

<b>REPORT TO:</b>	Audit Committee
<b>REPORT NO:</b>	HF/87/17
<b>DATE:</b>	28 September 2017
<b>LEAD OFFICER:</b>	Head of Finance
<b>CONTACT OFFICER:</b>	David Stewart (Tel: 292738)
<b>SUBJECT:</b>	Risk Register Highlights Report
<b>WARD:</b>	N/A

## **1. PURPOSE OF THE REPORT**

To inform the Audit Committee of the Council's risks and how they are being managed.

## **2. EXECUTIVE SUMMARY**

- 2.1 The Council's Risk Management Policy requires formal arrangements for managing risk. These include the identification and prioritisation of risks on a consistent basis and their recording in registers along with the key controls required to mitigate the risks.
- 2.2 Risk and Control Registers are kept for the Council's principal risks and for each department, major projects and significant partnerships. This report provides summary details of these registers.

## **3 RECOMMENDATION**

- 3.1 **That the Audit Committee notes the contents of the attached risk register extracts and considers any implications that may need to inform the Annual Governance Statement for 2018.**

## **REASON FOR RECOMMENDATION**

To enable the Audit Committee to fulfil its functions as set out in the Council's constitution, i.e., (i) the consideration of "the effectiveness of the Council's risk management arrangements" and (ii) monitoring "the effective development and operation of risk management and corporate governance in the Council".

### **4. BACKGROUND INFORMATION**

- 4.1 The Council's approved Risk Management Policy sets out the Council's risk management requirements.
- 4.2 Risks are required to be assessed objectively and on a consistent basis across the Council. The agreed Scoring Matrix (Appendix A) helps to achieve this, based on an assessment of likelihood and impact.
- 4.3 Identified risks and their key controls are recorded in risk and control registers. These are kept for:
- (i) the Principal risks to the Council Plan,
  - (ii) all departments,
  - (iii) major projects
  - (iv) 'High Significance' partnerships
- 4.4 This report provides extracts from these registers, as at 6 September 2017, to allow the Audit Committee to seek assurance or, if necessary, challenge officers on the management of individual risks or groups of risks. This could include seeking assurance that:
- (i) significant or emerging risks have been identified and assessed,
  - (ii) the risks are subject to effective mitigation (control).
- 4.5 The management of the risk and control registers' contents is the responsibility of the appropriate managers. The role of the risk management function in Internal Audit is one of coordination, support and oversight.

#### Principal Risks (Appendix B)

- 4.6 The Principal Risk and Control Register contains the risks to the Council achieving the priorities and outcomes set out in the Council Plan.
- 4.7 The mitigation of these risks is shown in the corresponding departmental registers (see below) to which the Principal risks are cross-referenced.
- 4.8 The Principal Risks are scheduled to be reviewed in October. A member workshop, scheduled for 17 October, to which all members have been invited,

will help to inform this review. The updated Principal Risk register produced following this review will be reported to the Audit Committee.

#### Departmental Risks (Appendix C)

- 4.9 Each Head of Department (HoD) is responsible for keeping their department's risk and control register up-to-date and for ensuring that controls remain effective and that any required action is implemented.
- 4.10 'Lead Governance Risks' are included in some departments' registers (column b). These are risks to cross cutting governance accountabilities which are allocated to some HoDs. The management of these risks is essential for good governance and is taken account of in producing the Annual Governance Statement.
- 4.11 As well as being required to provide an update every six months, HoDs are asked to routinely review their risk and control registers.
- 4.12 Appendix C shows the distribution of all red and amber scoring risks, while Appendix D provides summaries of each department's register. As Appendix D is lengthy, it is suggested that members consider the higher scoring risks in Appendix C and then examine the details of the risk in Appendix D.
- 4.13 As well as risk descriptions, Appendix D shows mitigating controls, current scores, further mitigation that is required, the direction of the risk score since the previous assessment, and the reasons for any changes in score or for any risks which are shown as closed. The risks are scored after taking account of the mitigating controls that are in place.
- 4.14 The movements of risks shown in the registers compared to the previous updates to the registers is as follows:

<b>Scores Increased</b>	<b>Scores Reduced</b>	<b>New</b>	<b>Closed</b>
10 risks	19 risks	9 risks	10 risks

- 4.15 Based on this, the trend of score increases due to uncertainty concerning new structures and processes and the loss of management knowledge may still be continuing appears to be slowing down. Together with the other movements shown, these figures indicate that HoDs are assessing the risks regularly.

#### Projects

- 4.16 Project Managers are responsible for keeping risk registers in respect of projects.
- 4.17 Appendix E lists all identified significant projects for which risk registers are kept, showing any current 'red' risks.

## Partnerships

4.18 Heads of Department are required to keep formal registers of the risks to the Council through involvement in significant partnerships. Reviews are required on at least an annual basis. Appendix F lists all identified significant partnerships for which risk registers are kept, showing any current 'red' risks.

## **5. IMPLICATIONS**

5.1 **Policy Framework** – the attached report enables the Audit Committee to meet its constitutional responsibilities in regard to Risk Management.

5.2 **Budget** – there are no budget implications resulting from this report.

5.3 **Legal** – there are no legal issues resulting from this report.

5.4 **Staffing** – there are no staffing implications resulting from this report.

5.5 **Equality/Human Rights** – Members are advised to consider the full Equality Impact Assessments which are available at <http://vmwinsqld/equalityisalive/Menu.aspx> report numbers FIN/EIA00023/2016. Members of the public can request a copy of the full Equality Impact Assessment from the Contact Officer named in the header box of this report. A summary of the Equality Impact Assessment is attached as Appendix G.

5.6 **Risks** - there are no additional risks resulting from this report.

<b>BACKGROUND PAPERS</b>	<b>LOCATION</b>	<b>WEBSITE INFO.</b>
The Governance Code Risk Management Policy		<a href="http://www.internal.wrexham.gov.uk/wordpress/sam/departments/finance/corporate-governance-and-risk-management-section/">http://www.internal.wrexham.gov.uk/wordpress/sam/departments/finance/corporate-governance-and-risk-management-section/</a>

WREXHAM COUNTY BOROUGH COUNCIL: RISK SCORING MATRIX

LIKELIHOOD ↓	<b>A</b> Very High	Event very likely to occur in most circumstances				<b>CRITICAL</b>	To be used for risk assessments of: - Departments - Corporately Significant & Significant Projects - Partnerships (the Council's risks)
	<b>B</b> High	Event likely to occur but not in all circumstances			<b>WARNING</b>		
	<b>C</b> Significant	Definite possibility of event occurring					
	<b>D</b> Low	Event unlikely to occur	<b>TOLERATE</b>				
	<b>E</b> Very Low	Event not expected other than in most exceptional circumstances					
		<b>PROBABLE IMPACT</b>	<b>Minor</b>	<b>Moderate</b>	<b>Major</b>	<b>Severe</b>	
		→	4	3	2	1	
		In Terms of:					
		<b>Priorities</b>	Minor Impact	Priority(ies) weakened / delayed	Priority(ies) undermined / seriously delayed	Priority(ies) not achieved.	
		<b>Financial</b> · increased rev support · capital exp commitments	Less than £25k	£25k - £250k	£250k - £2.5m	> £2.5m	
		<b>Action against Members / Management</b>	Minor Impact	· Disciplinary action · Legal action	· HoD removal · Ch Ex censure · Major legal action · Qualified audit rpt naming officers · Member surcharge	· Chief Exec Removal · Members' forced resignation · External control imposed	
		<b>Service disruption</b>	Minor disruption but manageable by altered routines	Some disruption to a number of operational areas	All operational areas affected / effect on other services	Total system dysfunction / shutdown	
		<b>Corporately Significant Projects</b>	· Minor delay to · Minor amendments	Delay - but additional resources required	· Objectives not fully achieved · Serious delay · Major re-scope / withdrawn	· Objectives not achieved in total	
		<b>Environmental</b>	Short term detrimental effects – no lasting damage	Serious effects which require remedial action	Long term / widespread environmental damage	· Extensive / permanent damage · Widespread effects	
		<b>Community</b>	Minor Impact	Specific group / no of groups	Widespread / vulnerable groups	Whole community / population	
		<b>Stakeholders</b>	Negligible no. of complaints	Large no. of complaints	· Complaints to ombudsman · Some community opposition · Legal action	· Major community opposition · High court action	
		<b>Safety</b>	Minor Injury	· Injury · Lost time · Compensation claim	· Fatality · Serious injury · Prosecution	· Multiple Fatalities · Corp manslaughter · Multiple serious injuries	

