

Risk Register

| Risk Reference | Date Identified | Source | Service Area | Risk Identified | Potential Consequence | Inherent Risk | | | Current Controls | Risk Owner | Portfolio Holder |
|----------------|-----------------|----------------|-------------------|---|---|---------------|---|-------------|--|-------------|-------------------------|
| | | | | | | P | I | Risk Rating | | | |
| ASC1 | | SIP.ASC.V 3 | Adult Social Care | Adult Social Care experiences a significantly higher level of demographic pressure than was expected at budget setting. | Budget will suffer an overspend. | H | H | High | Current year budget pressures are being reviewed to identify the budget pressure up to March 2014 and to identify areas where savings can be achieved to mitigate some of the pressures. | Joy Garfitt | Cllr Darren Mayor |
| ASC2 | | SBP 2014/17 | Adult Social Care | Political agreement is required to implement the proposed efficiencies. | Without this we will be unable to meet the financial saving requirements. | M | H | Medium | | Joy Garfitt | Cllr Darren Mayor |
| ASC3 | | SBP 2014/17 | Adult Social Care | Limited capacity within the service to manage change required in a short period of time | Inability to achieve the challenging improvement / cost reduction agenda | H | H | High | Re-designing service structure. Resource allocation. Project management methodology. | Joy Garfitt | Cllr Darren Mayor |
| ASC4 | | SBP 2014/17 | Adult Social Care | Suppliers and stakeholders in the Powys market do not respond to the changes made by the department. | Ability to deliver quality cost effective services to the standard specified in the contract. | M | H | Medium | Contract monitoring techniques. Engagement with providers. | Joy Garfitt | Cllr Darren Mayor |
| ASC5 | | SBP 2014/17 | Adult Social Care | (for PCC) That PthB withdraws co-operation / responsibility for financial commitments e.g. Glan Irfon, RHS, CES, CHC etc. | Budget overspend. | L | H | Medium | Section 33 documents are signed and are up-to-date. | Joy Garfitt | Cllr Darren Mayor |

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| CEMS1 | | SIP.COM.V2 | Chief Executive and Member Services | Capacity within the service. | Inability to effectively manage Powys County Council's reputation | M | H | Medium | Deploy resources reactively to address reputation threat eg hostile media campaign, political change, unscheduled mass crowd events. | Anya Richards | Cllr Phil Pritchard |
| CEMS2 | | SBP 2014/17 | Chief Executive and Member Services | Capacity at critical periods. The nature of the team's work means that significant pieces of work arise that were not anticipated and therefore could not be planned for eg mass crowd council events. | These events put pressure on the team's capacity as they seek to catch up on scheduled work that must be delayed to accommodate changing priorities in a fast moving environment. | M | H | Medium | Regular and horizon scanning to predict and plan for unscheduled events. Communication with stakeholders to explain pressures and any associated delays. | Anya Richards | Cllr Phil Pritchard |
| CEMS3 | | SBP 2014/17 | Chief Executive and Member Services | Insufficient capacity from other services to help support the delivery of major events and high profile public meetings | Inability to effectively manage Powys County Council's reputation. Inability to effectively manage major events and high profile public meetings. | H | H | High | Work with services to identify capacity shortages and escalate in a timely fashion. | Anya Richards | Cllr Phil Pritchard |
| CEMS4 | | SBP 2014/17 | Chief Executive and Member Services | Removal of Red Kite as a key communications channel (the only publication that had guaranteed delivery to all households in Powys) while digital access in the county is still low | Lower levels of overall customer satisfaction (as there is a correlation between satisfaction levels and civic newspapers). | M | H | Medium | Enhance digital communication provision. | Anya Richards | Cllr Phil Pritchard |

