

# Central Durham Crematorium Joint Committee

25 January 2017

Risk Register Update 2016/17



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## Joint Report of Ian Thompson – Corporate Director: Regeneration and Local Services; John Hewitt – Corporate Director: Resources and Treasurer to the Joint Committee

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### Purpose of the Report

1. The purpose of this report is to inform the Central Durham Crematorium Joint Committee of the outcome of the half-yearly review of the service and operational risk registers in March 2017.

### Background

2. The service and operational risk registers are maintained in accordance with Durham County Council's methodology and approach to risk management, further details of which are included in Appendices 2, 3 and 6. The registers have been reviewed by the Bereavement Services Manager & Registrar (Countywide), supported by Durham County Council's Principal Risk and Governance Officer. Net risk evaluations 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.

### Risk Assessment – April 2017

#### Summary

3. The Service Risk Register is included in **Appendix 4** and a profile of service risks is included in **Appendix 5**.
4. The Operational Risk Register is included in **Appendix 6** and a profile of operational risks is included in **Appendix 7**.
5. The net risk evaluation of all identified service risks are within the risk appetite (the shaded area in Appendix 5), so they are considered to be at an acceptable level.

## Changes

6. No new risks have been added to either risk register.
7. Three risks have been removed from the service risk register:-
  - *Adverse impact on Crematorium business due to ongoing refurbishment of the external canopies at the main entrance.*

The refurbishment works have been completed, so this risk is no longer relevant.
  - *Non-compliance with the new fire order.*

All necessary actions in relation to the Fire Order have been implemented, so this risk is no longer relevant.
  - *Financial Losses due to reputation.*

This is no longer considered a valid risk.
8. The following risk, on the service risk register, has been re-evaluated:-
  - *Sickness absence of key staff.*

The net impact has been re-assessed from Insignificant to Moderate and the net likelihood has been re-assessed from Unlikely to Remote. These amendments reflect the range of the mitigating controls in place including procedures implemented under the Attendance Management Policy and the Mental Wellbeing in the Workplace Policy. Joint contingency arrangements with Mountsett Crematorium are also in place.
9. As the operational risk register relates to health and safety issues, each risk has been re-evaluated against Durham County Council's health and safety risk assessment criteria, as shown at the bottom of Appendix 6. These are considered more appropriate than the strategic risk assessment criteria, which were previously used.
10. One risk has been removed from the operational risk register:-
  - *Risk Assessments and Reviews not undertaken*

As risk management procedures are now well-established, it is considered that this is no longer a significant risk.

## **Recommendations**

11. It is recommended that:
  - i) Members of the Central Durham Joint Crematorium Committee note the content of this report and the updated position; and
  - ii) The Risk Registers are kept up to date and continue to be reviewed by the Joint Committee half yearly.

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## **Appendix 1: Implications**

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### **Finance**

There are no direct financial implications but effective risk management helps to avoid or minimise financial loss.

### **Staffing**

None

### **Risk**

This report supports the delivery of the objectives of the Durham County Council's Risk Management Strategy. Each risk has been evaluated using Durham County Council's 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 Spennymoor Town Council were consulted on the contents of this report.

### **Procurement**

None

### **Disability Issues**

None

### **Legal Implications**

There are no direct implications but effective risk management helps to ensure compliance with legal and regulatory obligations.

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## **Appendix 2: How Central Durham Crematorium risks are managed**

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Two risk registers have been developed for Durham Crematorium, containing service and operational risks respectively. They are maintained in accordance with Durham County Council's methodology and approach to risk management. This requires an evaluation of the gross risk based on an assessment of the impact and likelihood of the risk occurring. The net risk is evaluated on the same basis after taking into account mitigating control measures.

In order to ensure that risk management continues to be embedded and that the risk registers are kept up to date, regular reviews are carried out to ensure that 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. Reviews are undertaken by the Bereavement Services Manager & Registrar (Countywide), supported by Durham County Council's Principal Risk and Governance Officer, and a formal update is reported to the Central Durham Crematorium Joint Committee twice a year.

