

Mountsett Crematorium Joint Committee

04 February 2011



Risk Register 2010/11



Joint Report of Terry Collins – Corporate Director: Neighbourhood Services; Jeff Garfoot – Head of Finance: Resources (Interim Treasurer to the Joint Committee)

Purpose of the Report

1. To provide an update on the current position with regards to the Risk Register of the Mountsett Crematorium Committee.

Background

2. A Risk Assessment report was presented to Members at the 23rd September 2010 meeting which included a comprehensive risk register that identified all known risks of a Service and Operational nature, with all risks scored using the Durham County Council methodology approach to Risk Management. In approving the report, the Committee committed to regular monitoring and reporting of both strategic and operation risks.

Risk Assessment – January 2011

3. The Risk Register considered and approved by the Joint Committee in September 2010 has been reviewed, reassessed and updated in accordance with the Durham County Council methodology/approach to Risk Management. This entails an assessment of both the gross and net risk from each area, the difference between the gross and net risk score being that the net risk result is after taking into account existing control measures. Full details of the Durham County Risk Management Methodology are set out at Appendix 2.
4. In line with the previous report, two risk registers have been prepared, separately identifying Service and Operational risks.
5. Both sections of the Risk Register have been reviewed by the Risk Officer responsible for Neighbourhood Services and the Crematorium Manager. Net risk ratings have been agreed by consensus and actions to mitigate and/or tackle issues arising from the individual risks have been agreed for the forthcoming year.
6. The Service Risks (i.e. those that are key to the service achieving its strategic objectives and priorities for improvement, linked to service improvement plans and the budget setting cycle) have been plotted onto a risk matrix, based on Net Risk Scores. This is set out at Appendix 3, together with individual risk assessments for each of these. The risk matrix plots the risk to a grid based upon the assessment of likelihood

and impact scores. The higher a risk is in the top right corner of the matrix the bigger a risk it is to the service.

7. All Strategic risks have low Net Scores and there have been no changes to the scores following the review. The risks are at tolerable levels.
8. The actions associated with Risk 12 “Managing Excess Deaths” and Risk 15 “Lack of evidence for Employers Liability claims” have now been completed and moved into the control measures. The completion of these actions have now reduced these risks to a tolerable level.
9. As with Service Risks, the Operational Risks (i.e. those that are key to the operational areas of the service which relate to individual tasks carried out on a routine basis) have also been plotted onto a risk matrix and these are set out at Appendix 4, together with individual risk assessments for each of these.
10. As with the Strategic Risks, there have been no changes to Operational Net Risk Scores.
11. All risk actions have now been completed with the exception of one, Risk 8 “Slips trips and falls”, where one action remains outstanding. The outstanding action relates to carrying out training in risk assessments for ladder duties, which had been arranged but the course was cancelled. The training is to be re-arranged and as a result the timescale for this action has been amended.
12. No emerging risk were identified.

Embedding Risk Management - Monitoring and Review

13. In order to ensure that risk management is embedded and that the risk register is kept up to date, regular reviews will continue to be carried out to ensure any new and emerging risks are identified, existing risks are removed if no longer appropriate and existing risks are reviewed taking into account current issues.

Conclusions

14. The original risk register has been revised and updated and rescored in accordance with Durham County Council criteria.

Recommendations

15. It is recommended that:-
 - Members of the Mountsett Joint Crematorium Committee note the content of this report and the updated position.
 - The Risk Registers be kept up to date and reviewed by the Joint Committee on a half yearly basis.

Background Papers

- Risk Assessment – Report to Mountsett Crematorium Joint Committee – 23 September 2010
- Risk Assessment – Report to Mountsett Crematorium Joint Committee – 29 January 2010
- Risk Assessment – Report to Mountsett Crematorium Joint Committee – 12 June 2009
- External Audit Report – Report to Mountsett Crematorium Joint Committee – 30 October 2009

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Appendix 1: Implications

Finance

There are no financial implications associated with this report. Exposure to financial risk is integral to the gross and net risk assessments undertaken and included in the Risk Registers attached at Appendix 3 and 4.

Staffing

None

Risk

The report and associated appendices sets out in detail the strategic and operational risks, control measures in place to mitigate these and improvement actions associated with these. Each risk has been scored and against the Durham County Council risk management methodology. Maintaining and continually reviewing the risk register is a key component of the control and governance framework for the Central Durham Crematorium Joint Committee.