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| CEMS5 | | SBP 2014/17 | Chief Executive and Member Services | Effective communications planning is dependent upon services notifying and engaging with the team early enough to allow for advance planning to be effective in communications and consultation management. This is particularly important with high profile, public facing issues that entail significant service change resulting from reduced budgets or service transformation initiatives. In the current financial climate there is high probability that there will be multiple high profile issues which will also impact upon capacity within the team. | Insufficient communications and consultation management. | H | H | High | Work with services to forward plan their communications into a News grid. | Anya Richards | Cllr Phil Pritchard |
| CG1 | | SIP.L.V2 | Change & Governance | Failure of governance. | Council acts ultra vires | L | M | Low | | Clive Pinney | Cllr Phil Pritchard |

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| CG2 | | Risk Register 21/11/12 12.11 | Change & Governance | Data Protection Breaches | Information Commissioners Intervention. Financial Penalties | H | H | High | Information Governance Plan - verbal update provided to Audit Committee by Director of Social Services 12/10/12 | All Service Heads supported by Information Governance Team | Cllr Garry Banks |
| CR1 | | Risk Register 21/11/12 12.100 | Corporate | The Council is not prepared to manage the level of financial cuts required by the Welsh Government | The Council incurs significant overspend. Projected budget will suffer an overspend. Penalties and fines may be imposed Council reputation damaged | H | H | High | Medium Term Financial Plan | All Service Heads supported by Financial Services | Cllr Wynne Jones |
| CR2 | | Risk Register 21/11/12 12.58 | Corporate | Inability to recruit skilled staff in certain areas | Council unable to effectively deliver services | H | H | High | Workforce Planning | All Service Heads supported by HR | Cllr Phil Pritchard |

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| CR3 | | Risk Register 21/11/12 12.92 | Corporate | Inadequate Corporate Governance arrangements for shared services and partnerships | Failure to effectively deliver services | H | H | High | | All Service Heads supported by Partnership Support Programme | Cllr Barry Thomas |
| CR4 | | Risk Register 21/11/12 12.102 | Corporate | Failure to deliver on the Powys One Plan | Failure to deliver on the Powys One Plan | M | M | Medium | | Programme Board and Programme Team | Cllr Barry Thomas |
| CR5 | | Risk Register 21/11/12 12.102 | Corporate | Lack of management of the procurement process within services. | Inadequate contracts and contract management exposing the authority. | M | M | Medium | | All Service Heads supported by central Procurement | Cllr Graham Brown |
| CR6 | | Risk Register 21/11/12 12.90 | Corporate | Lack of adequate service business continuity planning | Failure to deliver services in the event of an emergency. | L | L | Low | Officer appointed permanently to post of Business Continuity & Risk Management Officer. Education and training programme delivered to services. Services supported to produce their own Business Continuity Plans. | All Service Heads | Cllr John Powell |
| CR7 | | Risk Register 21/11/12 12.94 | Corporate | Inadequate registers / notifications of items requiring statutory testing provided to the compliance team. | Regulations not met Financial Penalties Corporate Manslaughter | | | | | All Service Heads supported by Policy and Regeneration | Cllr Garry Banks |

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| CR8 | | Risk Register 21/11/12 12.95 | Corporate | Inadequacy of Absence Management process | Failure to provide service to a satisfactory standard. | | | | New Absence Management Policy | All Service Heads supported by HR | Cllr Phil Pritchard |
| CR9 | | Risk Register 21/11/12 12.96 | Corporate | Ineffective disciplinary processes | 1) Loss of resources when carrying out investigation. 2) Risk of reputation arising from inadequate delivery of process | | | | | All Service Heads supported by HR | Cllr Phil Pritchard |
| CR10 | | Risk Register 21/11/12 12.97 | Corporate | Failure to monitor and protect Council assets | Theft and abuse of Council property | | | | | All Service Heads supported by ? | Cllr Garry Banks |
| CR11 | | Risk Register 21/11/12 12.98 | Corporate | Issues arising from regulatory reports (Check WAO, CSIW, Estyn, HMRC etc.) | Issues are not addressed | H | H | High | | All Services supported by Programme Office | Cllr Phil Pritchard |
| CR12 | | SIP.LES.V 2 | Corporate | Responding to new legislation | Council fails to meet its statutory obligations. | H | H | High | | All Service Heads supported by | Cllr Phil Pritchard |
| CS8 | | HoS | Children's Services | Inability to meet the new Social Services and Well-being (Wales) Act 2014 which enforces that Early Intervention and Prevention becomes a statutory service | Inability to provide the statutory service which will impact upon prevention and will create a higher LAC population and effectively greater long-term cost | H | H | High | <ul style="list-style-type: none"> • Budget management; • Performance Indicators; • Objective in Business Plan. | Pauline Higham | Cllr Darren Mayor |

