Morris (Head of Housing Strategy)	Completed July 2008
						0008	Housing Strategy 2008-11 in place.	Ian Morris (Head of Housing Strategy)	Completed April 2008
						0009	Continue to clear obsolete and low demand non-decent housing.	Ian Morris (Head of Housing Strategy)	31/03/09
0005	The Council do not fully implement or integrate the adopted Partnership Framework.	B	2	B2	D2	0001	Local Code of Governance adopted in May 2008 agreed the development of an Action Plan to be developed in order to comply with Governance arrangements and to ensure response is proportionate to LGR implications.	Stuart Wardle (Governance and Risk Manager)	Completed May 2008
						0002	Implementation of an Action Plan to ensure that the Council's Partnership arrangements are effectively monitored and reviewed in accordance with the Partnership Framework using an appropriate and proportionate approach.	Stuart Wardle (Governance and Risk Manager)	Action Plan completed and updated February 2009
						0003	Partnership Framework adopted and in place March 2007.	CDU	Completed March 2007

0006	The identified gap between short term strategic approach of the District Council in in the District and managing deprivation versus the long term strategic approach that is required	B	2	B2	D2	0001	Index of Multiple Deprivation (IMD) Position - Easington moved from 4th in 2000 to 7th in 2004 and remained at 7th for 2007.	CDU	31/03/09
						0002	Working Neighbourhoods Fund (WNF) for 2008-11. Other grant streams have now been wrapped up within a new settlement for Local Authorities called Area Based Grant (ABG). Given the situation with LGR the three-year settlement for all areas with ABG is not so straightforward as all LA's in Durham will cease to exist to become the new Unitary in 2009. Negotiations are taking place to resolve and to try and ensure the District of Easingtons local needs and priorities are not disadvantaged.	Janet Johnson (Chief Executive)	31/03/09
						0003	The Community Strategy is being updated as a legacy document for the East Durham Trust. The LSP has commissioned ECOTEC Ltd (they are undertaking the national evaluation of the Govt's Neighbourhood Renewal Strategy) to evaluate the effectiveness of the LSP in narrowing the gap in E Durham. This will report back in September. As part of their National Commission from DCLG, ECOTEC are also examining the areas of Murton East and Horden North in more detail. Report due in Oct 08.	CDU	31/03/09
						0004	Master Plans and Community Appraisals - Info at Super Output level is held on the LSP web site. Master Plans such as the Housing Strategy and the Regeneration Statement continue to feed in to the LSP.	CDU	31/03/09

					0005	ONS/Nomis Stats regularly monitored by the LSP secretariat and the Economy Group. The stats provided by these and other sources e.g. Floor Targets Interactive form part of the LSP's performance management framework (PMF) and the progress observed forms part of the Annual Review (self assessment).	CDU	31/03/09
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0007	Impact of World wide credit crisis and financial implications on Council objectives	B	2	B2 (Changed from C2)	C2	0001	Monitoring arrangements are in place and any necessary action will be taken in line with the Councils adopted medium term financial strategy. (Ref: also to Risk # 20) [Example impacts: increased unemployment, reduced capital receipts & recycling returns]	Tom Bell (Director of Finance and Corporate Services)	continuous
0008	Council does not effectively manage it's Asset base	C	2	C2	C3	0001	Corporate Asset Management Plan (AMP) in place 2003-08	Dale Clarke (Head of Asset and Property Management)	31/03/09
						0002	A comprehensive asset register is being maintained and a fully co-ordinated electronic data base has been purchased from IPF and has been populated enabling comprehensive asset information and asset valuations to be undertaken in accordance with the prescribed financial regulations. The Director of Finance has access to the data and uses the same to prepare the financial accounts. Substantial progress has been achieved over the last 12 months in terms of developing an AMP for the Council's property portfolio. Asset & Property Manager is joint lead for Assets under LGR and have developed workstreams which have co-ordinated asset registers across the new authority and are developing a joint AMP & Capital Strategy. Accordingly, Easington's current AMP is being integrated with the County wide unitary requirements	Dale Clarke (Head of Asset and Property Management)	31/03/09
0009	Costs from Contractors for East Durham Homes are higher than budgeted	C	3	C3	D3	0001	Monitor program for improvement	Ian Morris (Head of Housing Strategy)	31/03/09
						0002	Strategic Repairs Group meet on a quarterly basis to review VFM	Ian Morris (Head of Housing Strategy)	31/03/09

