



## **Report to Portchester Crematorium Joint Committee**

*Date:*           **23 September 2019**

*Report of:*    **Treasurer to the Joint Committee**

*Subject:*       **RISK MANAGEMENT**

### **SUMMARY**

The Risk Management Framework and Policy Statement for Portchester Crematorium are subject to annual review. This report sets out the updated documents for approval by the Joint Committee.

### **RECOMMENDATIONS**

- a. That the Risk Management Strategic Framework and Policy as set out in Appendix A and B of this report be approved.
- b. That the Risk Management progress report set out in Appendix C be noted.

## **RISK MANAGEMENT**

1. Risk Management is an area that is subject to internal audit as part of the Joint Committee's Corporate Governance arrangements. It also forms a key component of the self-assessment process leading to the Annual Governance Statement approved by the Joint Committee.
2. Risk is the threat that an event or action will adversely affect an organisations ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework for corporate governance.
3. The responsibilities in relation to Risk Management for the Joint Committee are set out below :

A shared awareness and understanding within the Joint Committee of :

- Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making
- Implementing robust and integrated risk management arrangements and ensuring that they are working effectively
- Ensuring that responsibilities for managing individual risks are clearly allocated

## **RISK MANAGEMENT FRAMEWORK AND RISK POLICY STATEMENT**

4. The Joint Committee has adopted a Risk Management Framework and Risk Management Policy Statement. These two documents are subject to annual review and subject to some minor textual amendments remain up to date, relevant and robust. They define the processes and responsibilities for managing risks across the whole spectrum, and are set out at Appendices A and B respectively. The Joint Committee is asked to approve these documents for their continued application to the system of risk management in place.

## **RISK MANAGEMENT PROGRESS REPORTS**

5. Discussions have been held between the Manager and Registrar and the Officers to the Joint Committee to gather and report evidence that the Risk Management Policy continues to be implemented, detailed at Appendix C. In particular the policy is considered to be effective if they include:
  - What the top risks are and any new or changes in risks and opportunities that have occurred in the year
  - Actions that have been taken in the year to mitigate risks
  - Incidents that have occurred and actions taken to manage the incident and prevent a repeat
  - Risks and solutions shared with other experts in that subject, including Officers of the four constituent Council authorities

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**PORTCHESTER CREMATORIUM JOINT COMMITTEE  
SUMMARY OF RISK MANAGEMENT FRAMEWORK**

Framework Element	Process agreed
<b>Risk Management</b>	
Risk Management Policy	<p>Lead Officer – Clerk to the Joint Committee and Treasurer to the Joint Committee</p> <p>Approved, and reviewed as appropriate by the Joint Committee</p> <p>Annual assessment of adequacy of risk management arrangements</p>
Monitoring and Reporting to the Joint Committee	<p>Lead Officer – Clerk to the Joint Committee and Treasurer to the Joint Committee</p> <p>Discussions are held on an annual basis with Officers to the Joint Committee and the Manager and Registrar to gain assurance that the Risk Management principles are working at the crematorium. The discussion includes:-</p> <ol style="list-style-type: none"> <li>1. Perceptions of the current top risks</li> <li>2. Any new or changes in risks / opportunities that have been identified</li> <li>3. Any mitigating actions they have taken recently to strengthen risk management arrangements</li> <li>4. Any incidents that have occurred and lessons learnt / actions taken as a consequence</li> </ol> <p>Health and Safety Policy reviewed 1 October 2018 and reported 10 December 2018</p> <p>Decision making reports to the Joint Committee include risk information to support recommendations</p>
Maintaining Risk information and assessments	<p>Desktop review of underlying risk registers of risks to the crematorium</p> <p>Risk assessments support any projects implemented at the Crematorium</p>

## **RISK MANAGEMENT POLICY STATEMENT**

The Portchester Crematorium Joint Committee recognises that Risk Management is an intrinsic part of Corporate Governance, whilst not being a separate corporate process. Risk Management is an integral part of basic everyday management and decision making, involving foreseeing and averting problems and maximising opportunities. The Joint Committee accepts that some risks will always exist and will never be eliminated.

The Joint Committee recognises that it has a responsibility to manage risks and supports a structured and focused approach to managing them by implementing robust and integrated risk management, adopting and adhering to a number of key principles.

In this way the Joint Committee will better achieve its corporate objectives and enhance the value of services it provides to the community.

The Joint Committee's risk management strategic objectives are to:

- ♦ Integrate risk management into the culture of the Joint Committee
- ♦ Manage risk in accordance with best practice
- ♦ Anticipate and respond to changing social, environmental, legislative, political, economic, technological, competitive and citizen requirements
- ♦ Prevent injury, damage and losses and reduce the cost of risk
- ♦ Raise awareness of the need for risk management by all those connected with the Committee's delivery of services we provide.