Equality and Diversity

None

Accommodation

None

Crime and Disorder

None

Human Rights

None

Consultation

Officers of Gateshead Borough Council were consulted on the contents of this report.

Procurement

None

Disability Discrimination Act

None

Legal Implications

None

Appendix 2: Durham County Council Risk Management Process

The risk management process at Durham County Council is based upon a cycle:-



Once a Risk has been identified it is analysed and evaluated as follows:-

- Likelihood X Impact (taking into account Financial + Service Delivery + Stakeholder impacts)

Initially the **Gross Risk** is assessed by scoring the impact and likelihood of the risk **without** taking account of any controls that the Council may already have in place. It is essential to determine this Gross risk, as it is the key baseline against which to evaluate this risk on an ongoing basis.

The **Net Risk** is then determined **after** taking account of any controls that the Council may already have in place, and the likelihood that the risk event may occur over a given period.

In order to calculate the scores for Likelihood and Impact the Risk Assessment criteria is used as outlined below.

After scoring the risk a decision is made whether to Tolerate, Transfer, Treat or Terminate the risk. If any control improvements or actions have been identified as a result of reviewing the risk these are allocated to a responsible officer with timescales to ensure they are carried out before the next review.

DURHAM COUNTY COUNCIL – IMPACT FACTORS

Factor	Severity	Financial	Service Delivery/ Performance	Stakeholder and Reputation
5	Critical	> / = £15M > 5% of Service budget	<ul style="list-style-type: none"> • Inability to meet statutory duties • Key services can no longer be delivered – emergency actions needed, which need Cabinet approval. • Significant Legal Action / Challenge • Intervention or sanctions by regulatory body / prosecution or litigation (including corporate manslaughter) • Strike action which is Council-wide or service-wide in a critical Service for a long period 	<ul style="list-style-type: none"> • Perception of the majority of potential partners and stakeholders that the Council is not 'fit to deal with'. • Loss of life
4	Major	£5M - £15M 3% - 5% of Service budget	<ul style="list-style-type: none"> • Major disruption to some statutory and / or non statutory services i.e. key service delivery adversely affected – crisis management implemented, which needs Cabinet approval. • Strike action which is Council-wide or service-wide in a critical Service for a short period 	<ul style="list-style-type: none"> • Serious reputational damage to the Council regionally, nationally and internationally • Damage to relationships with central government or other public bodies e.g. One North-East, Environment Agency, other Councils • Perception of small number of potential partners and stakeholders that the Council is not 'fit to deal with'. • Serious injury to individual
3	Moderate	£1M - £5M 1% - 3% of Service budget	<ul style="list-style-type: none"> • Moderate disruption to statutory and / or non statutory services i.e. some disruption to service delivery – action plans to rectify • Failure of Service to maintain existing status under other Inspection regimes e.g. Ofsted • Resolution requires approval at CMT level • Limited strike action within a Service 	<ul style="list-style-type: none"> • Results in negative Regional or National press / media coverage • Minor reputational damage to the County Council • Major criticism by other stakeholders e.g. Partners, central government
2	Minor	£0.5M - £1M 0.2% - 1% of Service budget	<ul style="list-style-type: none"> • Minor service disruption / customer dissatisfaction i.e. little disruption to service delivery – no long term or permanent impact on key services • Capable of resolution by Service Management Team 	<ul style="list-style-type: none"> • Results in negative press coverage within County Durham • Minor criticism by Community • Minor criticism by other stakeholders e.g. Partners, central government • Significant number of complaints from service users • Serious Reputational damage to own Service area
1	Insignificant	< £0.5M < 0.2% of Service budget	<ul style="list-style-type: none"> • Insignificant service disruption e.g. very little or no disruption to services • Impairment of quality of service • Capable of resolution by Head of Service and their management team 	<ul style="list-style-type: none"> • Results in negative press coverage within the locality / ward • Insignificant criticism by Community • Insignificant criticism by other stakeholders e.g. Partners, central government • Insignificant number of complaints from service users • Minor Reputational damage to own Service area

