

Risk Reference	Source	Service Area	Risk Identified	Potential Consequence	Current Rating			Current Controls	Risk Owner	Proposed Further Actions / Controls	Revised Rating			Notes
					P	I	Risk Rating				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 sufficiency analysis has identified that the budget is underfunded.	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	Re-ablement service implemented. Consulting on raising eligibility. Developing an affordable care policy. New model of social care developed.	H	H	High	
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	Ensure appropriate information is available to inform Member's decision making.	M	H	Medium	
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	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	
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	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	
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	Ownership of our joint project is owned and understood by all respective partners.	L	H	Medium	
BS1	SIP.BPU.V 3	Business Services	Management capacity at critical periods to deal with additional operational and corporate objectives, e.g. Delivering internal transformation, Cost Cutting Collaborations 2014/17 – Facilitating and participation in cross cutting collaborations, service transformation and improvement.	Failure to deliver required performance and results, with adverse effect on end user services.	M	M	Medium	Regular planning and 1-2-1 meetings with stakeholders and Managers to ensure workload is managed and prioritised effectively	Mark Evans		M	M	Medium	Moderated 28/08/14
BS2	SIP.BPU.V 3 SBP 2014/17	Business Services	Inability to meet existing and any additional service/regulators/external expectations of what Business Services provides (other than those provided within available resources.)	Failure to deliver required performance and results, with adverse effect on end user services.	M	L	Low	Ensure awareness of actions within all service areas business plans relating to Business Services, and to review these requirements on a regular basis	Mark Evans	Ensure good communication and awareness of actions within all service area business plans relating to Business Services, and to review these requirements on a regular basis. Service offers / SLAs are currently being developed in conjunction with the customer (service areas) to ensure expectation and clarity is achieved between the service provider and the customer.				Moderated 28/08/14

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BS3	SIP.BPU.V3	Business Services	Ability to deliver required transformational changes due to time constraints. Eg. obtain agreement or buy-in from services and members for change	Failure to deliver required performance and results, with adverse effect on end user services and affect savings identified in the MTFP.	M	M	Medium	Regular communication and increased awareness to ensure engagement with services and members earlier, at concept stage.	Mark Evans				Moderated 28/08/14	
BS4	SIP.BPU.V3	Business Services	Lack of full or timely engagement with the Business Services in transformative projects.	Business Services becomes reactive and slows pace of change.	M	M	Medium	Quarterly reviews with service areas to ensure effective service delivery and forward planning.	Mark Evans				Moderated 28/08/14	
BS5	SBP 2014/17	Business Services	New LGPS Scheme compliance with national regulations.	A range of civil and criminal enforcement measures against non-compliance.	L	H	Medium	Formal project team established to ensure systems, processes and procedures are implemented to comply with the new legislation within the required timescales.	Mark Evans	Governance arrangements currently being developed.			Moderated 28/08/14	
BS6	SBP 2014/17	Business Services	Implementation of Welfare Reform against ever changing legislation and timelines; the first major initiative being the ability to continue with the administration of Student Finance Loans up to the transfer of service in March 2015 to the Student Finance Company.	Council fails to meet its statutory obligations.	M	M	Medium	Welfare Reform Stakeholder Group	Mark Evans	To have resilience and a business continuity plan in existence and to adapt and be flexible to changes in legislation and timescales.			Moderated 28/08/14	
BS7	SIP.HR.V1	Business Services	Failure to comply with HMRC statutory pay return requirements	Significant fines and penalties imposed for late submissions.	L	H	Medium	Electronic automation in conjunction with the payroll run with robust validation and reconciliation.	Mark Evans				Moderated 28/08/14	
BS8	HoS	Business Services	Ability to deliver required transformational change due to time constraints across support functions eg. ICT support	Failure to realise benefits within required timescales which will have a potential impact on budget savings and operational effectiveness	M	M	Medium	Regular communication with relevant support services including attendance at Service Area Management Team meetings to ensure appropriate forward planning and jointly agreed prioritisation	Mark Evans				Moderated 28/08/14	
BS9	SIP.F.V4	Business Services	Valuation of Pension Fund, pension contribution impact on revenue budgets, timely reliable data from PCC payroll, JE implications included.	Incorrect valuation of Pension Fund giving inaccurate picture of Council's financial situation.	H	H	High	Highly regulated	Jane Thomas	To monitor the effect on councils financial resources				
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				Moderated with Service Manager 8th October 2014	

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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	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
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	Set up a virtual events team.				Moderated with Service Manager 8th October 2014
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	Look at ways to provide alternative digital communication provision.				Moderated with Service Manager 8th October 2014
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					Moderated with Service Manager 8th October 2014
CG1	SIP.L.V2	Change & Governance	Failure of governance.	Council acts ultra vires	L	M	Low		Clive Pinney					