						0003	Completion of outsourcing arrangements for 100% of repairs and maintenance service.	Ian Morris (Head of Housing Strategy)	31/03/09
						0004	Strategic Repairs Group monitoring performance and VFM issues	Ian Morris (Head of Housing Strategy)	31/03/09
0010	Local Area Agreement (LAA) doesn't deliver or recognise local need	D	2	D2	C3	0001	Revised LAA in place. Continue to monitor and review actions/outcomes against narrowing the gap in deprivation expectation.	(Asst Chief Executive)	Completed May 2008
						0002	Review County Durham Partnership Board's locality input to partnerships to ensure gap narrowing.	CDU	31/03/09

0011	Risk Management does not remain an integral part of business planning and decision making	D	2	D2	E2	0001	Monitoring of Corporate Risk Register to ensure that it is being used	Stuart Wardle (Governance and Risk Manager)	Continuous
						0002	Regular audit of usage of software	Gordon Fletcher (Audit Manager)	Completed Sept 08
						0003	Management Team, Audit Committee & Executive Portfolio Members encourage software usage by Service Heads	Stuart Wardle (Governance and Risk Manager)	Completed Sept 08
						0004	Call in by Scrutiny Committee and/or Audit Committee	Stuart Wardle (Governance and Risk Manager)	31/03/09
						0005	Support to HOS provided by Governance, Risk & Legal Function.	Stuart Wardle (Governance and Risk Manager)	31/03/09
0012	Data and Information security arrangements are insufficient leading to data loss	C	2	C2 (moved from D2)	C3	0001	Dealt with as part of the existing I.S. security arrangements and required increase in data security requirements.	Barry Nicholson (Head of I.S.)	31/03/09 and part of LGR Workstream
0013	The Council with EDH are unable to effectively utilise a large increase in housing funding	E	2	E2	E2	0001	Draft Strategic Partnering Agreement proposal with 3 Decent Homes Standard partners in place, subject to EDH achieving 2 * status	Ian Morris	31/03/09

0014	Implications arising from changing future service delivery arrangements	E	3	E3	E3	0001	Transitional plan in place and regularly monitored and reviewed to focus on corporate priorities during the lead up to LGR.	Joy Brindle (asst Chief Executive)	Completed February 2008
0015	Quality / accuracy of data for performance indicators	E	3	E3 (Changed from B2)	N/A	0001	Transitional plan in Place to focus on corporate priorities during the lead up to LGR has led to the de-prioritisation of developing and implementing a Data Quality Strategy. Data quality is now subject to review via the Policy and Partnerships LGR workstream going forward for the new Unitary authority.	Mary Readman (Principal Corporate Development Officer)	Completed part of LGR
						0002	Data Quality audits scheduled to be completed by CDU during the transitional period and arrangements strengthened to be carried forward to the Unitary Authority	Mary Readman (Principal Corporate Development Officer)	31/03/09
0016	Business Continuity and Emergency Plans are not embedded	E	3	E3 (Changed from A3)	E3	0001	Monitor and keep under review Business Continuity Plan	Anne Carr (Senior Corporate Development Officer)	31/03/09 and part of LGR Workstream
						0002	Develop and implement briefing/training on Business Continuity Plan	Anne Carr (Senior Corporate Development Officer)	31/03/09 and part of LGR Workstream
0017	Flooding across Easington District and resultant damage and interruption to business and property	E	2	E2	E3	0001	Potential flood risk to Easington District is minimal and dealt with under existing arrangements. Flood risk areas identified as part of flood risk strategy. No further action required.	Civil Contingencies Unit together with DOE Planning & Engineering	Keep under review

0018	Lack of customer focus (engagement) / Public apathy towards effective community engagement / Resident / Community resistance to change and participation	F	4	F4 Risk Deleted (Changed from C2)	N/A	0001	Community Engagement Action Plan developed and implemented as a result of the Council's 2007 review of community engagement activities.	Barry Garside (Head of Democratic Services & Admin) & CDU	N.A.
						0002	Community Advisory Panel set up to shape service design.	(Asst Chief Executive)	N.A.
						0003	Communications and Marketing Action Plan.	Mike Lavender (Head of Communications & Marketing)	N.A.
						0004	Neighbourhood forums in conjunction with East Durham Community Trust developed, piloted and reviewed.	Barry Garside (Head of Democratic Services & Admin)	N.A.
						0005	Respond to the proposed Performance Standards Framework set out the Electoral Commission's consultation paper "Performance Standards for Electoral Officers in Great Britain" and particularly the Participation section.	Barry Garside (Head of Democratic Services & Admin)	N.A.
						0005	Ensure resident participation in decision making	Peter Coe (Acting Director of Regeneration & Development)	N.A.
						0007	Publicity campaigns to be implemented	Paul Penman (Environmental Operations Manager) / Keith Parkinson (Environmental Health & Licensing Manager)	N.A.