DURHAM COUNTY COUNCIL – LIKELIHOOD FACTORS

Factor	Description	Expected Frequency
5	Highly Probable	<ul style="list-style-type: none"> • More than once a year • Something that is already occurring or is likely to be a regular occurrence throughout a one year period • Inevitable i.e. the event is expected to occur in most circumstances • >80% chance of occurring
4	Probable	<ul style="list-style-type: none"> • Once a year • Something that has occurred in the last year, or is likely to occur at least once throughout a one-year period. • Probable or where the conditions of the loss occur on a regular basis i.e. the event will probably occur in most circumstances • 61% to 80% chance of occurring
3	Possible	<ul style="list-style-type: none"> • Every 1-3 years • Likely only to happen at some point over the next 1 to 3 years. • Possible but responding to well understood situations i.e. the event might occur at some time • 31% to 60% chance of occurring
2	Unlikely	<ul style="list-style-type: none"> • Every 3-5 years • Likely only to happen at some point over the next 3 to 5 years or likely to continue to occur i.e. the event is not expected to occur • 11% to 30% chance of occurring
1	Remote	<ul style="list-style-type: none"> • Over 5 years • Rare activity or is unlikely based on current intelligence i.e. the event may only occur in exceptional circumstances • < 10% chance of occurring

Appendix 3: Service Risk Register

RISK MATRIX							
5	Highly Probable						LIKELIHOOD
4	Probable						
3	Possible		12	3			
2	Unlikely	4	7,11,15				
1	Remote		1,2,5,6,8,9	10			
		Insignificant (Score 1-3)	Minor (Score 4-6)	Moderate (Score 7-9)	Major (Score 10-12)	Critical (Score 13-15)	
		IMPACT					

Risk No.	Risk – By Risk Number	Net Risk Score	Ranking
1	Not implementing changes in legislation	6	8
2	Non compliance with the new fire order	6	8
3	Impact on staff morale due to uncertainty over Job Evaluation and Single Status	21	1
4	Sickness absence of staff	8	6
5	Disclosure of confidential information through incorrect disposal/maintenance of information	5	11
6	Failure of Cremators	6	8
7	Power Failure	10	3
8	Adverse inspection/Audit report	5	11
9	Loss of Income/Money	5	11
10	Breakdown of Partnership	7	7
11	Loss of knowledge and ability to cover existing workload through premature staff loss	10	3
12	Managing Excess Deaths	12	2
13	Joint Committee fail to Harmonise Fees and Charges in line with Durham Crematorium CLOSED Sept 2010		
14	Administration Duties CLOSED Sept 2010		
15	Lack of Evidence for Employers Liability Claims	10	3

Risk. No.	Risk – Ranked by Net Risk Score	Net Risk Score	Ranking
3	Impact on staff morale due to uncertainty over Job Evaluation and Single Status	21	1
12	Managing Excess Deaths	12	2
13	Joint Committee fail to Harmonise Fees and Charges in line with Durham Crematorium CLOSED Sept 2010		
7	Power Failure	10	3
11	Loss of knowledge and ability to cover existing workload through premature staff loss	10	3
15	Lack of Evidence for Employers Liability Claims	10	3
4	Sickness absence of staff	8	6
10	Breakdown of Partnership	7	7
1	Not implementing changes in legislation	6	8
2	Non compliance with the new fire order	6	8
6	Failure of Cremators	6	8
5	Disclosure of confidential information through incorrect disposal/maintenance of information	5	11
8	Adverse inspection/Audit report	5	11
9	Loss of Income/Money	5	11
14	Administration Duties CLOSED Sept 2010		