Risks are evaluated in a logical and straightforward process. Service risk assessments are based on the impact on finance, service delivery and stakeholders if the risk materialises, and also the likelihood that the risk will occur over a given period. Operational risk assessments are based on Durham County Council's health and safety risk assessment criteria, which include the likelihood of occurrence.

Durham County Council is jointly responsible for responding to civil emergencies (such as severe weather events, network power losses and flu epidemics) through the County Durham and Darlington Local Resilience Forum. An explanation of the arrangements for managing the risk of such events and a copy of the latest Community Risk Register can be found on the web page of the County Durham and Darlington [Local Resilience Forum](#).

## Appendix 3A: Strategic Risk Assessment Criteria – Impact Factors

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

## Appendix 3B: Strategic Risk Assessment Criteria – Likelihood Factors

Factor and Description		Expected Frequency
5	Highly Probable	<ul style="list-style-type: none"> <li>• <b>More than once a year</b></li> <li>• Something that is already occurring or is likely to be a regular occurrence throughout a one year period</li> <li>• Inevitable i.e. the event is expected to occur in most circumstances</li> <li>• &gt;80% chance of occurring</li> </ul>
4	Probable	<ul style="list-style-type: none"> <li>• <b>Once a year</b></li> <li>• Something that has occurred in the last year, or is likely to occur at least once throughout a one-year period.</li> <li>• Probable or where the conditions of the loss occur on a regular basis i.e. the event will probably occur in most circumstances</li> <li>• 61% to 80% chance of occurring</li> </ul>
3	Possible	<ul style="list-style-type: none"> <li>• <b>Every 1-3 years</b></li> <li>• Likely only to happen at some point over the next 1 to 3 years.</li> <li>• Possible but responding to well understood situations i.e. the event might occur at some time</li> <li>• 31% to 60% chance of occurring</li> </ul>
2	Unlikely	<ul style="list-style-type: none"> <li>• <b>Every 3-5 years</b></li> <li>• 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</li> <li>• 11% to 30% chance of occurring</li> </ul>
1	Remote	<ul style="list-style-type: none"> <li>• <b>Over 5 years</b></li> <li>• Rare activity or is unlikely based on current intelligence i.e. the event may only occur in exceptional circumstances</li> <li>• &lt; 10% chance of occurring</li> </ul>

## Appendix 4: Service Risk Register for Central Durham Crematorium

This is a list of service risks as at 26 April 2017, ranked in order of net risk evaluation, based on the strategic risk assessment criteria in Appendix 3. Where changes to the risk assessment have occurred during the last quarter, these are indicated in the last column.

Ref	Risk	Net Impact	Net Likelihood	Net Risk Score	Conclusion	Changes/ Comments
1	Managing excess deaths	Minor (4)	Possible (3)	12	Tolerate	
2	ICT and Power Failure	Minor (5)	Unlikely (2)	10	Tolerate	
3	Loss of knowledge and ability to cover existing workload through premature staff loss	Minor (5)	Unlikely (2)	10	Tolerate	
4	Breakdown of the partnership (with Spennymoor Town Council)	Moderate (7)	Remote (1)	7	Tolerate	
5	Sickness absence of key staff	Moderate (7)	Remote (1)	7	Tolerate	Net risk evaluation changed from Insignificant / Unlikely to Moderate / Remote.
6	Not implementing changes in legislation	Minor (6)	Remote (1)	6	Tolerate	
7	Failure of Cremators / Specialist Equipment	Minor (6)	Remote (1)	6	Tolerate	
8	Damage to Public or Vehicles due to tree branches falling	Insignificant (3)	Unlikely (2)	6	Tolerate	
9	Disclosure of confidential information through incorrect disposal / maintenance of information	Minor (5)	Remote (1)	5	Tolerate	
10	Loss of Income/Money	Minor (5)	Remote (1)	5	Tolerate	
11	Lack of awareness of the Impact of Equalities, DDA, Access to Services and Age Legislation	Insignificant (3)	Remote (1)	3	Tolerate	
12	Adverse impact on Crematorium business due to ongoing refurbishment of the external canopies at the main entrance.	N/A	N/A	N/A	N/A	The refurbishment works have been completed - removed from the register.  Previous evaluation Moderate/ Possible (21).
13	Non-compliance with the new fire order	N/A	N/A	N/A	N/A	This is no longer an issue - removed from the risk register.  Previous evaluation Minor/ Remote (6).
14	Financial Losses due to reputation	N/A	N/A	N/A	N/A	This item is covered by risk 11 - removed from the register.