						0008	Regular Consultative meetings	Paul Penman (Environmental Operations Manager) / Keith Parkinson (Environmental Health & Licensing Manager)	N.A.
0019	Projects proceed without a formal business case, leading to project failure (delay, overspend, outcomes not achieved etc).	F	4	F4 Risk Deleted (Changed from B2)	N/A	0001	Service Plan wide. Refer to individual Service Plan risk assessments and Management Action Plans.	All Project Managers / Service Heads	N.A.
						0002	Encourage all Service Heads/Managers/Project Managers to utilise effective Project Management methodologies within their area of responsibility.	Janet Johnson / Management Team	N.A.
						0003	Promote the Gateway Review	Peter Fail (Corporate Procurement Manager)	N.A.
						0004	Process to Senior Members and Managers	Peter Fail (Corporate Procurement Manager)	N.A.
0020	Succession of the Council's leadership is not developed (Community & Democratic Engagement)	F	4	F4 Risk Deleted (Changed from C2)	N/A	0001	Completed review of political Governance arrangements (Scrutiny) by end January 2007	Barry Garside	N.A.

0021	Allocated funding does not match with long term financial plans	F	4	F4 Risk Deleted (Changed from C3)	N/A	0001	Service and Financial Planning is integrated with Corporate Planning	Tom Bell	N.A.
						0002	Ensure Medium Term Financial Plan is reviewed and updated to take account of changes/risks(February/September Annually)	Tom Bell	N.A.
0022	Partners do not buy back Council support services	F	4	F4 Risk Deleted (Changed from A3)	N/A	0001	Keep under review impact of services and functions not being purchased from the Council	Tom Bell	N.A.
						0002	Completion of East Durham Homes Value for Money Exercise..will support identification of budget and human resource issues	Tom Bell	N.A.
0023	Don't realise the benefits of the new systems (e-government)	F	4	F4 Risk Deleted (Changed from C2)	N/A	0001	Produce Corporate Council wide "Benefits Realisation Programme"	Barry Nicholson	N.A.
0024	Not able to influence regional debate	C	2	F4 Risk Deleted (Changed from C2)	D2	0001	Risk incorporated into risk #1	Janet Johnson (Chief Executive)	02/01/09

0025	Performance management does not drive performance improvement i.e. Performance indicators i.e. BVPI's, LPI's etc. not achieved / Performance Management does not remain an integral part of business planning and decision making	F	4	F4 Risk Deleted (Changed from C2)	N/A	0001	Develop a basket of Key Corporate PI's linked to Corporate Plan to focus not just on low performing areas but those which are most important to us	Mary Readman	N.A.
						0002	Improve joint work with zonal operational teams, still on going into 2007/08	Keith Parkinson (Environmental Health & Licensing Manager) / Ian Hoults (Environmental Services Manager)	N.A.
						0003	BVPI 199 reporting procedure	Keith Parkinson (Environmental Health & Licensing Manager)	N.A.
						0004	LAA reporting system	Keith Parkinson (Environmental Health & Licensing Manager)	N.A.
						0005	Implement dog control order for the district	Keith Parkinson (Environmental Health & Licensing Manager)	N.A.

0006	Implement no side waste policy	Keith Parkinson (Environmental Health & Licensing Manager)	N.A.
0007	Work with partner agencies to put action plans in place to address failing areas and improve BVPI performance	Steve Arkley (Head of Neighbourhood Initiatives)	N.A.
0008	Improve joint working with enforcement teams and educational campaigns through Pride in Easington by attending Pride in Easington Steering Group meetings and developing joint work programmes. On going into 2008/09.	Paul Penman (Environmental Operations Manager)	N.A.
0009	Encams to carry out a survey of 4 zones to assess performance in each zone complete by 31/3/08	Paul Penman (Environmental Operations Manager)	N.A.
0010	Improve street sweeping programmes using mechanical sweepers	Paul Penman (Environmental Operations Manager)	N.A.
0011	Purchase a mechanical footpath sweeper to remove detritus.	Paul Penman (Environmental Operations Manager)	N.A.
0012	Street sweeping programme to be improved. Action completed 31/3/07	Paul Penman (Environmental Operations Manager)	N.A.
0013	Mechanical footpath sweeper to be purchased to remove detritus, carry forward rejected, now planned for 2007/08.	Paul Penman (Environmental Operations Manager)	N.A.
0014	2008/09 - Monthly review meetings with enforcement manager programmed	Paul Penman (Environmental Operations Manager)	N.A.