[This matrix is provided for general use in the Council. It enables risk to be assessed objectively and consistently. From time to time changes to the details of the matrix may be agreed by the Head of Finance]

**WREXHAM CBC: PRINCIPAL RISK & CONTROL REGISTER**

**APPENDIX B**

- The purpose of this register is to demonstrate the Council’s prudence in being aware of its key risks and its commitment to managing them effectively.
- This Risk Register sets out the Principal Risks that the Council has identified to it achieving its priorities and outcomes, as set out in the Council Plan, and to its key governance commitments.
- The entries are based on the views of members and senior management, obtained in early 2016.
- For the purposes of this Risk Register, the ‘Council’ means members and employees

Risk No	Risk	Risk Owner
PR16/01	<p><b>There is a risk that those to whom the Council owes a duty of care suffer a preventable death, serious injury or serious abuse.</b></p> <p>Includes neglect, abuse, health &amp; safety, food safety and road safety.</p> <p>This risk could increase in response to reductions in resources, changes to management structures and staffing levels and alternative service delivery models.</p> <p>Were the risk to materialise then as well as the impact to the victim(s) , the Council could be impacted in a number of ways, such as severe reputation damage, significant financial penalties and government imposition of changes,</p>	Chief Executive
PR16/02	<p><b>There is a risk that there is increased social exclusion and social deprivation</b></p> <p>Due to:</p> <ul style="list-style-type: none"> <li>• local and national economic factors (including exit from the EU),</li> <li>• welfare changes, reduced direct funding by national government and reduced service levels in other public services,</li> <li>• inadequate investment in local infrastructure and public transport,</li> <li>• poor educational standards,</li> <li>• lack of community facilities and reduced access to opportunities for increased well-being,</li> <li>• demographic changes</li> <li>• increased homelessness, crime and anti-social activity.</li> </ul> <p>This risk results in reduced community engagement and responsibility and in increased pressure on Council services. If not addressed satisfactorily, a breakdown in community cohesion and Government intervention could result.</p>	Executive Director People

Risk No	Risk	Risk Owner
PR16/03	<p><b>There is a risk that the physical environment of the County Borough deteriorates / fails to improve</b></p> <p>This risk includes the deterioration or the inability to invest in public assets, housing and communities.</p> <p>This could result in Wrexham becoming a less enjoyable place in which to live, reduced inward investment and therefore increased social deprivation.</p>	Executive Director Place & Economy
PR16/04	<p><b>There is a risk that revenue and capital resources are insufficient to achieve stated priorities and meet obligations at a time of increasing demand for services</b></p> <p>This risk reflects:</p> <ul style="list-style-type: none"> <li>• the reduced ability to fund services to required / statutory standards and to meet increased needs / demand for services</li> <li>• the reduced ability for investment in the infrastructure</li> <li>• the impact of deferred maintenance costs</li> <li>• reduced national government funding</li> <li>• increases in the number of vulnerable people</li> <li>• increased demand due to changes in the way that partners provide services, e.g., NHS</li> <li>• changes to national pay arrangements,</li> <li>• the implications of the Social Services and Well-being (Wales) Act 2014 and the increases in the number of Deprivation of Liberty Safeguards assessments</li> <li>• the impact of failure to agree savings proposals or in delaying their implementation which could result in the inability to balance the budget.</li> </ul> <p>The risk will result in service reductions, reduced service quality and prioritisation of statutory services over those which are non-statutory</p>	Executive Director Place & Economy
PR16/05	<p><b>There is a risk that the Council lacks the knowledge, skills, capacity, culture and ability to modernise in order to continue to meet its priorities and responsibilities (particularly as a result of the Reshaping Programme).</b></p> <p>This risk could result in:</p> <ul style="list-style-type: none"> <li>• the failure to meet Council Plan commitments and statutory requirements</li> <li>• reduced service quality</li> <li>• reduced ability to respond to Government changes and initiatives</li> <li>• reduced ability to manage major contracts effectively</li> </ul>	Executive Director People

Risk No	Risk	Risk Owner
PR16/06	<p><b>There is a risk that service quality fails to meet customer expectations and / or required service standards.</b></p> <p>This risk reflects:</p> <ul style="list-style-type: none"> <li>• reduced staff numbers and investment</li> <li>• mismatch between expectations and needs</li> <li>• ineffective engagement with customers / stakeholders</li> <li>• the inability to properly scrutinise decisions and their impacts.</li> </ul> <p>It could result in:</p> <ul style="list-style-type: none"> <li>• reputation damage,</li> <li>• regulator or government censure,</li> <li>• increased community opposition and political disengagement.</li> </ul>	Executive Director Place & Economy
PR16/07	<p><b>There is a risk that the Council fails to comply with its statutory and governance requirements</b></p> <p>This risk reflects:</p> <ul style="list-style-type: none"> <li>• reduced resources</li> <li>• weakened controls</li> <li>• reduced inspection / regulation</li> <li>• external / human factors</li> <li>• insufficient awareness of requirements</li> </ul>	Chief Executive
PR16/08	<p><b>There is a risk that service delivery and/or the welfare of citizens is significantly impacted by external or physical events</b></p> <p>This risk covers low likelihood but high impact events such as disasters, pandemics, extreme weather events, terrorism, cyber attack, power cuts, organised blockades and public unrest.</p>	Chief Executive
PR16/09	<p><b>There is a risk that the Council is destabilised due to political (internal or external) events and developments</b></p> <p>This risk reflects the impact of significant local political events and developments and also national developments, such as Local Government Reorganisation, new Local Government legislation and increases in the powers of the Welsh Government.</p>	Chief Executive

DEPARTMENT RISK AND CONTROL REGISTER AS AT 6 SEPTEMBER 2017: RED & AMBER SCORING RISKS

The risks are detailed in Appendix D

<b>A Very High</b>	HE009 CC040		ASC102
<b>B High</b>		ASC103 ASC105 ASC116 CSC023 CSC025 EP005A EP006 EP007 EP009 EP020 CC002 CC005 CC006 CC017 FN001 FN031 FN041	HE003
<b>C Significant</b>		ED002 ED0017 ED0021b ED033 ASC104 ASC113 ASC114 CSC002A CSC002B CSC005 EP004A EP004B EP014 EP016 EP022 HE001C HE008 HE012 CC001 CC007 CC009 CC013 CC014 CC019 CC028 CC034 CC039 CC042 FN004 FN013 FN017 FN033 FN036 FN038 FN044 FN045	FN010
<b>D Low</b>			ED027 ED028 ED032 EP015 HE016
<b>E Very Low</b>			
<b>Likelihood</b>	<b>3 Moderate</b>	<b>2 Major</b>	<b>1 Severe</b>
<b>Priorities</b>	• Priority(ies) weakened / delayed	• Priority(ies) undermined / seriously delayed	• Priority(ies) not achieved.
<b>Financial:</b> - increased revenue support - capital commitments	• Less than £25k	• £25k - £250k	• £250k - £2.5m
<b>Action against Members / Management</b>	• Disciplinary action • Legal action	• HoD removal • Chief Exec censure • Major legal action • Qualified audit report naming officers • Member surcharge	• Chief Exec Removal • Members' forced resignation • External control imposed
<b>Service Disruption</b>	• Some disruption to a number of operational areas	• All operational areas affected / effect on other services	• Total system dysfunction / shutdown
<b>Corporately Significant Projects</b>	• Delay - but additional resources required	• Objectives not fully achieved • Serious delay • Major re-scope / withdrawn	• Objectives not achieved in total
<b>Environmental</b>	• Serious effects which require remedial action	• Long term / widespread environmental damage	• Extensive / permanent damage • Widespread effects
<b>Community</b>	• Specific group / no of groups	• Widespread / vulnerable groups	• Whole community / population
<b>Stakeholders</b>	• Large no. of complaints	• Complaints to ombudsman • Some community opposition • Legal action	• Major community opposition • High court action
<b>Safety</b>	• Injury • Lost time • Compensation claim	• Fatality • Serious injury • Prosecution	• Multiple Fatalities • Corp manslaughter • Multiple serious injuries