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| CS9 | 12/01/2015 | SMT | Children's Services | Fined by ICO due to sharing of personal data | Reputational loss, financial loss | H | H | High | <ul style="list-style-type: none"> • Mandatory checking of all outgoing correspondence; • Mandatory DPA and IT & Information Security training for all staff; • Information Security Awareness presentations delivered by Information Security Officer; • Authority wide Data Protection training; • Key cabinets; • Clear desk policy; • Swipe cards for printers; • Encrypted laptops / memory sticks; • Staff asked to turn off the email 'auto-fill' facility; • Training reports at SMT. | Pauline Higham | Cllr Darren Mayor |
| HTR1 | | SIP.LES.V 2 | Highways, Transport and Recycling | Reduction in the level of public transport services | Large areas of Powys without meaningful transport services | H | M | Medium | | Nigel Brinn | Cllr John Brunt |
| HTR2 | | SIP.LES.V 2 | Highways, Transport and Recycling | Failure to ensure Health & Safety of public and workforce | Risk of prosecution and duty of care and injury to the public and staff. | H | H | High | Introduction of robust site supervision and monitoring processes internally and externally with contractors. | Nigel Brinn | Cllr John Brunt |

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| HTR3 | | SIP.LES.V 2 | Highways, Transport and Recycling | Failure to meet statutory recycling targets. | Incurring financial penalties. Reputational Damage. | M | H | Medium | Procurement of new refuse and recycling vehicle fleet in 2013/14 and review and development of new collection routes in 2014/15 | Nigel Brinn | Cllr John Powell |
| HTR4 | | SIP.LES.V 2 | Highways, Transport and Recycling | Potential failure to provide safe highways and structures in a cost effective manner | Infrastructure failure. Road closures. Disruption to property. | L | H | Medium | Regular monitoring of the network. | Nigel Brinn | Cllr John Brunt |
| HTR5 | | Risk Register 21/11/12 12.91 | Highways, Transport and Recycling | Inadequate management of the Council's fleet | Loss of Operators Licence. Prosecution by VOSA. | M | H | Medium | Review undertaken. Northgate undertaking 3 year transformation / savings project. Fleet Manager in place | Nigel Brinn | Cllr John Brunt |
| HTR6 | | SBP 2014/17 | Highways, Transport and Recycling | Financial consequences of budget impacting on service delivery. | Budget overspend. | H | H | High | | Nigel Brinn | Cllr John Brunt |
| HTR7 | | SBP 2014/17 | Highways, Transport and Recycling | Failure to deliver engineering services (efficiently and effectively) and deliver investment programmes. | Loss of income from external clients. Reputational damage from projects. Financial impact - budgets not met | M | M | Medium | Implementation of programme/project management principles to deliver project on time and to budget | Nigel Brinn | Cllr John Brunt |
| HTR8 | | SBP 2014/17 | Highways, Transport and Recycling | Emergency Response Management | Failure to manage effectively winter maintenance or severe weather accidents | H | M | Medium | Winter maintenance and adverse weather plans in place. Emergency crews on regular standby . Rota arrangements for Emergency Response in place | Nigel Brinn | Cllr John Brunt |
| ICS1 | | SIP.ICT.? | Information and Customer Services | ICT business continuity | Failure to maintain key ICT services in the event of a major incident. | L | H | Medium | Business Continuity Plan being drafted. | Allen Hart | Cllr Phil Pritchard |