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium (Joint Risk – Durham CC & Gateshead MBC)	
Risk	1	
Risk Owner	Ian Staplin	
Detail of Risk	Not implementing changes in Legislation	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Non compliance with the law 	
Potential Impact	<ul style="list-style-type: none"> Reputational Damage Criticism by Stakeholders Results in negative press coverage Financial penalties / prosecution Loss of operator's licence 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	2	
Total Gross Impact Score (sum above)	6	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	12	
Existing Control Measures		
<ul style="list-style-type: none"> Regular updates from professional institutes – ICCMM & FBCA Membership of external organisations Updates received from a number of sources inc Justice Dept Copies of periodicals circulated among staff members Share best practice and communication with Durham 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	2	
Total Net Impact Score (sum above)	6	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	6	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium (Joint Risk – Durham CC & Gateshead MBC)	
Risk	2	
Risk Owner	Ian Staplin	
Detail of Risk	Non compliance New Regulatory Fire Order	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Non compliance with new fire order 	
Potential Impact	<ul style="list-style-type: none"> Injury to staff and public Damage to building Public Liability / Insurance Implications 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)		1
Service Delivery Impact (1 to 5)		3
Stakeholder Impact (1 to 5)		2
Total Gross Impact Score (sum above)		6
Likelihood (1 to 5)		2
Total Gross Risk Score (Total Impact * Likelihood)		12
Existing Control Measures		
<ul style="list-style-type: none"> Staff aware of the new order. Responsible officer for building in place Fire wardens in place Fire extinguishers in place Relevant information displayed Auto gas control fitted in control room Regular inspections carried out Corporate Fire Risk Assessment in place and reviewed annually 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)		1
Service Impact (1 to 5)		3
Stakeholder Impact (1 to 5)		2
Total Net Impact Score (sum above)		6
Likelihood (1 to 5)		1
Total Net Risk Score (Total Impact * Likelihood)		6
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE – taking into account existing control measures and planned actions 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium	
Risk	3	
Risk Owner	Ian Staplin	
Detail of Risk	Impact on Staff Morale due to uncertainty over Job Evaluation and Single Status	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Job Evaluation Staff in Durham Crematorium are paid at different rates than at Mountsett. 	
Potential Impact	<ul style="list-style-type: none"> Impact on staff morale affecting ability to deliver services Staff may leave Reluctance of trained staff to move to Mountsett. 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	4	
Stakeholder Impact (1 to 5)	2	
Total Gross Impact Score (sum above)	7	
Likelihood (1 to 5)	5	
Total Gross Risk Score (Total Impact * Likelihood)	35	
Existing Control Measures		
<ul style="list-style-type: none"> Keep staff informed of the process by regular meeting and team briefings Bereavement Services manager has completed JRD's for the service which have been agreed. 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	4	
Stakeholder Impact (1 to 5)	2	
Total Net Impact Score (sum above)	7	
Likelihood (1 to 5)	3	
Total Net Risk Score (Total Impact * Likelihood)	21	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE taking into account existing control measures and planned actions 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium	
Risk	4	
Risk Owner	Ian Staplin	
Detail of Risk	Sickness absence of key staff	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> • Unexpected sickness absence by key staff • Prolonged Sickness Absences 	
Potential Impact	<ul style="list-style-type: none"> • Failure to deliver service • Reputational damage • Loss of confidence • Loss of income due to invoices not being raised. 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	2	
Total Gross Impact Score (sum above)	6	
Likelihood (1 to 5)	3	
Total Gross Risk Score (Total Impact * Likelihood)	18	
Existing Control Measures		
<ul style="list-style-type: none"> • Internal procedures and policies are in place. • Back to Work interviews are undertaken • Sickness Monitoring is undertaken • Family friendly policies in place with HR advice available • Internal recruits have been recruited and trained as volunteer cremator technicians. • Reciprocal arrangement with Durham Crematorium for staff to cover in place 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	2	
Stakeholder Impact (1 to 5)	1	
Total Net Impact Score (sum above)	4	
Likelihood (1 to 5)	2	
Total Net Risk Score (Total Impact * Likelihood)	8	
CONCLUSION		
<ul style="list-style-type: none"> • TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium	
Risk	5	
Risk Owner	Ian Staplin	
Detail of Risk	Disclosure of confidential information through the incorrect disposal/maintenance of information	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Loss of data Data could be disclosed to unauthorised persons 	
Potential Impact	<ul style="list-style-type: none"> Breach of confidentiality Breach of Data Protection 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	3	
Total Gross Impact Score (sum above)	5	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	10	
Existing Control Measures		
<ul style="list-style-type: none"> Internal procedures and policies are in place for document retention and disposal Secure environment for storage of information Data quality and security controls in place 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	3	
Total Net Impact Score (sum above)	5	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	5	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE taking into account existing control measures 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by		Date
T Maddison / Ian Staplin		10/01/11

