

RISK ASSESSMENTS

INCREASED LITIGATION/CLAIMS FOR USE OF LEISURE FACILITIES, IN PARTICULAR PLAY AREAS

A member of staff has been appointed whose sole responsibility is to take on inspection and maintenance of Council play areas. This post will ensure regular checks and immediate resolution of dangerous issues.

The Council has also provided an annual budget allocation of £100,000 towards the modernisation/provision of play equipment.

These two developments will help ensure a safe and managed stock of play equipment which will help reduce the number of claims.

INJURIES/ACCIDENTS AT BIG PUBLIC EVENTS

Before each large scale event an 'Emergency Plan' is produced which considers all the issues relating to a public event. The Police and other statutory partners are involved in this process.

MAINTAINING HEALTH AND SAFETY STANDARDS - TRAINING AND AWARENESS ETC.

An active Health and Safety Committee led by a Corporate Director reviews accidents and new legislation.

A Health and Safety Risk Assessors Group shares good practise across the organisation.

Training for health and safety is addressed at each employees Performance Development Review (PDR) yearly assessments.

The Council's Health and Safety Advisor carries out audits of health and safety key issues. Recent examples include depot safety and the asbestos policy implementation.

BUSINESS CONTINUITY - ESPECIALLY I.T. DISASTER RECOVERY

Under the Civil Contingencies Act, the Council now has a Business Continuity Plan in place. However, one or two issues, including I.T. recovery in the event of a major disaster such as fire or flood have still to be resolved.

I.T. are now examining a back-up system to be potentially located at the Council's Granville Court site. Training has been carried out for Managers and staff awareness raised through the Council's briefing.

Activity	H&S Training Need	Management Training Need	Benchmark
Induction	All staff to receive basic H&S training by HR A.S.A.P. after starting	All managers in senior position to attend 'IOSH Managing safely' courses	HR to keep records of staff training
Job specific training	Staff to receive job specific training within 3 months of starting		Managers to keep records of staff competencies
Job specific statutory training	Staff to receive training on jobs where statutory training is required prior to starting work on that task e.g. electrician		Managers to have records/certificates available. HR to have copies
Yearly training review/ PDR	Staff training needs to be put under yearly review. Review to include assessment for H&S training	Management procedures to include questions to be asked to direct them to asking about H&S issues	HR to keep records/certificates.
Job change review	Staff to receive training if job changes	Management to have training form to enable this training to be proved	HR to keep records
Reorganisation review	Staff training and competencies to be assessed prior to any change of service and reorganisation	Managers to asked to present H&S training needs requirement when putting in bids for funding	HR to keep records of training given
Yearly H&S Audit		Managers to fill out questionnaire	H&S to audit and identify areas where understanding lacking
Targeted audits			H&S to be targeted using accident/incident reports/new legislation/H&S committee/local knowledge

RISK MANAGEMENT – CORPORATE and SERVICE DEPARTMENT ACTION PLANS

CORPORATE MANAGEMENT TEAM

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Change in the political agenda	B3 – medium	Possible change of delivery objectives	Regular Member engagement		
Reliance on partnership working	B3 – medium	Loss of capacity to deliver projects	CP Target to review partnerships	By March 07	
Not able to meet demand for services from growth of District	C3 - low	Reputation of Council will fail	<ul style="list-style-type: none"> • 3 yr financial plan • Workforce Planning • Review with CIG 	CIG Meeting to review requirements by Dec 06	B3 - med
Insufficient capacity to deliver change	C3 - low	Services decline	<ul style="list-style-type: none"> • Efficiency agenda • Budget for increase in capacity (bids) 	Formulate capacity building plans (streamline services) – Dec 06	B3 - med

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COMMUNITY AND LEISURE DEVELOPMENT