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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	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 be established from the Information Governance
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 <i>Council reputation damaged</i>	H	H	High	Medium Term Financial Plan	All Service Heads supported by Financial Services					
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				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.	
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					
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				Not on S.I.P. Need to establish risk given the significance of failure.	
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				Consider revising the risk rating based on recent events.	
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.	M	L	Low	Officer seconded to implement Business Continuity within the Council. Education and training programme delivered to services. Services supported to produce their own Business Continuity Plans.	All Service Heads		L	L	Low	Moderated 07/10/14
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				Not on S.I.P no risk rating. Consideration should be given to awarding a rating of High	

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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				Not on S.I.P no risk rating - needs to be discussed.	
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				Not on S.I.P no risk rating - needs to be discussed	
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 ?				Not on S.I.P no risk rating Suggested risk rating High and Medium resulting in Medium	
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					
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	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 Moderated 07/10/14
CS1	SBP 2014/17	Children's Services	Loss of data or personal information – Data Protection Act	Fined by ICO. Personal data shared. Reputational loss.	H	H	High	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.	Pauline Higham	Action Plan owned by Information Governance Group				Moderated 07/10/14
CS2	SBP 2014/17	Children's Services	Job Evaluation and Support Service restructures (ODP, BS, PS)	Impact on ability to manage Children's Services	H	H	High	Review through DMT, SMT and OMT. Pauline Higham meets with Support Services HoS on an ongoing basis. Ongoing monitoring	Pauline Higham	Continue to ensure engagement with support services in order to understand all implications of changes to services delivery. Restructure of Support Services to be finalised.			Medium	Moderated 07/10/14
CS3	SBP 2014/17	Children's Services	Impact of authorities £40m efficiency savings	The inability to provide statutory services	M	H	Medium	Services redesign undertaken in order to support savings and continue to provide statutory services	Pauline Higham				Medium	Moderated 07/10/14
CS4	SIP.CS.V1. 5	Children's Services	Increased LAC population and its direct impact on budget deficit	Budget will suffer an overspend	M	H	Medium	As a SMT we continue to actively monitor the activity around our looked after children, and also the associated budgets.	Pauline Higham	In order to mitigate what is a volatile area of activity within the services we continue to invest in our Early Intervention program via the Powys Change Plan but also within the majority of activity within our Service Improvement Plan.				Moderated 07/10/14

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CS5	SIP.CS.V1.5	Children's Services	Retaining the grant funding around posts within the Early Intervention Program and the 16 Plus, YJS, and IFST provision. And the long term continuation	Loss of funding leading to inability to provide the service.	H	H	High	Pro-active in looking for opportunities to obtain further grant funding. Liaison with WG bodies to be aware of funding opportunities. Exit options explored.	Pauline Higham	We will continue to work towards maximising all funding streams available to the service and where budget cuts need to be made and EiA will be undertaken and the risks managed appropriately.				Moderated 07/10/14
CS6	SIP.CS.V1.5	Children's Services	Safeguarding and managing high risk families.	Inability to prevent harm, injury or death for child or children.	H	H	High	Continued delivery of high quality interventions supported by robust quality assurance systems and commitment to the work of the CYSUR (Regional Safeguarding Board) and Powys local arrangements (Operational Safeguarding Group). This will also link to CS14/17-008 Safeguarding Options Review.	Pauline Higham				High	Moderated 07/10/14
CS7	SIP.CS.V1.5	Children's Services	The ability to identify a building for the Integrated Children with Disabilities Team.	Unable to ensure the delivery of a co-located hub.	M	M	Medium	Service review. Explore option for co-location in North and South of County. Budget management. SIP objectives. Performance Indicators. Development of a 'virtual	Pauline Higham	Development of a "virtual team" – Awaiting service – Review of service delivery scheduled for 2014/15			Medium	Moderated 07/10/14
CS8	HoS	Children's Services	Non-statutory service provision Early Intervention & Prevention provision targeted for savings	Inability to provide the service which will impact upon prevention and wil create a higher LAC population and effectively greater long-term cost	H	C	High	Budget management. SIP objectives. Performance Indicators.	Pauline Higham	Identifying and responding to need to be able to invest in order to prevent escalation of need.				Moderated 07/10/14
HS1	SIP.HS.V5	Housing and Commissioning	Changes to housing benefit (Welfare Reform) – impact on HRA income "Universal Credits"	Rent collection rates drop resulting in a loss of income for the HRA.	H	M	Medium		Simon Inkson	Service redesign and structure delayering to create service able to meet the challenge. Explore with Resources team and Income & Awards about working with Credit Unions in order to mitigate the potential loss of income. Introduce introductory tenancies to obtain speedier re-possession of properties	M	M	Medium	Moderated with Simon Inkson 18/09/2014
HS2	SIP.HS.V5	Housing and Commissioning	Management of Asbestos related issues	Council fails to meet its statutory obligations.	L	H	Medium	Invested in training staff. Stock condition surveys carried out and an asbestos register held.	Ian Fraser					Moderated with Simon Inkson 18/09/2014
HS3	SIP.HS.V5	Housing and Commissioning	Changes to housing related legislation including The Housing Act Wales 2014.	Council fails to meet its statutory obligations.	H	H	High	Service redesign to ensure we have the capacity to deal with future demand	Ian Fraser	Manage housing stock, homelessness prevention, homelessness service, extensive staff training programme.	M	H	Medium	Moderated with Simon Inkson 18/09/2014