DEPARTMENT RISK & CONTROL REGISTER EXTRACTS AS AT 6 SEPTEMBER 2017

APPENDIX D

*This shows the risks recorded in each department's risk and control register as agreed by each Head of Department. All the scores take account of the existing mitigation shown.*

a Risk Description: There is a risk that:	b Lead Gov Risk?	c Linked Princ Risk	d Existing Mitigation (Summary)	e Risk	f Required Further Mitigation (Summary)	g Direction	i Notes
<b>EDUCATION LAST UPDATE: JULY 2017</b>							
ED001 - Education provision does not respond quickly enough to demographic changes		PR16/02 PR16/06	<ul style="list-style-type: none"> <li>Asset mgmt plan &amp; capital programme (H&amp;E)</li> <li>Extended Welsh Medium provision - New WM Primary School</li> <li>21st Century Schools Projects</li> <li>Survey of Parental Preference</li> <li>Draft School Organisation Strategy</li> <li>Access &amp; School Places Manager</li> </ul>	D2		→	<ul style="list-style-type: none"> <li>Increasing population</li> <li>New prison</li> <li>Migration</li> <li>Brexit</li> </ul>
ED002 - Leadership and performance in Wrexham schools is variable		PR16/02 PR16/05.	<ul style="list-style-type: none"> <li>Monitoring and Challenge (GwE)</li> <li>GwE re-assessing focus</li> <li>Partnership agreements the LA</li> <li>Reporting of Estyn outcomes of school inspections</li> <li>AIB processes and tighter scrutiny of school performance</li> <li>Leadership and Mgmt Toolkit</li> <li>LA Powers of Intervention</li> <li>Ed Impr Action Plan 2015-2018 – 'Address variation to quickly improve outcomes'</li> </ul>	C2	<ul style="list-style-type: none"> <li>Work with GwE to ensure that schools have more rigorous and robust mechanisms in place for tracking pupil performance and setting targets for improvements</li> <li>Additional meetings regarding school review</li> </ul>	→	<ul style="list-style-type: none"> <li>Failure to improve standards</li> <li>Criticism by external bodies</li> <li>Poor standards of behaviour</li> <li>Low staff morale</li> <li>Increase in pupil absence rates</li> <li>Increase in exclusions</li> </ul>
ED008 - Services are disrupted due to staff absences		PR16/06.	<ul style="list-style-type: none"> <li>Absence management policy</li> <li>Occ Health referral process</li> <li>Protection of budgets - allows schools to manage absences</li> <li>Availability of staff in departments</li> <li>Service continuity plan</li> <li>Supply cover</li> </ul>	D2		→	
ED011 - Schools fail to properly account for money, assets, goods or equipment - wilful and accidental		PR16/04 PR16/07	<ul style="list-style-type: none"> <li>School Financial Regs</li> <li>Budgetary control</li> <li>Financial training</li> <li>Codes of conduct</li> <li>Management &amp; supervision</li> <li>Cashless and free schools meals systems</li> <li>Governance reminders</li> </ul>	D2		New Risk (Reinstated)	
ED012 - Properties from which services are provided not fit for purpose		PR16/03 PR16/06.	<ul style="list-style-type: none"> <li>Asset mgmt plan &amp; capital programme</li> <li>21C Schools Programme</li> <li>School Organisation Strategy</li> <li>Relocation</li> <li>Condition survey by H&amp;E</li> <li>Responses as necessary to Health &amp; Safety issues</li> </ul>	D2	-	↓	Relates to office property as well as schools
ED017 - Schools and/or the Department fail to provide appropriate education which meets individual needs/learning targets, incl those in vulnerable		PR16/02 PR16/06.	<ul style="list-style-type: none"> <li>Rate of exclusions monitored</li> <li>Current strategies to reduce number of Statements</li> <li>DPA Compliance</li> <li>Performance of specific groups reported to Members annuallys</li> <li>Educ Impr Action Plan</li> </ul>	C2	<ul style="list-style-type: none"> <li>Education Other than at School plan</li> <li>Review of PSPs</li> <li>TRAC</li> <li>Review of Resourced Provision</li> </ul>	→	

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
groups							
ED018 - The statutory duty as a corporate parent in respect of the education of Looked After Children is not met		PR16/02 PR16/06. PR16/07	<ul style="list-style-type: none"> <li>LAC Reporting to members</li> <li>Advice and support to schools</li> <li>Tracking-reporting systems</li> <li>Joint approach with Children's Social Care</li> <li>Admissions Policy</li> <li>Inspection results</li> <li>Mandatory Corporate Parent Training for Members</li> <li>YJS attend regular strategy meetings re LAC</li> </ul>	D2		→	
ED021a - Unsatisfactory school inspection results are obtained		PR16/02 PR16/06	<ul style="list-style-type: none"> <li>Early identification of schools causing concern by Gwe &amp; Quality Control Board</li> <li>Targeted Support and Intervention</li> <li>Accelerated Improvement Boards</li> <li>Scrutiny</li> </ul>	D2		→	
ED021b - Unsatisfactory ESTYN inspection (LAESCYP) results are obtained		PR16/02 PR16/.	<ul style="list-style-type: none"> <li>Improved Business planning</li> <li>Ongoing self evaluation</li> <li>Appraisal and supervision processes</li> <li>Work with GwE to ensure arrangements for monitoring and challenging our schools are consistent and robust.</li> </ul>	C2	Realignment of Education Department business planning cycle to align with corporate cycle and GwE cycle	→	-
ED023 - Decisions concerning young people are based on inaccurate, incomplete or o-o-date information and/or ineffective communication		PR16/01 PR16/06.	<ul style="list-style-type: none"> <li>Performance management</li> <li>Supervision process</li> <li>Policies and procedures</li> <li>LSCB monitoring of serious case review and action plans</li> <li>Joint panels</li> <li>Multi agency forum</li> <li>Joint work with Children's Social Care</li> <li>Sharing data with other agencies / partners</li> </ul>	D2		→	•
ED025 - Members of the community are harmed due to offending behaviour by children & young people whilst in receipt of EDL services		PR16/01.	<ul style="list-style-type: none"> <li>Risk assessments</li> <li>Policies and Procedures</li> <li>Inspection</li> <li>Internal quality assurance audits</li> <li>Supervision and Training</li> <li>Inspection Action Plans</li> </ul>	E3		→	
ED027 - There is a death of a child / young person in receipt of Education services which is caused by negligence		PR16/01	<ul style="list-style-type: none"> <li>Safe recruitment</li> <li>School health and safety</li> <li>Supervision and related processes</li> <li>HoE's power of intervention</li> <li>Communications to schools</li> <li>Induction training</li> <li>Legal advice and legal action, and Police liaison</li> <li>School security</li> <li>Case risk assessment.</li> <li>Performance management</li> <li>Repairs &amp; Maintenance (H&amp;E)</li> </ul>	D1	<ul style="list-style-type: none"> <li>Ensure recruitment practices are compliant</li> <li>Move 'Amber' property surveys to 'Green'</li> <li>Implement action from Prevention of Suicide Task and Finish Group</li> <li>Ensure schools update risk assessments in relation to on site traffic management</li> </ul>	→	
ED028 - Accidental harm is caused to a child /young person who is in receipt of Education services, that was caused by		PR16/01 PR16/08	<ul style="list-style-type: none"> <li>Safe recruitment</li> <li>School health and safety</li> <li>Supervision and related processes</li> <li>HoE's power of intervention</li> </ul>	D1	<ul style="list-style-type: none"> <li>Ensure recruitment practices are compliant</li> <li>Move 'Amber' property surveys to 'Green'</li> </ul>	→	