## Appendix 5: Profile of Service Risks for Central Durham Crematorium

### Service Risks as at 26 April 2017

This matrix profiles all service risks shown in appendix 4 based on the net risk evaluation. The shaded area represents the corporate risk appetite.

None of the net risk evaluations are above the risk appetite.

As the net risk evaluations of risks 1 to 11 are within the risk appetite, they are considered to be at an acceptable level.

Impact					
Critical (score 13 – 15)					
Major (score 10 – 12)					
Moderate (score 7 – 9)	4 Partnership 5 Sick Absence				
Minor (score 4 – 6)	6 Legislation 7 Cremators 9 Confidentiality 10 Income Loss	2 ICT & Power Failure 3 Staff Loss	1 Excess Deaths		
Insignificant (score 1 – 3)	11 Legislation (Equalities, DDA, Access & Age)	8 Tree Branches			
<b>Likelihood</b>	Remote (score 1)	Unlikely (score 2)	Possible (score 3)	Probable (score 4)	Highly Probable (score 5)



## Appendix 6: Operational Risk Register for Central Durham Crematorium

This is a list of operational risks as at 26 April 2017, ranked in order of net risk rating, based on the risk assessment criteria at the bottom of the page (previously, they were assessed using the strategic risk assessment criteria in Appendix 3). Where changes to the risk assessment have occurred during the last quarter, these are indicated in the last column.

### Risk Register

Ref	Risk	Net Impact	Net Likelihood	Net Risk Rating	Changes/ Comments
1	Cleaning, Maintenance and Gardening Duties	Severe (2)	Possible (2)	Medium (4)	Previously Minor (5), Remote (1) = 5
2	Slips, trips and falls	Severe (2)	Possible (2)	Medium (4)	Previously Insignificant (3), Remote (1) = 3
3	Exterior Pathways, Steps and Grounds	Major (3)	Remote (1)	Low (3)	Previously Minor (5), Remote (1) = 5
4	Use of hand tools and machinery for gardening on site, driveway and car park	Major (3)	Remote (1)	Low (3)	Previously Minor (5), Remote (1) = 5
5	Injury to staff and visitors	Severe (2)	Remote (1)	Low (2)	Previously Moderate (7), Remote (1) = 7
6	Violent or other Assault on officer whilst lone working	Severe (1)	Remote (1)	Low (2)	Previously Minor (5), Remote (1) = 5
7	Risk Assessments and Reviews not undertaken	N/A	N/A	N/A	This is no longer a significant risk - removed from the risk register.  Previously Minor (5) x Unlikely (2) = 10

### Risk Assessment Criteria

RISK RATING		Likelihood		
		Remote Unlikely to occur or may affect only one or two people	Possible Could occur sometime or effect a group of people	Probable Occurs repeatedly, to be expected or could affect large number of people
Impact	Major Death, Major injury, permanent disability or ill-health	Medium	High	High
	Severe Injury requiring medical/hospital treatment	Low	Medium	High
	Minor First aid treatment	Low	Low	Medium

## Appendix 7: Profile of Operational Risks for Central Durham Crematorium

### Operational Risks as at 26 April 2017

This matrix profiles all operational risks shown in appendix 6 based on the net risk evaluation.

RISK PROFILE		Likelihood		
		Remote	Possible	Probable
Impact	Major	3 Exterior Pathways, Steps and Grounds 4 Hand Tools and Machinery		
	Severe	5 Injury to staff and visitors 6 Violence / Assault	1 Cleaning, Maintenance and Gardening Duties 2 Slips, trips and falls	
	Minor			

Key:-

 High risk

 Medium risk

 Low risk