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HS4	SIP.HS.V5	Housing and Commissioning	Implementation of new Housing IT system	Problems with IT systems could lead to failure to deliver services.	H	H	High	Project Board (QL Project) with input from project team - IS, Provider, Housing service	Ian Fraser	Include under management of change the training requirements and hand over to new system	H	H	High	Moderated with Simon Inkson 18/09/2014
HTR1	SIP.LES.V2	Highways, Transport and Recycling	Reduction in the level of public transport services	Large areas of Powys without meaningful transport services	H	M	Medium		Iwan Prys Jones	Explore opportunities to increase community sector transport provision, using funding available through Regional Transport Consortium			Medium	Moderated with Iwan Prys Jones 01/10/2014
HTR2	SIP.LES.V2	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.	Iwan Prys Jones	Safe working practices and methods of working.			Medium	Moderated with Iwan Prys Jones 01/10/2014
HTR3	SIP.LES.V2	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	Iwan Prys Jones	Re-tender Household Waste & Recycling Centres and review Trade Waste service.			Medium	Moderated with Iwan Prys Jones 01/10/2014
HTR4	SIP.LES.V2	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.	Iwan Prys Jones	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
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	Iwan Prys Jones					Moderated with Iwan Prys Jones 01/10/2014
HTR6	SBP 2014/17	Highways, Transport and Recycling	Financial consequences of budget impacting on service delivery.	Budget overspend.	H	H	High		Iwan Prys Jones	Management through effective service re-design.			Low	Moderated with Iwan Prys Jones 01/10/2014
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	Iwan Prys Jones				Low	Moderated with Iwan Prys Jones 01/10/2014
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	Iwan Prys Jones					Moderated with Iwan Prys Jones 01/10/2014
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	Disaster Recovery Plan being produced.				Moderated with Allen Hart 25/09/2014
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	Ongoing roll out of fibre.			Medium	Moderated with Allen Hart 25/09/2014

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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		Neil Mathews	To improve the promotion and marketing of the service to maximise take-up including cluster operation and review of opening times of facilities, developing effective web and mobile technologies to assist customer access and information and enable improved booking and payment options. Improvement objective 6, 7 & 8. Promote service through schemes and gift cards.			High	
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	Reduced income leading to service cuts	H	H	High		Neil Mathews Stuart Mackintosh	Review of service delivery, service restructures and delayering, and development of alternative models to reduce cost whilst maintaining services where no alternatives exist. Objectives 3, 4, 5 & 7.			Medium	
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		Neil Mathews Stuart Mackintosh	Investment of £1.3 million secured for leisure to deal with urgent Statutory Testing and Safety issues in short term. Medium term, In line with Cabinet report 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. Continue to highlight problems in communication and service provision to internal service provider, and highlight as health & safety risk to H&S advisor.			Medium	Concerns regarding legionella testing and statutory testing programme are not responsive enough.
LR4	SBP 2014/17	Leisure and Recreation	Unable to secure political decision				Medium / High		Stuart Mackintosh / Neil Mathews	Monitor and undertake briefing as appropriate with Portfolio Holders			Medium	
LR5	SBP 2014/17	Leisure and Recreation	Failure to achieve MTFP targets				Medium		Stuart Mackintosh / Neil Mathews	Routine monitoring and meetings with Finance team. Continued monitoring through MTM, and in-service team meetings.			Medium	
LR6	SBP 2014/17	Leisure and Recreation	Failure to gain support from communities in devolving assets to the community leading to closure of facilities				High		Stuart Mackintosh / Neil Mathews	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.			Medium	
LR7	SBP 2014/17	Leisure and Recreation	Equalities impact of disposal of 8 regional Youth premises				Low		Stuart Mackintosh	Ensure targeted non premises based future delivery addresses and equalities weakness identified mindful service delivery post closure will continue.				
ODPS1	SBP 2014/17	Organisational Development and Partnership Support	Key process changes not developed sufficiently.	Unable to meet efficiency savings for 2015/16.	H	H	High		Dominique Jones	SP&PIF work-stream identifies process efficiencies as key deliverable. Part of ODP plan			Medium	
ODPS2	SBP 2014/17	Organisational Development and Partnership Support	Staff remain unsettled due to restructure being conducted over 2 phases.		M	H	Medium		Dominique Jones	Clarity of service function and improved communication and engagement			Low	