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
negligence			<ul style="list-style-type: none"> <li>• Communications to schools</li> <li>• Induction training</li> <li>• Legal advice and legal action, and Police liaison</li> <li>• School security</li> <li>• Case risk assessment.</li> <li>• Performance management</li> <li>• Repairs &amp; Maintenance (H&amp;E)</li> </ul>		<ul style="list-style-type: none"> <li>• Implement action arising from Prevention of Suicide Task and Finish Group</li> <li>• Ensure schools update risk assessments in relation to on site traffic management</li> </ul>		
ED029 - A child / young person in receipt of Education services is abused and/or dies (not due to negligence)		PR16/01	<ul style="list-style-type: none"> <li>• Safe recruitment</li> <li>• School health and safety</li> <li>• Supervision and related processes</li> <li>• HoE's power of intervention</li> <li>• Communications to schools</li> <li>• Induction training</li> <li>• Legal advice and legal action, and Police liaison</li> <li>• School security</li> <li>• Case risk assessment.</li> <li>• Performance management</li> <li>• Repairs &amp; Maintenance (H&amp;E)</li> <li>•</li> </ul>	D2		→	
ED032 School (or substantial part) becomes unusable and/or cannot be accessed		PR16/06	<ul style="list-style-type: none"> <li>• School contingency arrangements</li> <li>• Business interruption insurance cover</li> <li>• Service Continuity Plans</li> </ul>	D1	<ul style="list-style-type: none"> <li>• Ensure all schools have service continuity plans</li> <li>• 21st Century upgrades to buildings e.g. sprinkler systems</li> </ul>	→	
ED033 Schools fail to comply with statutory / governance requirements		PR16/06 PR16/07	<ul style="list-style-type: none"> <li>• Schools Governance Assurance Declarations</li> <li>• Regular governance reminders</li> </ul>	C2	<ul style="list-style-type: none"> <li>• Communicate good practice</li> <li>• Encourage schools to complete Annual Governance Declarations</li> <li>• Remind governing bodies to ensure all governors receive mandatory training</li> </ul>	→	
ED034 - Opposition to school changes / reorganisation proposals results in potential legal challenge for the authority, impacts on budgets, inability to reduce surplus places		PR16/04		D2		→	
ED037 The Department's aims and responsibilities are adversely effected by the effects of the exit from the EU		PR16/04	Ongoing review	D2		→	<ul style="list-style-type: none"> <li>• Reduced grant funding</li> <li>• Reduced apprenticeships</li> <li>• Community tensions</li> <li>• Changes in demographics</li> </ul>
ED038 - Nurseries fail to meet statutory standards						Closed	Cause of risk removed
ED 039 Non-compliant staff practices in Itec jeopardise the external funding arrangements						Closed	One-off situation

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
<b>ADULT SOCIAL CARE LAST UPDATE APRIL 2017</b>							
ASC102 - There is a unilateral withdrawal of BCUHB funding to joint funded and CHC funded support packages		PR16/02 PR16/04 PR16/06.	<ul style="list-style-type: none"> <li>Developing relationships &amp; communication strategies</li> <li>Contributing to development of NHS strategic agenda</li> <li>Reconfirming of S33 Partnerships</li> <li>Re-establishment of the partnership board</li> <li>More robust challenge of BCUHB</li> <li>Written agreement of commitments of parties</li> </ul>	A1	<ul style="list-style-type: none"> <li>Continuing liaison with BCUHB</li> <li>Continuing monitoring of funding</li> <li>Regional CHC strategy</li> </ul>	➔	
ASC103 - The reform of gov't funding streams (welfare benefits) detrimentally affect vulnerable adults and impact ASC budgets		PR16/02 PR16/04  PR16/06.	<ul style="list-style-type: none"> <li>Dedicated finance function</li> <li>Budget monitoring and reporting</li> <li>Effective resource panel process</li> <li>ASC representation in welfare reform project team</li> <li>Direct payments policy</li> <li>Revised charging policy</li> </ul>	B2	<ul style="list-style-type: none"> <li>Complete review with all WILG recipients</li> <li>Complete series of engagement workshops with WILG recipients.</li> </ul>	⬇	Formerly A2 - likelihood reassessed
ASC104 - There is a safeguarding incident concerning Vulnerable Adults, with potential for major investigation and disruption		PR16/01. PR16/08	<ul style="list-style-type: none"> <li>Resource Panel system</li> <li>Quality assurance</li> <li>Staff induction, supervision and appraisal</li> <li>Emerg Duty Team</li> <li>Safe recruitment</li> <li>Training programme -internal &amp; external providers</li> <li>Appointeeship and client finance procedures</li> <li>Whistleblowing</li> <li>Financial controls and related responsibilities</li> <li>Quarterly performance workshops &amp; POVA reports</li> <li>Liaison with other Dep'ts and key agencies to promote awareness</li> <li>Contract Monitoring</li> <li>Tendering process</li> <li>Joint approach to Safeguarding across CSC/ASC</li> <li>ICT systems</li> </ul>	C2	<ul style="list-style-type: none"> <li>Improvements in: Training proviso</li> <li>Review of existing procedures and interim procedures pending guidance from Welsh Government</li> </ul>	⬇	Formerly B2 - likelihood reassessed
ASC105 - There is insufficient capacity within the ASC sector to deliver services, support vulnerable adults and assist older people to live independently.		PR16/02 PR16/04 PR16/05 PR16/06	<ul style="list-style-type: none"> <li>Resource Panel</li> <li>Budget Monitoring</li> <li>Older people's housing strategy</li> <li>Regional and joint-working</li> <li>Commissioning strategies</li> <li>Promotion of assisted technology and low level services such as luncheon clubs</li> <li>All age disability service</li> <li>Contract Monitoring</li> <li>Market position statement</li> <li>Ongoing restructuring</li> <li>Increased staffing resourced in key areas</li> <li>Invested in Community Agents</li> <li>Shared Lived Scheme</li> <li>Intermediate Care Fund initiatives</li> <li>Performance management</li> </ul>	B2	<ul style="list-style-type: none"> <li>Prioritised regional collaboration agenda</li> <li>Develop and Pilot Outcome</li> <li>Delivery Plans</li> <li>Completion of systems review of processes to maximise efficiency</li> <li>Develop SPOA with Health</li> <li>Contract monitoring and close relationship with care providers</li> <li>Implement "first contact advisor" role across all teams</li> </ul>	⬇	Formerly A2 - likelihood reassessed
ASC 112 - Legal action is taken against the Council for failing in its statutory responsibilities to undertake Deprivation of Liberty		PR16/04 PR16/07	<ul style="list-style-type: none"> <li>DOLS Action Plan</li> <li>Identification of budget for additional costs</li> <li>DOLS team</li> </ul>	C3		⬇	Formerly A3 - likelihood reassessed

a Risk Description: There is a risk that:	b Lead Gov Risk?	c Linked Princ Risk	d Existing Mitigation (Summary)	e Risk	f Required Further Mitigation (Summary)	g Direction	i Notes
Safeguard assessments							
ASC 113 - The ACS Reshaping Business Plan for 2016-17 may not be achieved		PR16/04	<ul style="list-style-type: none"> <li>Reshaping Plan in Business Plan</li> <li>Separate risk register for reshaping business plan</li> <li>Care management reviews</li> <li>Consultation programme</li> </ul>	C2	<ul style="list-style-type: none"> <li>Ongoing engagement with supported living providers.</li> <li>Longer-term contracts to make them y more attractive to vendors</li> <li>Ensure staff teams and union officials are involved and kept appraised</li> <li>Ensure the press office is kept appraised of the ASC Reshaping agenda and potential issues.</li> </ul>	→	
ASC 114 - The expected Judicial Review regarding care fees and concerning the seven Welsh Health boards and a number of nursing care homes will expose Adult social Care to a financial risk.		PR16/04	<ul style="list-style-type: none"> <li>All-Wales LLG</li> <li>Regional Adult Social Care solicitors group</li> <li>Health and Social Care Lead Member and Head of Finance appraised.</li> </ul>	C2	The actions to the left continue to be developed.	→	Potential exposure to care fee costs regarding 'the gap' between what is paid by Health boards and the 'expected' FNC rate by care homes.
ASC 115 - The new duties with respect to social care provision in the new N. Wales prison will create demand for Wrexham ASC that is not fully resourced.		PR16/04 PR16/06.	<ul style="list-style-type: none"> <li>National Steering Group</li> <li>N. Wales Prison Health, Wellbeing and Social Care Steering Group</li> <li>Prison Needs Assessment</li> <li>Dedicated Social Workers</li> <li>Joint working protocol with Health.</li> </ul>	C3		↓	Formerly C2 - Impact re-assessed
ASC 116 - Lack of Approved Mental Health Practitioner capacity		PR16/05	Plan to maximize the use of qualified AMPH's.	B2	<ul style="list-style-type: none"> <li>Identify social workers for AMPH training</li> <li>Business case for a local or regional specialist team</li> </ul>	→	Increased pressure on the remaining AMHP's. Potential for further reduction
ASC 117 - There is an inability to meet the costs of implementing the Social Svces & Wellbeing (Wales) Act		PR16/04 PR16/07	<ul style="list-style-type: none"> <li>ASC charging policy</li> <li>ICF</li> <li>Ring fenced additional funding provided by WG to ASC.</li> </ul>	B3		↓	Formerly A3 - Impact re-assessed
ASC118 - Failure to deliver on partnership arrangements for 3 counties 'out of hours' service		PR16/01 PR16/06.	<ul style="list-style-type: none"> <li>Management Arrangements</li> <li>Training</li> <li>Quarterly Monitoring</li> <li>Policies and Procedures,</li> <li>Inter-authority protocol</li> <li>Accommodation Panel</li> <li>Agreement with Partners</li> </ul>	D2	-	→	Inability to obtain client information to inform risk assessments due to disparate IT systems