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium	
Risk	6	
Risk Owner	Ian Staplin	
Detail of Risk	Failure of cremators	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Age and wear and tear 	
Potential Impact	<ul style="list-style-type: none"> Impact on the ability to deliver services Loss of income Reputational damage 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	2	
Total Gross Impact Score (sum above)	6	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	12	
Existing Control Measures		
<ul style="list-style-type: none"> Maintenance contract in place –response within 24 hours Contingency plans in place to cover long term breakdown Reciprocal arrangement with Durham Gateshead Crematoria would assist in the event of an emergency Cremators work independently so likelihood of both failing at same time is extremely remote. 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	2	
Total Net Impact Score (sum above)	6	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	6	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by		Date
T Maddison / Ian Staplin		10/01/11

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium	
Risk	7	
Risk Owner	Ian Staplin	
Detail of Risk	Power failure	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Loss of utility services 	
Potential Impact	<ul style="list-style-type: none"> Impact on the ability to deliver services 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)		1
Service Delivery Impact (1 to 5)		3
Stakeholder Impact (1 to 5)		1
Total Gross Impact Score (sum above)		5
Likelihood (1 to 5)		3
Total Gross Risk Score (Total Impact * Likelihood)		15
Existing Control Measures		
<ul style="list-style-type: none"> Written contingency plans in place to cover loss of service Reciprocal agreement with Durham Crematorium In an emergency Gateshead Crematoria could assist 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)		1
Service Impact (1 to 5)		3
Stakeholder Impact (1 to 5)		1
Total Net Impact Score (sum above)		5
Likelihood (1 to 5)		2
Total Net Risk Score (Total Impact * Likelihood)		10
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium	
Risk	8	
Risk Owner	Ian Staplin	
Detail of Risk	Adverse inspection/audit report	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Lack of evidence for inspections 	
Potential Impact	<ul style="list-style-type: none"> Detrimental Impact on the service Reputational damage Greater levels of audit and inspection 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)		1
Service Delivery Impact (1 to 5)		3
Stakeholder Impact (1 to 5)		3
Total Gross Impact Score (sum above)		7
Likelihood (1 to 5)		2
Total Gross Risk Score (Total Impact * Likelihood)		14
Existing Control Measures		
<ul style="list-style-type: none"> Policies and procedures in place adhered to and can be evidenced. Filing systems in place New employees are subject to an induction process Health and Safety policy available. Fire Risk assessments in place Regular Health & Safety inspection of building carried out and documented. Annual Audit of accounts. Adequate signage for first aiders, fire wardens and fire extinguishers in place 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)		1
Service Impact (1 to 5)		2
Stakeholder Impact (1 to 5)		2
Total Net Impact Score (sum above)		5
Likelihood (1 to 5)		1
Total Net Risk Score (Total Impact * Likelihood)		5
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium	
Risk	9	
Risk Owner	Ian Staplin	
Detail of Risk	Loss of income/money	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Theft Non payment of crematorium fees 	
Potential Impact	<ul style="list-style-type: none"> Detrimental Impact on the service Reputational damage 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	2	
Stakeholder Impact (1 to 5)	2	
Total Gross Impact Score (sum above)	5	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	10	
Existing Control Measures		
<ul style="list-style-type: none"> Cash/cheques collected and banked in a safe and timely manner Any overdue accounts are subject to recovery through finance Accountancy reconcile income on a regular basis Schedule of income maintained on a daily basis 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	2	
Stakeholder Impact (1 to 5)	2	
Total Net Impact Score (sum above)	5	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	5	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium	
Risk	10	
Risk Owner	Ian Staplin	
Detail of Risk	Breakdown of Partnership	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Partner withdraws funding Partner wants to exit agreement. Partner becomes insolvent 	
Potential Impact	<ul style="list-style-type: none"> Detrimental Impact on finances 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	2	
Service Delivery Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	2	
Total Gross Impact Score (sum above)	7	
Likelihood (1 to 5)	1	
Total Gross Risk Score (Total Impact * Likelihood)	7	
Existing Control Measures		
<ul style="list-style-type: none"> Formal partnership agreement in place Maintain a good working relationship Maintain financial viability of the facility 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	2	
Service Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	2	
Total Net Impact Score (sum above)	7	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	7	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium	
Risk	11	
Risk Owner	Ian Staplin	
Detail of Risk	Loss of knowledge and ability to cover existing workload through staff loss.	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Staff leaving for alternative employment Sudden departure of staff 	
Potential Impact	<ul style="list-style-type: none"> Failure in service delivery 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	3	
Total Gross Impact Score (sum above)	7	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	14	
Existing Control Measures		
<ul style="list-style-type: none"> Reciprocal agreement in place with Durham Crematorium to provide emergency cover Close communication with small team 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	2	
Stakeholder Impact (1 to 5)	2	
Total Net Impact Score (sum above)	5	
Likelihood (1 to 5)	2	
Total Net Risk Score (Total Impact * Likelihood)	10	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK	
Business Unit	Mountsett Crematorium
Risk	12
Risk Owner	Ian Staplin
Detail of Risk	Managing excess deaths
BACKGROUND TO RISK EVENT	
Risk Causes	<ul style="list-style-type: none"> Flu pandemic Catastrophic incident Loss of experienced staff/not enough trained staff
Potential Impact	<ul style="list-style-type: none"> Huge strain on crematorium capacity - unable to cope Equipment failure Staff Overtime Existing Staff Resources unable to cope Number of deaths too high to cope with Funeral Directors unable to deliver coffins
GROSS RISK ASSESSMENT	
Financial Impact (1 to 5)	2
Service Delivery Impact (1 to 5)	2
Stakeholder Impact (1 to 5)	2
Total Gross Impact Score (sum above)	6
Likelihood (1 to 5)	3
Total Gross Risk Score (Total Impact * Likelihood)	21
Existing Control Measures	
<ul style="list-style-type: none"> Reciprocal Agreement with Durham Crematorium staff to assist with cover Internal Policies and Procedures in Place Testing has been carried out in Durham to ensure cremators are able to cope with 8 cremations per day – Manufacturers have confirmed Mountsett cremators could deal with this also Plans are in place should the requirement be to move from normal to enhanced operation Stocks of consumable spares for each cremator is purchased and stored on site Stocks of Cremation forms held Training of additional volunteer Cremator Technicians in Durham has been undertaken Procedure notes for administration are prepared and kept in the Crematorium/Cemetery Office Procedure notes produced for Funeral Directors and Clergy to advise how services would operate at enhanced and critical levels Training of volunteer Cremator Technicians to assist in enhanced and critical situations has been completed Working with Civil Contingencies unit excess deaths group Supplies of suitable containers for Cremated remains, flat pack urns or heavy duty plastic bags 	
NET RISK ASSESSMENT	
Financial Impact (1 to 5)	2
Service Impact (1 to 5)	1
Stakeholder Impact (1 to 5)	1
Total Net Impact Score (sum above)	4
Likelihood (1 to 5)	3
Total Net Risk Score (Total Impact * Likelihood)	12