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| ICS2 | | SIP.CUST.J13 | Information and Customer Services | Lack of local IT access | Reduction in channel shift | L | M | Low | Superfast broadband being introduced and promote use of Library 'free' PC use | Allen Hart | Cllr Phil Pritchard |
| LR1 | | SIP.LR.V4 | Leisure and Recreation | Impact of recession/financial climate | Reduced take up of leisure activities and reduction on income. | H | H | High | Marketing efforts continue during recession, and also increased income targets. | Neil Mathews | Cllr Graham Brown |
| LR2 | | SIP.LR.V4 | Leisure and Recreation | Loss of external funding for some key areas of service provision e.g. Families First, Forestry Commission fees for Coed Cymru, WG Rights of Way Improvement funding, Cymal, Sport Wales, WG free swim (circa £500K per annum) | Reduced income leading to service cuts | H | H | High | Review of service delivery, service restructures and delayering, and development of alternative models to reduce cost whilst maintaining services where no alternatives exist. | Neil Mathews Stuart Mackintosh | Cllr Graham Brown |

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| LR3 | | SIP.LR.V4 | Leisure and Recreation | Failure to adhere to statutory testing and environmental management, due to lack of capital/revenue maintenance funding and difficulties in securing internal service provision | Fines and penalties imposed. Reputation Accidents | H | H | High | Ensure all significant dilapidations and remedials are recorded and appropriately managed through the procurement process and role of Corporate Landlord clearly defined. Potential tension between the need for maintenance funds and also service delivery funds competing from the one budget. Implement the Alternative Management and Delivery model for Leisure and use savings to invest in improving building infrastructure and condition. Conclude the options appraisal for cultural services and agree alternative delivery model/s. Release some assets to reduce revenue spend, and invest in alternative provision and devolve some asset management to local communities. | Neil Mathews Stuart Mackintosh | Cllr Graham Brown |

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| LR4 | | SBP 2014/17 | Leisure and Recreation | Unable to secure political decision to target the funding reductions and identify service delivery impact. | Failure to meet savings target. | H | H | High | Monitor and undertake briefing as appropriate with Portfolio Holders | Stuart Mackintosh / Neil Mathews | Cllr Graham Brown |
| LR5 | | SBP 2014/17 | Leisure and Recreation | Failure to achieve MTFP targets | Budget deficits. | M | M | Medium | Routine monitoring and meetings with Finance team. Continued monitoring through MTM, and in-service team meetings | Stuart Mackintosh / Neil Mathews | Cllr Graham Brown |
| LR6 | | SBP 2014/17 | Leisure and Recreation | Failure to gain support from communities in devolving assets to the community leading to closure of facilities | | H | H | High | Once direction has been set by Cabinet, to pursue staff and stakeholder consultations, community engagement events and to set out availability of any medium-long term support. Ensure limitations to devolved management or ownership are understood. | Stuart Mackintosh | Cllr Graham Brown |
| LR7 | 09/10/2014 | HoS | Leisure and Recreation | Cabinet decision to provide commitment to raise lower pay levels, potentially linked to the Living Wage. | | H | M | Medium | Currently in process of developing mitigating actions and strategy | Stuart Mackintosh | Cllr Graham Brown |

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| LR8 | 09/10/2014 | HoS | Leisure and Recreation | Volunteers not adhering to health and safety regulations stipulated by the Council | Health and safety breach, injury to volunteers | H | H | High | Management controls in place - professional staff overseeing work and managing contract with Landlord. Annual Risk Assessments completed by Countryside Access Volunteer Co-ordinator. Site specific tasks are risk assessed beforehand (on a daily basis) by the Countryside Access Volunteer Co-ordinator where the volunteers will be working with little or no supervision. Only light clearance work is undertaken with no supervision. Land is checked for potential utilities and cleared with land owners beforehand. Work is passed to contractors if it is not deemed suitable to be undertaken by volunteers. | Stuart Mackintosh | Cllr John Powell |
| PSC1 | | SIP.F.V4 | Professional Services & Commissioning | Inadequate financial planning and control in Education, Adults Social Care, HTR & Regeneration. | Council will incur expenditure over and above its resources. | H | H | High | | Jane Thomas | Cllr Wynne Jones |