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
<b>CHILDRENS SOCIAL CARE LAST UPDATE FEBRUARY 2017</b>							
CSC001 - Inspection & performance results are unsatisfactory		PR16/02	<ul style="list-style-type: none"> <li>Performance Management</li> <li>Social work case file audits</li> <li>Annual Performance Evaluation Framework</li> <li>Regulation 32 visits</li> <li>Monthly staff supervision</li> <li>Inspection</li> <li>Corporate Complaints</li> <li>Stable staff group</li> <li>National Performance system for Adoption</li> <li>Policy review</li> </ul>	C3		→	
CSC002A - RAISE / Charms/ CIVICA fails to meet the Department's recording and reporting requirements - Information Management		PR16/01 PR16/07	<ul style="list-style-type: none"> <li>Project team</li> <li>Steering group</li> <li>User group</li> <li>All Wales Consortium</li> <li>Link between IT team looking after RAISE and general system</li> <li>Working with suppliers</li> <li>System training</li> <li>New ODI's and processes in place for MASH .</li> </ul>	C2	<ul style="list-style-type: none"> <li>Maintain sufficient resource to implement the Invest to Save CIVICA project.</li> <li>Programme of ODI's for all functions in view of operational changes being updated on rolling programme in view WCCIS implementation and impact on workflow.</li> </ul>	→	<ul style="list-style-type: none"> <li>Loss of information</li> <li>Inability to retrieve information</li> <li>Non-compliance</li> <li>Inability to report on performance</li> <li>Failure to comply with DPA/FOI legislation</li> <li>Decreased efficiency</li> </ul>
CSC002B - RAISE / Charms/ CIVICA fails to meet the Department's recording and reporting requirements - Service Impact		PR16/01 PR16/07	<ul style="list-style-type: none"> <li>Performance management</li> <li>Management group</li> <li>Performance Workshop process</li> <li>Supervision process</li> <li>RAISE and associated staff training</li> <li>Policies and procedures</li> <li>Recording practice group</li> <li>Operation Desk Instructions</li> <li>LSCB monitoring of serious case review &amp; action plans</li> <li>Civica Task &amp; Finish Group</li> <li>Monthly Audits of RAISE case files</li> <li>Practice Development Manager</li> <li>Auditing of computer records</li> </ul>	C2	<ul style="list-style-type: none"> <li>Migration to new CCIS system and associated work for configuration of new performance reporting are in place and being worked through</li> <li>Information Asset Owner &amp; nominated deputies training - Scheduled April 2017</li> </ul>	→	<ul style="list-style-type: none"> <li>Inability to locate case files</li> <li>Failure to communicate client information to key staff</li> <li>Clients don't receive care / services / protection</li> <li>Risk to staff safety</li> <li>Failure to comply with DPA/FOI legislation</li> </ul>
CSC003 - Poor Practice could result in an increase in complaints being upheld.		PR16/02 PR16/06	<ul style="list-style-type: none"> <li>Formal supervision</li> <li>Case risk assessment</li> <li>Departmental policies and procedures</li> <li>Performance management</li> <li>Case file audits</li> <li>Inter-agency child protection process</li> <li>Risk assessment management training</li> <li>Practice Development Manager</li> <li>Single point of access for all referrals to CSC</li> <li>Complaints training part of PRCD</li> <li>Access to specialist advice</li> </ul>	D3		→	<ul style="list-style-type: none"> <li>Complaints to Ombudsmen</li> <li>Reputational damage</li> <li>Loss or harm to service users</li> <li>Claims for negligence</li> <li>Legal Action through judicial review</li> </ul>
CSC005 - Specified service are not delivered and statutory obligations not met due to required budget constraints		PR16/06. PR16/07	<ul style="list-style-type: none"> <li>Performance and Budget monitoring</li> <li>Line management</li> <li>Performance Support &amp; Development Service</li> <li>Opportunities to work regionally</li> </ul>	C2	<ul style="list-style-type: none"> <li>ICF funding being sought</li> </ul>	↑	Was D2 – re-assessed

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
			<ul style="list-style-type: none"> <li>Grant funding expertise</li> <li>Ongoing service review to re-prioritise</li> <li>Securing member support</li> <li>Ongoing review of alternative service delivery models</li> <li>Reduced reliance on agency workers</li> <li>- Exit plan in place for each grant stream</li> <li>MASH team now permanent part of CSC</li> <li>"7 day working" team</li> <li>Family Support Service</li> <li>Major grants as secure until March 2019</li> </ul>				
CSC007 - Staff negligence negatively impacting on a child.		PR16/01. PR16/08	<ul style="list-style-type: none"> <li>Departmental policies and procedures</li> <li>Supervision and staff training</li> <li>Case risk assessment</li> <li>Performance management process</li> <li>Case file audits</li> <li>Inter-agency child protection process</li> <li>Regional Safeguarding Children Board &amp; Local Delivery Group Risk Management processes</li> <li>Departmental Health &amp; Safety Action Plan</li> <li>Disciplinary &amp; Capability procedures</li> <li>Implementation of community care inform</li> <li>Safeguarding arrangements</li> <li>MASH team</li> <li>Individual behaviour management plans</li> <li>Staff insurance cover for transporting children &amp; young people</li> <li>'Guidance provided for external visits</li> <li>H &amp; S assessments of premises</li> </ul>	D2	01 - Review success of MASH with view of permanent arrangement with partners 02 - H & S assessments of premises completed annually.	➔	Could be physical/sexual abuse or t death by lack of care, medical attention, violence or murder
CSC009 - A child / young person in receipt of CSC services is abused by an employee		PR16/01 PR16/08	<ul style="list-style-type: none"> <li>Departmental policies and procedures</li> <li>Safe recruitment and training</li> <li>Supervision and staff training</li> <li>Case risk assessment</li> <li>Performance management</li> <li>Case file audits</li> <li>Inters-agency child protection process</li> <li>LSCB Risk Management processes</li> <li>Activity risk assessments</li> <li>Health &amp; Safety Action Plan</li> </ul>	D2		➔	
CSC015 - The statutory duty as a corporate parent in respect of Looked After Children is not met		PR16/02 PR16/06 PR16/07	<ul style="list-style-type: none"> <li>Performance reports or membets</li> <li>Oversight by ISROs</li> <li>Corporate Parenting role</li> <li>Quality of care reviews</li> <li>Reg 32&amp;33 (inspections) of Children's Residential Homes</li> </ul>	D2		➔	
CSC021 - Carers are not sufficiently supported due to lack of sufficient short break capacity		PR16/02 PR16/05 PR16/06.	<ul style="list-style-type: none"> <li>In-house respite service</li> <li>Direct payments</li> <li>Contracts with 3rd sector for respite support</li> <li>Young carers services</li> <li>Families First Disabilities Strand services</li> <li>Regular monitoring of existing plans</li> </ul>	D2		➔	