CONCLUSION

- **TOLERATE** / TRANSFER / TREAT / TERMINATE

CONTROL IMPROVEMENTS/ ACTIONS

Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium	
Risk	15	
Risk Owner	Ian Staplin	
Detail of Risk	Lack of evidence for Employers Liability Claims	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Claims arise from lack of compliance with Health and Safety policy 	
Potential Impact	<ul style="list-style-type: none"> Reputational damage Financial detriment 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	3	
Total Gross Impact Score (sum above)	5	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	10	
Existing Control Measures		
<ul style="list-style-type: none"> Staff aware of Health and Safety policies and procedures – copy held on site Trained First Aiders in place Fire Wardens and relative notices in place. Fire risk assessment has been carried out Regular Health & Safety inspections of the building carried out by Health & Safety Officers Training in Health & Safety Risk assessments completed and communicated to staff Fire extinguishers are labelled and regularly serviced 		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	3	
Total Net Impact Score (sum above)	5	
Likelihood (1 to 5)	2	
Total Net Risk Score (Total Impact * Likelihood)	10	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison/ Ian Staplin	10/01/11	

Appendix 4: Operational Risk Register

RISK MATRIX							
5	Highly Probable						LIKELIHOOD
4	Probable						
3	Possible		7				
2	Unlikely						
1	Remote	8	2,3,4,5	1,6			
		Insignificant (Score 1-3)	Minor (Score 4-6)	Moderate (Score 7-9)	Major (Score 10-12)	Critical (Score 13-15)	
		IMPACT					