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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	To monitor expenditure and costs, and to work with services to encourage a higher level of financial awareness in expertise amongst managers.				
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					No risk rating
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	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	
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	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	
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	Develop contingency through partnership and / or consortia participation			Medium	
PSC6	SIP.L.V2	Professional Services & Commissioning	Failure to respond correctly to land charge enquiries.	Compensation claims	M	M	Medium		Jason Lewis					
PSC7	SIP.L.V2	Professional Services & Commissioning	Failure to deliver an effective legal service	Councils fails to comply with legal duties.	L	M	Medium		Jason Lewis					Rating is not consistent with matrix - has a manual adjustment been made?
RPC1	SIP.PPP.V 1	Regeneration, Property & Commissioning	Failure to ensure Health & Safety of public and workforce	People could be seriously or fatally injured.	M	H	Medium	Services are under financial pressure. This risk would increase substantially if budgets are cut any further.	Susan Bolter	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.			High	Moderated with Sue Bolter 18/08/2014
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	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	Moderated with Sue Bolter 18/08/2014

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RPC3	SIP.PPP.V 1	Regeneration, Property & Commissioning	Failure to deliver major new build property projects	Costs incurred to rectify unusable buildings	M	M	Medium	Re-organised staff group to manage design and build, with building company carrying out the work to design and build, therefore the risk is transferred to the building company.	Susan Bolter	Continue to embed implementation of programme/project management principles to deliver project on time and to budget			Low	Moderated with Sue Bolter 18/08/2014
RPC4	SIP.RD.V6	Regeneration, Property & Commissioning	Public perception of development management service, particularly bearing in mind the delivery of large-scale renewable energy provision.	Could impact on the overall reputation of the Council.	L	L	Low		Susan Bolter	To undertake a review of aspects of the service to ensure public confidence in process and decision making				Moderated with Sue Bolter 18/08/2014
RPC5	SIP.RD.V6	Regeneration, Property & Commissioning	Failure to manage partnership relations.	Unable to manage expectations, performance, capacity.	L	M	Low		Susan Bolter	Provide regular, clear communication				Moderated with Sue Bolter 18/08/2014
RPC6	SBP 2014/17	Regeneration, Property & Commissioning	The LDP will not go on Deposit in June 2014.	The LDP will run late.	M	M	Medium		Susan Bolter	Recruiting temporary staff. Delaying staff re-organisation until the new plan is on deposit in June 2014.			Low	Moderated with Sue Bolter 18/08/2014
RPC7	SBP 2014/17	Regeneration, Property & Commissioning	The Service will not meet its savings targets	Budget overspend.	L	H	Medium		Susan Bolter	Ensure that realistic plans are developed to achieve the savings and that the progress is closely monitored at all levels going forwards.			Medium	Moderated with Sue Bolter 18/08/2014
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	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	Moderated with Sue Bolter 18/08/2014
SS1	SBP	Schools Service	The capacity of the Authority's Schools Service.	Ability to delivery the School Improvement / Inclusion Agenda and Modernisation Programme.	M	H	Medium		Ian Roberts	Mitigating Action: Review of resources required to implement the transformation programme. Appointment of Senior Manager for ALN and Inclusion and capitalisation of 21C budget to ensure appropriate programme management.				Moderated with Ian Roberts 08/10/2014 - further moderation required at Schools Service Management Team
SS2	Risk Register 21/11/12 12.88	Schools Service	Significant deficits in all schools are not brought under control	School budgets remain in deficit.	M	H	Medium	Schools with unlicensed deficits have approved recovery plans.	Ian Roberts	Introduction of new financing scheme for schools and enforcement of new protocols.				Moderated with Ian Roberts 08/10/2014 - further moderation required at Schools Service Management Team
SS3	SBP 2014/17	Schools Service	Reduced funding available to schools delegated budgets.	Potential of impacting on standards.	VH	H	High		Ian Roberts	HR and System Leader support to provide advice and guidance on revised staffing structures. Revised School Transformation Policy to be implemented pending Cabinet decision. Commissioning of Secondary and Post 16 Infrastructure review to PWC				Moderated with Ian Roberts 08/10/2014 - further moderation required at Schools Service Management Team