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Sustainability of the voluntary sector	B3 - medium	Reduced service delivery to 'at risk groups'	Increased grants in 2006/7 budget	Review of V&CS funding to be completed, September 2006	C2 - medium
Failure of Business Plan for Rosliston Forestry Centre	C3 - low	Financial cost to partners. Loss of contractor.	Monthly performance meetings	Review of first year business plan performance, March 2007	C3
Reliance on external funding	C3 - low	Reduction in service delivery. Staff contracts not renewed.	On going restructures.	Mainstream funding applications to be made in budget planning process.	C3
Failure of contractor managing facilities	D3 - low	Closure of facilities for a period. Costs of staffing and equipment.	Contracts in place.	Leisure Centre contract to be retendered for April 2008. Project Plan been developed.	D3
Memorial monuments falling causing injury	C2 - medium	Injury to member of public. Litigation and publicity.	Checks undertaken	None	C2
Litigation/claims for accidents at play areas	C2 - medium	Injury to member of public. Litigation and publicity.	Inspections carried out by dedicated member of staff	New play areas designed to meet current standards	C2
Flooding	D2 - medium	Injury to public, damage to property.	Warning systems in place. Flood alleviation works completed. Emergency planning training events attended.	None	D2

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Incident occurs at a public event	D1 - medium	Injury to member of public. Litigation and publicity.	Emergency Plans produced with involvement of emergency services.	None	D1
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HOUSING SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Inadequate maintenance of communal areas	C4 - low				
Lack of affordable housing to rent	B3 - medium				
Meeting the demand for Homelessness provision	C3 - low				
Contractors do not follow H&S requirements	C3 - low				
Implementing in full the Asbestos Policy	B2 - medium				

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REVENUE SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
On-going viability of the main I.T. system	B2 - medium	Deterioration of service and inability to provide statistics and performance details	Joint working with Derbyshire Dales DC to identify changes required and implement those that are possible	Investigations to provide a replacement system in partnership with other organisations (March 2007)	B2 - medium (short term) Risk removed when solution implemented

PLANNING SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Judicial review of planning decisions	B3- medium				
Legal challenge to decision on planning or building regulations application	C3 - low				

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Loss of market share re: Building Regulations	C3 - low				
Reliance on contractors to deliver some services	D3 - low				
Accidents/injuries on public footpaths, including footpaths officer	C3 - low				

HUMAN RESOURCES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Inconsistent use in HR policies and procedures	B3 - medium	Employment issues arising from decision(s) taken Potential employee relations issues Impact on morale	Procedures in place and support available from HR Regular training provided Guidance notes available on intranet	Continued annual review of policies jointly with Trades Unions - April each year Development of intranet site - ongoing Provision of ongoing training, including Management Development - March07	Medium

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Unable to meet deadline for completing pay and grading review	B3 - medium	Potential employment tribunal claims Employee relations issues Impact on morale Possibility of further action from national employers/trades unions	Action plan in place Monitoring from Single Status Steering Group Additional resources available Communication continued with staff & employee reps	Continued review of action plan - regular monthly meetings of Single Status Steering Group Local agreement to extend implementation date - provisionally agreed and subject to review	Medium
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LEGAL and DEMOCRATIC SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Misinformation reaching the press and published incorrectly	C4 - low	<ul style="list-style-type: none"> • Bad publicity for the Authority • Reputation damage 	Ensure all media contact is via PR Office and is factually correct Positive PR management	Development & adoption of a Corporate Communications Policy (March 2007)	C4 - low
Loss of market share re: Land Charges	C3 - low	<ul style="list-style-type: none"> • Income drops below predicted levels - impacts on General Fund • Budgets/services reduced • Impact on staff morale 	<ul style="list-style-type: none"> • Careful attention to forecasts in setting budgets • Maintain staffing level & customer service at a level sufficient to deliver service • Continue to actively promote service 		C3 - low

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I.T. and CUSTOMER SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Not responding to FOI requests	B4 - low	Not meeting our requirements under legislation. Negative publicity.	Managed through our CRM system, to ensure target dates met.	Ongoing commitment from all officers to answer requests.	B4
Dependency on key staff for legacy systems	C3 - low	Unable to support legacy systems if key staff not present.	3 staff in place, share workload, minimise reliance on one person	Move to alternate, packaged based solutions. Ongoing.	C3
Problems with I.T. infrastructure, e.g. loss, breakdown, etc.	B2 - medium	Systems unavailable	Back ups in place, servers under warranty, and reuse of equipment if appropriate.	Further detail in IT DR plan (Mar 07)	B2
Telecommunications system breakdown/unavailable.	B2 - medium	No contact via phone system.	Dome resilience via the depot	Review of infrastructure (Mar 07)	B2
Security breach in reception area	B2 - medium	Danger for officers, loss of cash, access to other parts of the building.	Safety reviewed as part of Contact Centre refurbishment. Number pad and door locks in place.	Annual Review. (Mar 07)	C2 - low
Over reliance on external companies to provide systems	C2 - low	Support of systems not in our control. Suppliers go out of business.	Escrow agreements in place. Financial checks on Suppliers. Purchase as Partnership so ensuring others in same situation.	Keep Suppliers under review. Annually	C2