Risk. No.	Risk – By Risk Number	Net Risk Score	Ranking
1	Injury to staff and visitors	7	2
2	Exterior Pathways and Steps	5	5
3	Use of hand tools and machinery for gardening	5	5
4	Cleaning Duties	5	5
5	Violence/Assault from Member of the Public	6	4
6	Fire	7	2
7	Risk Assessments and Reviews not undertaken	10	1
8	Slips, trips and falls	3	8

Risk. No.	Risk – Ranked by Net Risk Score	Net Risk Score	Ranking
7	Risk Assessments and Reviews not undertaken	10	1
1	Injury to staff and visitors	7	2
6	Fire	7	2
2	Exterior Pathways and Steps	5	5
3	Use of hand tools and machinery for gardening	5	5
4	Cleaning Duties	5	5
5	Violence/Assault from Member of the Public	6	4
8	Slips, trips and falls	3	8

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium (Joint Risk – Durham CC & Gateshead MBC)	
Risk	1	
Risk Owner	Ian Staplin	
Detail of Risk	Operational Risk - Injury to staff and visitors	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Hot apparatus – staff handling hot ash pans Staff raking down and removing metal from remains Hydraulic lifting gear. Dust Transferring remains into and between containers. Noise from machinery 	
Potential Impact	<ul style="list-style-type: none"> Injury to staff Employee / Public liability claim 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	2	
Service Delivery Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	2	
Total Gross Impact Score (sum above)	7	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	14	
Existing Control Measures		
<ul style="list-style-type: none"> Only certified, qualified and trained staff allowed to operate machinery Machinery regularly maintained and serviced Extractor fans and masks used. Risk Assessments training completed. If procedures or machinery changed additional training would be arranged. 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	2	
Service Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	2	
Total Net Impact Score (sum above)	7	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	7	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium (Joint Risk – Durham CC & Gateshead MBC)	
Risk	2	
Risk Owner	Ian Staplin	
Detail of Risk	Operational Risk - Exterior pathway and steps	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Path and steps in state of disrepair 	
Potential Impact	<ul style="list-style-type: none"> Injury to staff and public Employee / Public liability claim 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	3	
Service Delivery Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	1	
Total Gross Impact Score (sum above)	5	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	10	
Existing Control Measures		
<ul style="list-style-type: none"> Paths and steps well maintained – additional investment in repairs agreed by Joint in June 2010 Inspected regularly Access levels regularly cleaned Recoding sheets introduced to document reports of defects Method of reporting defects and chasing reported works has been established. 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	3	
Service Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	1	
Total Net Impact Score (sum above)	5	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	5	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium (Joint Risk – Durham CC & Gateshead MBC)	
Risk	3	
Risk Owner	Ian Staplin	
Detail of Risk	Operational Risk - Use of hand tools and machinery for gardening	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Vibration Noise 	
Potential Impact	<ul style="list-style-type: none"> Injury to staff Employee liability claim 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	3	
Service Delivery Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	1	
Total Gross Impact Score (sum above)	5	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	10	
Existing Control Measures		
<ul style="list-style-type: none"> Tools kept in good order Ear protectors and protective clothing provided and used. Training in Health & Safety Risk Assessments completed and communicated to staff. Machinery regularly serviced and maintained 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	3	
Service Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	1	
Total Net Impact Score (sum above)	5	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	5	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium (Joint Risk – Durham CC & Gateshead MBC)	
Risk	4	
Risk Owner	Ian Staplin	
Detail of Risk	Operational Risk –Accident caused as a result of cleaning duties	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Hazardous cleaning materials Wet floor Noise (vacuums) 	
Potential Impact	<ul style="list-style-type: none"> Injury to staff/public 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	3	
Service Delivery Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	1	
Total Gross Impact Score (sum above)	5	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	10	
Existing Control Measures		
<ul style="list-style-type: none"> Least hazardous cleaning products used Floors mopped at quiet times wet floor signage displayed Public areas are fully carpeted. Vacuum regularly maintained and PAT tested 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	3	
Service Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	1	
Total Net Impact Score (sum above)	5	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	5	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium (Joint Risk – Durham CC & Gateshead MBC)	
Risk	5	
Risk Owner	Ian Staplin	
Detail of Risk	Operational Risk - Violence/assault from member of public	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Attack by a member of the public 	
Potential Impact	<ul style="list-style-type: none"> Injury to staff 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	3	
Service Delivery Impact (1 to 5)	2	
Stakeholder Impact (1 to 5)	1	
Total Gross Impact Score (sum above)	6	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	12	
Existing Control Measures		
<ul style="list-style-type: none"> Staff trained in dealing with aggressive situations 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	3	
Service Impact (1 to 5)	2	
Stakeholder Impact (1 to 5)	1	
Total Net Impact Score (sum above)	6	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	6	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium (Joint Risk – Durham CC & Gateshead MBC)	
Risk	6	
Risk Owner	Ian Staplin	
Detail of Risk	Operational Risk – Risk of Fire	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Storage of fuels etc. 	
Potential Impact	<ul style="list-style-type: none"> Impact on the ability to deliver services 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	3	
Total Gross Impact Score (sum above)	7	
Likelihood (1 to 5)	2	
Total Gross Risk Score (Total Impact * Likelihood)	14	
Existing Control Measures		
<ul style="list-style-type: none"> No smoking policy in place Fuels kept in locked stores. No smoking signs displayed Regular H&S Inspections carried out by Health & Safety. Fire alarm and procedures in place re regular testing and evacuation drills etc. 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	3	
Total Net Impact Score (sum above)	7	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	7	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium (Joint Risk – Durham CC & Gateshead MBC)	
Risk	7	
Risk Owner	Ian Staplin	
Detail of Risk	Operational Risk - Risk Assessments and reviews not undertaken	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Staff unaware of risks affecting service 	
Potential Impact	<ul style="list-style-type: none"> Detrimental Impact on the service 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	3	
Stakeholder Impact (1 to 5)	2	
Total Gross Impact Score (sum above)	6	
Likelihood (1 to 5)	3	
Total Gross Risk Score (Total Impact * Likelihood)	18	
Existing Control Measures		
<ul style="list-style-type: none"> Full review undertaken Risk assessment procedures in place Health & Safety recommendations completed. Staff training on risk assessments completed. Full review undertaken for all activities in the Business Risk assessments completed and communicated to staff Investigated Refresher training from Federation of Burial and Cremation Authorities 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	2	
Stakeholder Impact (1 to 5)	2	
Total Net Impact Score (sum above)	5	
Likelihood (1 to 5)	2	
Total Net Risk Score (Total Impact * Likelihood)	10	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
Completed by	Date	
T Maddison / Ian Staplin	10/01/11	