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
CSC022 - Failure to deliver on partnership arrangements for 3 counties 'out of hours' service		PR16/01 PR16/06.	01 - Controls within ASC	D2	-	→	
CSC023 - Inability to meet resource demands for Government National Transfer Scheme for unaccompanied Asylum Seeking Children (UASC)		PR16/02 PR16/04	<ul style="list-style-type: none"> <li>• Policies and procedures for supporting UASC</li> <li>• Some staff have experience in supporting UASC</li> <li>• Positive partnership arrangements</li> <li>• Risk/age assessment</li> </ul>	B2	<ul style="list-style-type: none"> <li>• Regional sharing knowledge, expertise and resources</li> <li>• Expansion of CAMHS therapeutic support service and staff training</li> <li>• Market development to build capacity and generate more in-house foster placements</li> <li>• National approach</li> <li>• Additional budget</li> </ul>	→	Resettlement of significant number of unaccompanied children from northern Europe & Calais
CSC024 - The commissioning strategy fails to achieve the required results		PR16/02 PR16/06	<ul style="list-style-type: none"> <li>• Regional commissioning hub options appraisal</li> <li>• Contract monitoring</li> <li>• Use of 3rd sector lead funder model</li> <li>• Rationalisation of 3rd Sector contracts</li> <li>• Practice Development Manager</li> <li>• Commissioning Strategy</li> </ul>	D2		→	<ul style="list-style-type: none"> <li>• Budgetary overspend</li> <li>• Poor value for money</li> <li>• Service failure</li> </ul>
CSC025 - Employees across all parts of the Council's activities are insufficiently aware of the Council's Safeguarding statutory responsibilities, policies and requirements	✓	PR16/01	<ul style="list-style-type: none"> <li>• Safeguarding Action Plan agreed</li> <li>• Training for members, HOD's and staff in other departments</li> </ul>	B2	<ul style="list-style-type: none"> <li>• Ensure Safeguarding Action Plan allocates actions to specific officers with dates for implementation</li> <li>• Monitor to ensure implementation of Safeg Action Plan</li> <li>• Raise awareness</li> </ul>	→	Safeguarding is a responsibility of employees in all services and not just those in Social Care services
<b>ENVIRONMENT AND PLANNING LAST UPDATE JUNE 2017</b>							
EP001 - The new Env & Planning department will remain 3 separate functions and not operate effectively as one		PR16/05	Existing experience within WCBC of collaboration and co-location and team mergers to improve services and outcomes	C3		→	Lack of achievement of important outcomes that require joined-up working.
EP002 - Tier 5 post titles and roles do not reflect the needs/priorities of the service						Closed	No longer considered as a significant risk
EP003 - There is a failure to respond adequately to a major emergency in the County Borough	✓	PR16/01 PR16/08	<ul style="list-style-type: none"> <li>• Emergency Planning Regime</li> <li>• Planning, exercises and multi-agency collaboration</li> <li>• Advance warning systems</li> <li>• Training</li> <li>• Revision of procedures &amp; development-support</li> <li>• Service Continuity Plans</li> <li>• Emergency Plan</li> <li>• Agreed winter maintenance arrangements</li> </ul>	D2		→	
EP004a - Significant non-compliance with Health and Safety requirements across the Council	✓	PR16/01 PR16/07	<ul style="list-style-type: none"> <li>• H&amp;S Policy and Strategy, and annual H&amp;S report</li> <li>• Corporate H&amp;S Improvement Action Plan and reporting</li> <li>• Policies and standards&amp; Training</li> <li>• H&amp;S Communications</li> <li>• Departmental risk assessments and action plans</li> <li>• CH&amp;S function - reactive and proactive</li> <li>• Process for reporting of incidents and near misses</li> <li>• Insurance Risk Management Steering Group</li> </ul>	C2	<ul style="list-style-type: none"> <li>• Address management attitudes to H&amp;S and seek to promote safety management culture across the Council.</li> <li>• Update risk register of risks to CHSIA Plan</li> <li>• Ensure improvements are made in significant risk areas identified</li> </ul>	↓	Risk reduced from B1 due to ongoing progress with mitigation

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
			<ul style="list-style-type: none"> <li>• Arrangements for effective H&amp;S management in contracted out construction work</li> <li>• Support from Insurance Provider</li> <li>• Employee Handbook</li> </ul>		<ul style="list-style-type: none"> <li>• in Insurer's report on Inspection regimes</li> <li>• Ensure Employee Handbook includes reference to the near-miss reporting system</li> </ul>		
EP004b- Significant non-compliance with Health and Safety requirements in the Environment and Planning Department		PR16/01 PR16/07	<ul style="list-style-type: none"> <li>• Departmental H&amp;S Action Plans</li> <li>• Training</li> <li>• Departmental risk assessments</li> <li>• Reporting of incidents and near misses</li> </ul>	C2	<ul style="list-style-type: none"> <li>• Address management attitudes to H&amp;S and seek to promote safety management culture</li> <li>• Hand Arm Vibration Syndrome Action Plan</li> </ul>	↓	<ul style="list-style-type: none"> <li>• This risk is separate to the corporate H&amp;S risk for which the HEP is also the lead officer.</li> <li>• Ongoing mitigation</li> </ul>
EP005a - Information concerning assets / structures is out-of-date, incomplete or inaccurate		PR16/01 PR16/03 PR16/06.	<ul style="list-style-type: none"> <li>• Periodic reviews of information</li> <li>• Detection of incorrect information through routine work</li> <li>• HAMP asset appraisal process</li> <li>• Awareness of Financial Procedure Rules</li> </ul>	B2	Ongoing application of existing controls	→	<ul style="list-style-type: none"> <li>• Catastrophic failure</li> <li>• Wrong decisions</li> <li>• Inability to plan effectively</li> <li>• Additional costs</li> <li>• Additional H&amp;S risks</li> <li>• Loss of Vehicle Op Licence</li> </ul>
EP005b- Information on inventory of small plant and equipment is out of date, incomplete or inaccurate		PR16/01 PR16/04	<ul style="list-style-type: none"> <li>• Up-to-date inventory</li> <li>• Storeperson role</li> <li>• Maintenance regime for plant and equipment</li> <li>• Sign-out procedure</li> </ul>	B3		New Risk	<ul style="list-style-type: none"> <li>• Loss/theft of Council equipment</li> <li>• Plant and equipment dangerous / not r fit for use</li> </ul>
EP006 - There is insufficient investment in renewing plant, equipment and assets		PR16/02 PR16/03 PR16/04	<ul style="list-style-type: none"> <li>• Insurance Cover</li> <li>• Capital programme</li> <li>• Regular monthly budget monitoring</li> <li>• Environment Maintenance Budget</li> <li>• External communications</li> <li>• Inspection programme</li> <li>• Specialist capital funding for specific services</li> <li>• Highways Asset Management Plan (HAMP) Group</li> </ul>	B2	<ul style="list-style-type: none"> <li>• 01 - Ongoing application of existing controls</li> <li>• 02 - Respond to scheduled review of Highways Assets</li> </ul>	→	
EP007 - Services can't be maintained to statutory standards/meet expectations for quality/improvement due to insufficient resources & capacity		PR16/01 R16/02 PR16/03 PR16/04 PR16/06 PR16/07	<ul style="list-style-type: none"> <li>• Regular monthly budget monitoring</li> <li>• Ongoing reviews of services and regular monitoring</li> <li>• Monitoring and responding to service requests – complaints</li> <li>• Active engagement with specific groups</li> <li>• Regional working initiatives</li> <li>• Subsidiary Irisk registers</li> <li>• Staff training &amp; development</li> <li>• Insurance provision</li> <li>• Management &amp; supervision</li> <li>• Inspection programmes - risk based</li> <li>• Proactive information – website</li> <li>• Communication Strategy to inform where services have been reduced</li> <li>• Planning procedures and processes</li> </ul>	B2	<ul style="list-style-type: none"> <li>• Address inability to meet requirements of insurance policy in regard to Highway repairs</li> <li>• Implement restructure of teams as result of Reshaping Workstream 1B</li> </ul>	→	
EP009 Developer contributions are reduced due to the national economic situation.		PR16/02		B2	01 - Apply infrastructure levy	→	Reduced opportunity to provide affordable housing, public open space etc.
EP010 - The capacity of partner organisations to help deliver services is reduced						Closed	No longer considered a significant risk to Env & Planning