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| PSC2 | | SIP.HR.V1 | Professional Services & Commissioning | Non-compliance with Health and Safety legislation. | Risk of prosecution and duty of care to the public and staff | | | | | Jason Lewis | Cllr Phil Pritchard |
| PSC3 | | SBP 2014/17 | Professional Services & Commissioning | The new service delivery model anticipates a greater degree of service self-sufficiency in handling routine financial and people management activity. | The risk of litigation as a result of poor people management may increase in the short to medium term as a consequence of this approach. | H | M | Medium | | Jason Lewis | Cllr Phil Pritchard |
| PSC4 | | SBP 2014/17 | Professional Services & Commissioning | Ongoing risk of further equal pay litigation as a consequence of pre-single status pay arrangements. | Settlement with current claimants will raise the profile of equal pay opportunities. | H | H | High | | Jason Lewis | Cllr Phil Pritchard |
| PSC5 | | SBP 2014/17 | Professional Services & Commissioning | Increased demand for legal support from clients, particularly Social Care | Unable to meet the demands of the services. | H | H | High | | Jason Lewis | Cllr Phil Pritchard |
| PSC6 | | SIP.L.V2 | Professional Services & Commissioning | Failure to respond correctly to land charge enquiries. | Compensation claims | M | M | Medium | | Jason Lewis | Cllr Phil Pritchard |
| PSC7 | | SIP.L.V2 | Professional Services & Commissioning | Failure to deliver an effective legal service | Councils fails to comply with legal duties. | L | M | Low | | Jason Lewis | Cllr Phil Pritchard |

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| RPC1 | | SIP.PPP.V 1 | Regeneration, Property & Commissioning | Failure to ensure Health & Safety of public and workforce on Council premises | <ul style="list-style-type: none"> • People could be seriously or fatally injured; • Exposure to litigation. | M | H | Medium | Public liability insurance. Procurement - external contractors risk statements - monitoring | Susan Bolter | Cllr Garry Banks |
| RPC2 | | SIP.PPP.V 1 | Regeneration, Property & Commissioning | Liabilities arising from closed landfill site portfolio | Significant pollution incident resulting in prosecution. | L | H | Medium | We have a specialist Contaminated Land Officer who has sought legal advice and determined that this is the land owner's responsibility, and that Natural Resources Wales have responsibility for dealing with the pollution. | Susan Bolter | Cllr John Powell |
| RPC3 | | SIP.PPP.V 1 | Regeneration, Property & Commissioning | Failure to deliver major new build property projects | Costs incurred to rectify partially unsuitable buildings. Poor educational outcomes for children. | M | M | Medium | Re-organised staff group to manage design and build, with building company carrying out the work to design and build, with risks appropriately owned between PCC and contractor. | Susan Bolter | Cllr Garry Banks |
| RPC4 | | SIP.RD.V6 | Regeneration, Property & Commissioning | Public perception of development management service | Could impact on the Council both reputationally and financially. | L | L | Low | Temporary staff | Susan Bolter | Cllr Avril York |
| RPC5 | | SIP.RD.V6 | Regeneration, Property & Commissioning | Failure to manage partnership relations. | Unable to manage expectations, performance, capacity. | L | M | Low | | Susan Bolter | Cllr Avril York |
| RPC6 | | SBP 2014/17 | Regeneration, Property & Commissioning | Failure to adopt the LDP | Reputational damage, financial implications. | M | M | Medium | | Susan Bolter | Cllr Avril York |