DESCRIPTION OF RISK		
Business Unit	Mountsett Crematorium (Joint Risk – Durham CC & Gateshead MBC)	
Risk	8	
Risk Owner	Ian Staplin	
Detail of Risk	Operational Risk - Slips, Trips and Falls	
BACKGROUND TO RISK EVENT		
Risk Causes	<ul style="list-style-type: none"> Manual handling Tripping hazards Step ladders 2 rung 	
Potential Impact	<ul style="list-style-type: none"> Injury to staff 	
GROSS RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Delivery Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	1	
Total Gross Impact Score (sum above)	3	
Likelihood (1 to 5)	1	
Total Gross Risk Score (Total Impact * Likelihood)	3	
Existing Control Measures		
<ul style="list-style-type: none"> Regular inspections of office and work areas carried out. Ensure training is kept up to date Manual handling training provided where appropriate Staff issued with Manual Handling Risk Assessment Good Housekeeping – walkways kept clear at all times. 		
NET RISK ASSESSMENT		
Financial Impact (1 to 5)	1	
Service Impact (1 to 5)	1	
Stakeholder Impact (1 to 5)	1	
Total Net Impact Score (sum above)	3	
Likelihood (1 to 5)	1	
Total Net Risk Score (Total Impact * Likelihood)	3	
CONCLUSION		
<ul style="list-style-type: none"> TOLERATE / TRANSFER / TREAT / TERMINATE 		
CONTROL IMPROVEMENTS/ ACTIONS		
Activity	Responsible	Timescales
1. Risk Assessments training to be carried out for ladder duties	G Harrison	31/03/11
Completed by		Date
T Maddison/ Ian Staplin		10/01/11