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
EP011- External service providers can no longer provide contracted services due to bankruptcy/closure or fail to provide the agreed/contracted services		PR16/04 PR16/06	<ul style="list-style-type: none"> <li>Contract management and monitoring</li> <li>Contract Procedure Rules, Procurement Code of Practice, relevant EU legislation and ICT protocol/policy</li> <li>Contractual provisions (FCC)</li> <li>Use of Contractor Framework</li> <li>Protocol on responses to insolvencies</li> <li>- ESCROW agreement</li> <li>Service Continuity Plans</li> <li>Pay on completion of works</li> <li>Construction Line</li> <li>Subsidiary risk registers</li> <li>Corporate complaints procedure</li> <li>Monitoring jointly with Finance - Monthly review meetings</li> </ul>	D2		➔	
EP012 - Councillors fail to understand and apply adopted planning policies						Closed	No longer considered a significant risk to Env & Planning
EP013- Relationships with partner organisations impede speedy/efficient provision of advice and decision making		PR16/06 -	Efficient consultation processes	D3		➔	
EP014 - Statutory waste targets are not met		PR16/04 PR16/07	<ul style="list-style-type: none"> <li>Waste Management strategy</li> <li>Recycling monitoring and reporting procedures</li> <li>Contract/performance monitoring with Finance Dep't</li> </ul>	C2	Maintain dialogue with WG with view to targets - penalties being moderated.	⬇	Welsh Government requirements less stringent than expected
EP015- The Council loses its Vehicle Operating Licence		PR16/08	<ul style="list-style-type: none"> <li>Fleet management system</li> <li>Report to HOD on (i) overloads as appropriate and (ii) missed servicing</li> <li>Good relationship with VOSA</li> <li>Regular communication with departments</li> <li>Commandeer vehicles from dep'ts for servicing</li> <li>Inspection programme</li> </ul>	D1	01 - Ensure all accidents are fully investigated,	➔	Inability to use Council vehicle fleet- impacts on wide range of services
EP016 - A Council employee/contractor is involved in a serious road traffic accident		PR16/01	<ul style="list-style-type: none"> <li>How's my driving" stickers</li> <li>Insurance Motor Impr Group</li> <li>Driver training</li> <li>Management &amp; Supervision</li> <li>Speed Restrictors</li> <li>Fleet mgmt system</li> <li>Drivers' Handbook</li> <li>Report to HoD on (i) overloads as appropriate (ii) missed servicing</li> <li>Policy on vehicles taken home</li> <li>Tracking system</li> <li>Occupational road risk policy</li> </ul>	C2	01 - Ensure all accidents are fully investigated,	⬆	<ul style="list-style-type: none"> <li>Fatality/serious injury to driver and/or other road users</li> <li>Damage to vehicle</li> <li>Loss of service provision</li> <li>Loss of Vehicle Op Licence</li> </ul> <p>Evidence suggests not all accidents are being investigated</p>
EP017- There is an inability to supply full school transport service within budget		PR16/04 PR16/06	<ul style="list-style-type: none"> <li>Regular inter-departmental meetings to discuss policy &amp; provision</li> <li>Budget monitoring</li> </ul>	D3	<ul style="list-style-type: none"> <li>Implement actions recommended by officer/Member working group to enable budget to balance</li> <li>Full implementation of post 16 school t'port savings by Aug 17</li> </ul>	⬇	School transport budget realigned - incremental introduction of post 16 transport savings being implemented
EP018 - Failure to provide assurance to stakeholders that WCBC is managing contaminated		PR16/03	<ul style="list-style-type: none"> <li>Subsidiary risk registers</li> <li>Project Management)</li> </ul>	C3		➔	

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
land effectively							
EP019 Failure to adopt Local Development Plan		PR16/07	<ul style="list-style-type: none"> <li>Agreed timetable and delivery agreement with Welsh Government</li> <li>Experienced professional team</li> </ul>	D2		New Risk	
EP020 - Failure to achieve income targets		PR16/04 PR16/06 PR16/08	<ul style="list-style-type: none"> <li>Vacancy control</li> <li>Increased charges for services</li> <li>Marketing of services</li> <li>Budgetary control &amp; monitoring</li> <li>Contract monitoring</li> <li>Flexible charging (B Control)</li> </ul>	B2	<ul style="list-style-type: none"> <li>Keep progress on income targets under review by monitoring</li> <li>Devise contingency plans to find alternative sources of income/savings</li> </ul>	→	
EP021 - - Operating system for planning applications etc. not fit for purpose/redundant		PR16/08	<ul style="list-style-type: none"> <li>Corporate ICT budget</li> <li>Rationalisation of operating systems</li> </ul>	D2	<ul style="list-style-type: none"> <li>Work with ICT to support system rationalisation</li> <li>Ensure that all system updates are installed and that the system is properly maintained</li> </ul>	↓	Likelihood lower than first considered
EP022 - The Waste Service Collection is disrupted as a result of changes associated with review		PR16/06 PR16/07	<ul style="list-style-type: none"> <li>Project management</li> <li>Local Member involvement</li> </ul>	C2	<ul style="list-style-type: none"> <li>Devise new waste collection regime #]</li> <li>Identify issues/complaints and lessons learnt from the changes and revise procedures accordingly.</li> </ul>	↓	Likelihood lower than first considered
EP023 - Loss of staff resources and staff knowledge negatively impacts the achievement of the department's priorities and outcomes		R16/05 PR16/06.	<ul style="list-style-type: none"> <li>New management structure</li> <li>PRD's and Staff training</li> <li>Consultants Framework</li> <li>Use of temporary and agency staff</li> <li>Manage expectations with revised outputs and outcomes</li> </ul>	C3	Succession Planning	New Risk	
<b>HOUSING &amp; ECONOMY LAST UPDATE AUGUST 2017</b>							
HE001a -Services in Homelessness can't be maintained to statutory stds/meet expectations for quality/improvement due to insufficient resource & capacity		PR16/02 PR16/06. PR16/07	<ul style="list-style-type: none"> <li>Homelessness Task Group &amp; Action Plan</li> <li>Private Sector Leasing</li> <li>Local Housing Strategy</li> <li>Work with Members and other housing agencies</li> <li>Local Lettings Agency</li> </ul>	C3		→	-
HE001b - Services in Libraries cant be maintained to Welsh Public Library Standards due to insufficient resource & capacity		PR16/06	<ul style="list-style-type: none"> <li>Library management system</li> <li>Book Fund - Consortium</li> </ul>	C3		→	-
HE001cThe reduction in resources both financial and staff results in an inability to meet all the demands of the current statutory requirements in assets		PR16/01 PR16/03 PR16/06 PR16/07	<ul style="list-style-type: none"> <li>Action plans for HAV's Legionella, Asbestos, Radon and Fire inspections</li> <li>Regular reports to the Health and Safety steering groups</li> </ul>	C2	<ul style="list-style-type: none"> <li>Action plans fpor HAV's Legionella, Asbestos, Radon and Fire inspections</li> <li>Regular reports to the Health and Safety steering groups</li> <li>Legionella - Monthly temperature monitoring and risk assessments</li> <li>Asbestos - Programme in place to re inspect buildings</li> <li>Radon - testing</li> <li>Electrical testing</li> </ul>	→	Prosecution /failure to control the exposure to Legionella/Asbestos and non compliance with Electrical Regulations

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Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
HE002 Loss of staff resources and staff knowledge negatively impacts the achievement of the department's priorities and outcomes		PR16/05 PR16/06.	<ul style="list-style-type: none"> <li>• New management structure</li> <li>• PRD's and Staff training</li> <li>• Consultants Framework</li> <li>• Use of temporary and agency staff</li> <li>• Manage expectations with revised outputs and outcomes</li> </ul>	C3		↑	In some areas its identified that the likelihood is higher
HE003 - There is insufficient internal funding, or funding is insufficiently flexible for Repairs and Maintenance against a growing backlog of work		PR16/02 PR16/04 PR16/06	<ul style="list-style-type: none"> <li>• Condition surveys</li> <li>• Additional funding</li> <li>• Inspection regimes</li> <li>• Additional posts</li> </ul>	B1	<ul style="list-style-type: none"> <li>• Capital bids to be submitted to meet works identified through the test and inspection process and major works identified by the condition surveys</li> <li>• Develop risk-prioritised action plans</li> </ul>	→	<ul style="list-style-type: none"> <li>• Increase in maintenance backlog</li> <li>• Insufficient funding to undertake essential testing and inspection works &amp; repairs</li> <li>• Disruption to facilities potentially resulting in closure</li> <li>• Increased future costs</li> </ul>
HE005 - Client departments /SLT & LM take unilateral decisions in regards to property matters without reference to H&E	✓	PR16/04 PR16/06 PR16/07 -	<ul style="list-style-type: none"> <li>• All requests re property required to be directed to AED</li> <li>• (Service Asset Management Plans</li> <li>• Scheme of delegation</li> <li>• Corp Land &amp; Blgs Strategy</li> <li>• Service Asset Management Plans</li> <li>• Regular liaison with all Heads of Department</li> <li>• Office Accommodation Project Board</li> <li>• Community asset review project</li> <li>• Acquisition of Property protocol scheme of delegation - Only HHE can acquire property</li> <li>• Check list on all Exec Board</li> <li>• Condition surveys</li> <li>• AMIG</li> </ul>	D3		→	
HE006 - The whole life cost / sustainability of the Councils infrastructure and/or assets is not managed robustly.	✓	PR16/03 PR16/04	<ul style="list-style-type: none"> <li>• Building maintenance policy</li> <li>• Requisition form</li> <li>• Funding arrangements for schools</li> <li>• Asset Management Plan</li> <li>• Six monthly HODS meeting</li> <li>• Corporate Land and Buildings Strategy</li> </ul>	B3		→	<ul style="list-style-type: none"> <li>• Closure of buildings/roads. Structural failure</li> <li>• Deteriorating buildings and highways infrastructure</li> <li>• Revenue costs</li> </ul>
HE007- Food obtained from Schools causes harm		PR16/01.	<ul style="list-style-type: none"> <li>• Health and Safety regime</li> <li>• Food safety regulations</li> <li>• Regularly monitored by HSE</li> <li>• EHO regular inspections</li> <li>• Food procurement &amp; guidelines</li> <li>• Kitchens are gold standard</li> <li>• Staff training</li> <li>• TUCO Framework</li> <li>• Signed SLAs</li> </ul>	D2		→	
HE008 - Spread of Japanese Knotweed to Council owned sites		PR16/03 PR16/04	Contract framework in place for treatment and removal of Japanese Knotweed	B2	<ul style="list-style-type: none"> <li>• Identify on sites as affects the value of property</li> <li>• Include as part of AMIG</li> <li>• Agree eradication plan</li> </ul>	→	