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| RPC7 | | SBP 2014/17 | Regeneration, Property & Commissioning | Further savings targets | Failure to deliver statutory services, possible legal implications, failure to meet corporate objectives | L | H | Medium | | Susan Bolter | Clr Avril York |
| RPC8 | | SBP 2014/17 | Regeneration, Property & Commissioning | The property disposals programme may not realise the expected returns on time. | Other developments which depend upon them cannot be supported. | M | H | Medium | | Susan Bolter | Clr Garry Banks |
| SS1 | 13/01/2015 | SMT | Schools Service | Non delivery of the Schools Transformation Programme | Unaffordable and unsustainable education infrastructure which is not contributing to the Authority's efficiency agenda, and leading to poor educational outcomes | M | H | Medium | Growth to develop capacity of team. ODP Programme defined. | Marianne Evans | Clr Arwel Jones |
| SS4 | 13/01/2015 | SMT | Schools Service | Condition and security of buildings and premises. | <ul style="list-style-type: none"> • Breach of Equalities legislation; • Failure to comply with H&S legislation; • Poor educational achievements; • Detrimental impact on health and wellbeing of learners. | L | H | Medium | Review of Special Schools; 21st Century Schools Programme (prioritised according to pupil vulnerability); | Gareth Jones | Clr Arwel Jones |

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| Proposed Further Actions / Controls | Residual Risk | | | Notes |
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| Re-ablement service implemented. Consulting on raising eligibility. Developing an affordable care policy. New model of social care developed. | H | H | High | |
| Ensure appropriate information is available to inform Member's decision making. | M | H | Medium | |
| We will complete a matrix identifying resource requirements against timescales for all activities identified within the plan to clearly identify any capacity issues. Capacity of individuals will be highlighted through supervision and agreed governance arrangements will be established. All projects will be allocated a named project manager who will be responsible for managing their implementation. The new structure will better align resources. | M | H | Medium | |
| The provider forum will be an opportunity to engage with local service providers and to consult on potential service proposals. Regular contract management will engage providers in the process. | M | H | Medium | |
| Ownership of our joint project is owned and understood by all respective partners. | L | H | Medium | |

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| | | | | Moderated with Service Manager 8th October 2014 |
| Regular and horizon scanning to predict and plan for unscheduled events. Communication with stakeholders to explain pressures and any associated delays. | | | | Moderated with Service Manager 8th October 2014 |
| Set up a virtual events team. | | | | Moderated with Service Manager 8th October 2014 |
| Look at ways to provide alternative digital communication provision. | | | | Moderated with Service Manager 8th October 2014 |

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| Ensure we comply with corporate training requirements and quality assure our processes | | | | This risk is repeated in 5 S.I.P's The extent of data protection breaches and subsequent implications following the roll out of training to all staff needs to established from the Information Governance Manager. |
| | | | | |
| | | | | This risk was included by both the programme Office and I.T in their Service Improvement Plans. Evidence as to why it has been included and the implications need to be verified and assessed. |

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| | | | | Not on S.I.P. Need to establish risk given the significance of failure. |
| | | | | Consider revising the risk rating based on recent events. |
| Continual engagement with BCM Champions via quarterly Business Continuity Group. Services to continue to develop and test their Business Continuity Plans. | L | L | Low | Level of risk reduced from Medium to Low. |
| | | | | Not on S.I.P no risk rating. Consideration should be given to awarding a rating of High |

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| | | | | Not on S.I.P no risk rating - needs to be discussed. |
| | | | | Not on S.I.P no risk rating - needs to be discussed |
| | | | | Not on S.I.P no risk rating Suggested risk rating High and Medium resulting in Medium |
| | | | | |
| Track emerging legislation and respond to consultation and Bills raising implication with Portfolio Holders and Cabinet as required | | | Medium | Identified and recorded in SIP by Operations. Implications for whole authority. Also in 2014-17 SIP. |
| Identifying and responding to need to be able to invest in order to prevent escalation of need. | M | H | Medium | Moderated 07/10/14 Impact changed from Catastrophic to High 28/10/14 |

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| <ul style="list-style-type: none"> • Client database available to Health colleagues; • Refresh training; • Information security a standard agenda item. | H | H | High | |
| Explore opportunities to increase community sector transport provision, using funding available through Regional Transport Consortium | | | Medium | Moderated with Iwan Prys Jones 01/10/2014 |
| Safe working practices and methods of working. | | | Medium | Moderated with Iwan Prys Jones 01/10/2014 |