0015	Review Trade Waste Contracts Income on going into 2008/09	Paul Penman (Environmental Operations Manager)	N.A.
0016	Recruit assistant to tony Bleasdale	Paul Penman (Environmental Operations Manager)	N.A.
0017	Regular monitoring and feedback.	Alan Dobie (Principal Planning Services Officer)	N.A.
0018	Implement Development Control Improvement Programme	Alan Dobie (Principal Planning Services Officer)	N.A.

0019	Report to seek to extend green waste scheme Plan to renew or replace kerb-it contract effective from 1/4/08. Park-it implemented, monitor progress through 2007/08 and 2008/09. Waste Policy to be implemented from 01/10/07	Keith Parkinson (Environmental Health & Licensing Manager)	N.A.
0020	Review recycling bring sites and make improvements	Keith Parkinson (Environmental Health & Licensing Manager)	N.A.
0021	Service PI's linked to Service Plan focus not just on low performing areas but those which are most important to us and our customers	Ian Morris (Head of Housing Strategy)	N.A.
0022	Quarterly performance reports to Scrutiny	Ian Morris (Head of Housing Strategy)	N.A.
0023	Service Management Team	Ian Morris (Head of Housing Strategy)	N.A.
0024	Monthly team meetings and 1-2-1's	Ian Morris (Head of Housing Strategy)	N.A.

0026	Unable to corporately measure Value For Money (VFM)	F	4	F4 Risk Deleted (Changed from B2)	N/A	0001	VFM Framework adopted January 2007.	Tom Bell (Director of Finance and Corporate Services)	N.A.
						0002	Develop a simple matrix to position services illustrating VFM (Cost : Performance : Customer Satisfaction) - Completed and included within the VFM Framework	Tom Bell (Director of Finance and Corporate Services)	N.A.
						0003	VFM toolkit developed.	Mick Devine / Mary Readman	N.A.
0027	Continuous improvement not maintained	F	4	F4 Risk Deleted (Changed from D2)	N/A	0001	Corporate approach to VFM developed - VFM Framework adopted January 2007.	CDU & Tom Bell (Director Finance & Corporate Services)	N.A.
						0002	Transitional plan in Place to focus on corporate priorities during the lead up to LGR.	(Asst Chief Executive)	N.A.
0028	Low staff turnover	F	4	F4 Risk Deleted (Changed from D3)	N/A	0001	No further action required	Reg Gott	N.A.

0029	Back Office changes not delivered into Customer Service Centre (CSC) causing disruption to service delivery	F	4	F4 Risk Deleted (Changed from C2)	N/A	0001	CSC Project plan reviewed and services prioritised for delivery into CSC as appropriate and proportionate to LGR and aligned with the Council's Transitional Plan.	(Asst Chief Executive)	N.A.
0030	Insufficient resource attracted locally to deal with fuel poverty	F	4	F4 Risk Deleted (Changed from A3)	N/A	0001	Fuel Poverty Strategy in place and updated July 2008	Cliff Duff (Energy Manager)	N.A.
						0002	Ensure adequate levels of funding are allocated from Capital Programme to qualify for external Warm Front funding.	Ian Morris (Head of Housing Strategy)	N.A.
0031	Target for private sector decent homes standard by 2010 not achieved	F	4	F4 Risk Deleted (Changed from A2)	N/A	0001	Regular Performance Reports to Service Delivery Committee	Ian Morris (Head of Housing Strategy)	N.A.
						0002	PI arrangements in place	Ian Morris (Head of Housing Strategy)	N.A.
						0003	Review of private sector housing policy due 2007	Ian Morris (Head of Housing Strategy)	N.A.
						0004	SHIP 3 bid will be made in Q2 2007/2008	Ian Morris (Head of Housing Strategy)	N.A.
0032	Lack of availability of quality contractors	F	4	F4 Risk Deleted (Changed from E3)	N/A	0001	Action completed - Contractors selected and 100% Outsourcing for repair/maintenance currently underway and target for completion Mar. 2009.	Ian Morris (Head of Housing Strategy)	N.A.

Any Risks with an initial and/or final assessment outside of the shaded boxes in the Risk Assessment Matrix must be referred to the Stakeholders in the project for acceptance