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I.T. security, e.g. virus or hacking	C2 - medium	Security compromised, restricted information accessed, systems unavailable.	Anti virus protection, Firewall, Mail sweeper, dual verification for remote access.	Review monthly.	C2
Business continuity - IT disaster recovery	C1 - high	No IT systems available if civic offices destroyed	Back ups in place. Recovery plans in place if current server room not hit.	Look at setting up alternate IT infrastructure at Granville Court or at the new depot. This will be on a small-scale basis i.e., not a replication of current offices. Major incident needs DR plan incorporating the complete Council.	C1

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FINANCE and PROPERTY SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Failure to meet payroll deadlines (in particular due to unplanned reduction in staffing)	C3 - low	Employees and Members not paid on time	<ul style="list-style-type: none"> Some staff cover is in place. Procedural notes available. Arrangements in place to call on resources of neighbouring authorities. 	A further member of staff needs to be trained for extra cover. Planned during this financial year.	D3 - extremely low.
Agresso - system failure	D3 - low	The Council's main financial management system would be unsupported, i.e. enhancements would be limited and any software problems would remain.	<ul style="list-style-type: none"> The Council owns the licenses for the systems that are registered with the National Computer Centre. The corresponding agreement requires the supplier to prove the integrity of the system and lodge an updated copy on a regular basis. 	Full development plan to be rolled out by 2006. This will increase the knowledge of relevant staff meaning less reliance on the supplier.	D4 - extremely low.
Failure of banks, etc. where money is held on deposit	D2 - medium	Significant amounts of money lost.	<ul style="list-style-type: none"> Money is mainly deposited with the Government and other local authorities. The Council's approved lending list is restricted to regulated institutions with the highest quality ratings. This list is reviewed regularly. 	Cannot really do anything further. The Council's lending policy is fairly rigid and gives priority to security and liquidity over return.	It will always remain a medium risk due to the potential impact.

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ENVIRONMENTAL SERVICES

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
FLARE system - failure or supplier ceases to exist	C3 - low	System may become redundant	Company the single largest supplier and now has been taken over by a larger company which reduces risk of collapse.	No further action	D3 - extremely low
Vehicle thefts or serious damage	C3 - low	Loss of value (£up to £100 K) inability to carry out rounds	Security fence installed and CCTV working.	Seek new depot with better security	C3
Reliance on contractors to deliver major services, e.g. recycling	D3 - low	May raise costs in absence of formal long term contract	Contract now in place for kerbside collection.	Longer term contract needed for kerbside and other contracts subject to full market testing	D3
Maintaining H&S training and awareness	B3 - medium	Potential for accidental injury with costs and prosecution including for corporate manslaughter	HASAW Advisor struggled to find time to tackle issues Whilst only part time	HASAW Advisor to be made full time and transferred to HR team.	C3 - low
Inadequate funding for DFG programme	C2 - medium	Mandatory grants may not be paid Staffing levels might be excessive for workload	Funding regime for the next two years is resolved	Seek further allocations via long term capital programme planning process	D4 - extremely low

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Lack of compliance re: H&S at the Depot	C2 - medium	Potential for accidental injury with costs and prosecution including for corporate manslaughter	Major review of highest risk activities (i.e. waste and cleansing) completed. Most important matters are already resolved	Action plan in place to cover all remaining identifiable matters.	C3 - medium
Major disaster at the Depot, e.g. fire	C2 - medium	Loss of maintenance capacity and or loss of fleet	Fire risk training carried out	Periodically refresh training	D2 - medium

POLICY and ECONOMIC REGENERATION

RISK	CURRENT RATING	CONSEQUENCES	CONTROLS IN PLACE	FURTHER ACTION REQUIRED (including timescale)	REVISED RATING
Failure of tourism partnership	D4 - low				
Downturn in local economy	B3 - medium				
LSP fails	C3 - low				