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| Re-tender Household Waste & Recycling Centres and review Trade Waste service. | | | Medium | Moderated with Iwan Prys Jones 01/10/2014 |
| Capital investment (utilising reserves and prudential borrowing) in highway network. Prioritisation of budget on most significant roads and structures. | | | Low | Moderated with Iwan Prys Jones 01/10/2014 |
| | | | | Moderated with Iwan Prys Jones 01/10/2014 |
| Management through effective service re-design. | | | Low | Moderated with Iwan Prys Jones 01/10/2014 |
| | | | Low | Moderated with Iwan Prys Jones 01/10/2014 |
| | | | | Moderated with Iwan Prys Jones 01/10/2014 |
| Disaster Recovery Plan being produced. | | | | Moderated with Allen Hart 25/09/2014 |

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| | P | I | Risk Rating | |
| Ongoing roll out of fibre. | | | Medium | Moderated with Allen Hart 25/09/2014 |
| | | | High | Income responsibility will cease with commencement of commissioning model (Spring 2015). |
| | | | Medium | |

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| | P | I | Risk Rating | |
| | | | Medium | Concerns regarding legionella testing and statutory testing programme are not responsive enough. |

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| | H | H | High | |
| | M | M | Medium | |
| | | | Medium | |
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| Proposed Further Actions / Controls | Residual Risk | | | Notes |
|---|---------------|---|-------------|-------|
| | P | I | Risk Rating | |
| | M | M | Medium | |
| To monitor expenditure and costs, and to work with services to encourage a higher level of financial awareness in expertise amongst managers. | | | | |

Risk Register

| Proposed Further Actions / Controls | Residual Risk | | | Notes |
|--|---------------|---|-------------|----------------|
| | P | I | Risk Rating | |
| | | | | No risk rating |
| The introduction of a contract between the client service and Professional Services that clearly sets out the expected levels of service so that there is no ambiguity over accountability. The development of policy and guidance that is clear and concise and the provision of coaching support in order to support the development of managerial capacity and capability | | | Medium | |
| The introduction of single status using an evaluation scheme compliant with the Equality Act has limited any future equal pay risk. Claimants have a maximum of six years to lodge a claim with the tribunal. The risk will continue for a further five years. The financial risk has been assessed and adequate budgetary provision has been made to any future claims. | | | Medium | |
| Develop contingency through partnership and / or consortia participation | | | Medium | |
| | | | | |
| | | | | |

Risk Register

| Proposed Further Actions / Controls | Residual Risk | | | Notes |
|--|---------------|---|-------------|-------|
| | P | I | Risk Rating | |
| Introduction of robust site supervision and monitoring processes internally and externally with contractors. The probability could potentially decrease if further resources were added to this area. | M | H | Medium | |
| Restructuring of functions so that closed landfill are managed within the Public Protection Service (particularly) contaminated land division to improve capacity and capability to resolve pollution issues | | | Medium | |
| Continue to embed implementation of programme/project management principles to deliver project on time and to budget | | | Low | |
| To undertake a review of aspects of the service to ensure public confidence in process and decision making | | | | |
| Provide regular, clear communication | | | | |
| Recruiting temporary staff. Delaying staff re-organisation until the new plan is on deposit in June 2014. | | | Low | |

Risk Register

| Proposed Further Actions / Controls | Residual Risk | | | Notes |
|---|---------------|---|-------------|------------------------------|
| | P | I | Risk Rating | |
| Ensure that realistic plans are developed to achieve the savings and that the progress is closely monitored at all levels going forwards. Generate income. | | | Medium | |
| Regularly revise progress on list of disposal sites/ buildings and feed this in through the corporate Cost Improvement Group as well as the property projects. | | | Medium | |
| <ul style="list-style-type: none"> • New structure in place; • Succession planning; • Capacity and expertise; • Transformation funding provided from Corporate Finance for structure to be in place. | L | H | Medium | Updated by SMT 13th Jan 2015 |
| Strategic Outline Plan for 21st Century Schools and Capital Investment Programme; Annual scoring of need against investment matrix; Update Asset Management Plan; Individual monitoring of educational placements for children with complex needs. | L | H | Medium | |