These objectives will be achieved by adopting and adhering to the following key principles:

- ♦ Establishing clear roles, responsibilities and reporting lines within the Joint Committee for risk management
- ♦ Employ competent and responsible managers and employees
- ♦ Offering a framework for identifying and prioritising risk areas
- ♦ Reinforcing the importance of effective risk management as part of the everyday work of employees by having conversations and pulling in experts when required
- ♦ Incorporating risk management considerations into all aspects of the Joint Committee's work.
- ♦ Monitoring arrangements on an on-going basis.

**The key components of the Risk Management Framework are:**

- **Monitoring and Reporting to provide assurance to the Joint Committee that the principles are working in the management of the crematorium**
- **Underlying risk registers of risks to the crematorium reviewed**
- **A set of Health and Safety hazard assessments**
- **Inclusion of risk information in decision making reports to the Joint Committee**
- **Risk assessments supporting any projects implemented at the Crematorium**

**Governance Assurance Group  
Annual Risk Management Discussion 2019/20**

**Examples of new actions taken anticipating risks or opportunities**

Risk or Opportunity	Actions taken
<p style="text-align: center;"><b>Business Continuity</b></p> <p>Portchester Crematorium has benefitted from a stable staff structure and employed staff within that structure for an extended period of time. It is reasonable to assume that key positions within that structure will be subject to change over the coming few years as senior staff reach and consider retirement options. This could result in key skills and experience being lost to the Joint Committee.</p>	<p><b>Clerk and Treasurer to the Joint Committee -</b></p> <p>Review Portchester Crematorium structure and whether the current employment model remains relevant and most appropriate for the staff employed there.</p> <p>Consider options for adequate and appropriate succession planning for key senior staff.</p> <p>Skills capture in rest of the team.</p>
<p style="text-align: center;"><b>NHS Medical Examiners</b></p> <p>A new NHS National Medical Examiner has been announced to oversee the introduction of the medical examiner system, working to ensure every death in an acute hospital is scrutinised either by a medical examiner or coroner, dealing quickly with any patient care issues and listening to concerns that bereaved families may have.</p>	<p><b>Manager and Registrar -</b></p> <p>Keep up to date and aware of the implementation and take any required actions arising from changes in legislation.</p>

**Examples of actions taken reacting to risks or incidents**

Risk or Opportunity	Actions taken
<p><b>Data Protection Act 2018</b></p> <p>The General Data Protection Regulations came into force in May 2018.</p> <p>GDPR comes under the Data Protection Act Non-compliance brings risks of not delivering our customers' rights, reputational damage and ultimately fines and sanctions from the Information Commissioner's Office. There is potential for an increased number of enquiries coming in which may have an impact on resources.</p> <p>Under GDPR a Data Protection Impact Assessment (DPIA) should be used to evaluate risks to the rights and freedoms of data subjects that result from data processing.</p>	<p><b>Manager and Registrar-</b></p> <p>The Crematorium Manager and Registrar contacted Fareham Borough Council to establish whether any guidance could be provided to them to assist with data protection assurances for the security of data within their control. At that time, this was specifically around the transfer of data in hard copy format, for the updates to the Book of Remembrance.</p> <p>In responding to that request, two visits were made to the Crematorium to discuss this specific area and to understand the processes and legislative requirements of that specific element of responsibility. Comprehensive discussion took place about those processes and procedures and the purpose of the initial visit expanded into a mini data protection review. The first visit was undertaken solely by the Information Manager, and the second by the Information Manager and ICT Security Officer.</p> <p>A Briefing Paper along with a number of recommendations were provided and will be retained for implementation purposes.</p>
<p><b>Water Feature</b></p> <p>Over the past few years maintaining the Water Feature has become increasingly difficult, even with a maintenance arrangement in place the feature is often non-operational.</p> <p>This gives rise to the opportunity to review the function of the area to provide better facilities to our customers beyond the now somewhat bland area for contemplation.</p>	<p><b>Property Manager</b> – To seek endorsement of a piece of work to explore options and initial ideas to remodel the area, engaging a suitable Landscape Architect in 2019/20.</p> <p><b>Clerk to the Joint Committee</b> – Member Working Group to be considered for planning and progressing such a large scale scheme as and when the need arises and if considered appropriate by the Joint Committee.</p>

**Risks noted where further actions are still needed**

<b>Risk or Opportunity</b>	<b>Actions being taken</b>
<p style="text-align: center;"><b>Cremation Plant</b></p> <p>The crematorium site is of regional importance providing cremation services for a large geographical area.</p> <p>The current working set up of six cremators remains the preferred operating model at the crematorium, to cope with the service demand via Funeral Directors.</p> <p>In 2012 abatement equipment was installed in the roof area to ensure compliance of the cremators with enhanced air quality emission standards that have now been introduced.</p>	<p><b>Manager and Registrar / Property Manager –</b></p> <p>Service agreement for Cremation and Mercury Abatement equipment to be bought into one contract with the existing provider.</p> <p>Alarm contract to be maintained and any actions required implemented at the earliest opportunity</p> <p>Maintain Inspection / Protection reviews</p>