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Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
HE009 -Reduced revenue from stakeholders towards the running of CCTV operation		PR16/04	<ul style="list-style-type: none"> <li>Rationalisation Programme</li> <li>SLA's in place</li> </ul>	A3	<ul style="list-style-type: none"> <li>Require joint arrangements with neighbouring authorities</li> <li>Meeting with Police Funding Commissioner</li> </ul>	➔	
HE012 - Detrimental effect on Housing Services of welfare reform changes		PR16/02	<ul style="list-style-type: none"> <li>Welfare Reform Group</li> <li>Arrears management</li> <li>Homelessness service provision</li> <li>Information sharing work with local RSLs</li> <li>Regular information articles included in Housing Hotline</li> <li>Regularly updated Action Plan to monitor progress against objectives</li> <li>Amended allocations policy</li> <li>Amended rent arrears</li> <li>Staff training</li> </ul>	B2	<ul style="list-style-type: none"> <li>Pilot talks taking place with DWP on possibility of co-location</li> <li>Jointly review with Finance debt collection / tenant management</li> <li>Service review in 17/18 of Estate Offices to address the impact of Welfare Reform</li> <li>Regional seminar of social Housing providers</li> <li>Alternative shared accommodation</li> </ul>	➔	
HE014 - Failure to achieve Welsh Housing Quality Standard by 2020		PR16/02 PR16/06.	<ul style="list-style-type: none"> <li>Prioritised capital programme</li> <li>Transfer revenue surpluses to capital programme</li> <li>Dialogue with WG and ministers</li> <li>Business Plan updated</li> <li>Updated financial approach</li> <li>Project team</li> <li>Asset Management Strategy</li> <li>Subsidiary Risk Register</li> <li>Additional resources to funded from HRA</li> <li>Ongoing refurbishment</li> </ul>	D2		➔	
HE015 - Housing Tenancy fraud increases significantly						Closed	No issues with this for a long time mitigation in place means not a risk presently
HE016 - Third party (inc occupants) die / incur serious injury due to the condition of property, or there is serious property damage during work		PR16/01 PR16/04	<ul style="list-style-type: none"> <li>Departmental Health &amp; Safety Action Plan and risk assessments</li> <li>Contract management documented procedures</li> <li>Permit to work</li> <li>Staff training</li> <li>Condition survey</li> <li>Capital programme prioritisation</li> <li>Insurance</li> <li>Use of licenced contractors and products</li> <li>Asbestos Plan</li> <li>Legionella Plan</li> <li>Fire risk assessments</li> <li>Property MOT system</li> <li>Lettable Standard on relets</li> <li>Annual gas servicing checks</li> </ul>	D1	<ul style="list-style-type: none"> <li>Maintain existing controls and monitor for effectiveness</li> <li>One officer to be responsible for developing actions to enable compliance</li> <li>Staff to adopt a risk based approach when on site and entering properties</li> <li>Consider need for radon monitoring of Housing stock</li> </ul>	➔	
<b>CORPORATE AND CUSTOMER SERVICES LAST UPDATE MARCH 2017</b>							
CC001 - Services are unable to respond adequately to new / changes service initiatives		PR16/05) . PR16/06. PR16/07	<ul style="list-style-type: none"> <li>Mutual support in some sections</li> <li>Collaborative working for Legal</li> <li>Back up' firms appointed</li> <li>Framework Agreements for legal work</li> <li>Budget monitoring</li> </ul>	C2	<ul style="list-style-type: none"> <li>Collaborative working (ongoing)</li> <li>Deliver additional resources to meet ICT commitments</li> <li>Explore options for funding</li> <li>Options to address volume of queries relating to Welfare</li> </ul>	➔	<ul style="list-style-type: none"> <li>Delay to ODW strategy and policies, and organisational change initiatives</li> <li>Insufficient capacity to provide lead officers for corporate functions</li> </ul>

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Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
			<ul style="list-style-type: none"> <li>• Service continuity plan</li> <li>• Management of competing priorities</li> <li>• Project Management gateway process</li> <li>• ICT involvement in Project Management</li> <li>• Ongoing mgmt monitoring</li> <li>• Overtime (authorised)</li> <li>• Organ. Devel &amp; Workforce Strategy</li> <li>• Some provision to increase resources</li> <li>• HoF support to C&amp;CS DMT</li> <li>• Deputy Monitoring Officer</li> </ul>		Reform <ul style="list-style-type: none"> <li>• Ensure responsibility for functions is at the appropriate level</li> <li>• Succession planning</li> <li>• Ensure Deputy MO has sufficient exposure to significant issues.</li> </ul>		<ul style="list-style-type: none"> <li>• Inability to deliver aspects of ICT support &amp; development</li> <li>• Delays in providing advice / decisions</li> <li>• Errors due to legal opinion not sought</li> <li>• Negative impact on morale</li> <li>• Insufficient staff cover - more prone to absence disruption</li> <li>• HR errors</li> <li>• Poor customer Service</li> <li>• Loss of senior management staff</li> <li>• Monitoring Officer has insufficient time to properly advise the Council</li> </ul>
CC002 - There is a strategic failure to invest in IT	✓	PR16/05 PR16/06	<ul style="list-style-type: none"> <li>• Corporate &amp; ICT Strategies</li> <li>• Financial Planning process</li> <li>• Service Management Planning</li> <li>• Project Management</li> <li>• Corporate - Strategic Assessment Projects and Assoc Funding</li> <li>• ICT &amp; Digital Strategy i</li> <li>• Contributing to Corp Reshaping</li> <li>• Ex Bd approval of revised ICT operating model and investment in ICT infrastructure</li> </ul>	B2	<ul style="list-style-type: none"> <li>• Make case for ICT investment on a cost/benefit basis</li> <li>• Deliver identified additional resource requirements to meet ICT commitments</li> <li>• Explore options for funding</li> <li>• Implement revised ICT operating model and infrastructure</li> <li>• Secure additional revenue funding</li> <li>• Implement ICT &amp; Digital Strategy</li> </ul>	➔	
CC003 - There is failure to sustain improved customer access to Council Services		PR16/06.	<ul style="list-style-type: none"> <li>• Contact Wrexham</li> <li>• Customer Focus Strategy</li> <li>• Expansion of the Contact Centre</li> <li>• Extension of on-line services</li> </ul>	C3		➔	
CC005 - There is a failure to promote the Welsh Language and Culture in accordance with the Council Plan while at the same time failing to comply with the Welsh Language Standards	✓	PR16/07 PR16/06	<ul style="list-style-type: none"> <li>• Welsh Language Co-ordinator</li> <li>• Translation facilities</li> <li>• Welsh language complaints procedure</li> <li>• Welsh speakers for contact points</li> <li>• Language skills strategy</li> <li>• List of Welsh speakers in departments</li> <li>• Training</li> </ul>	B2	<ul style="list-style-type: none"> <li>• Develop 5 year promotion strategy</li> <li>• Continue to work with partners in the Welsh language sector</li> </ul>	➔	<ul style="list-style-type: none"> <li>• Failure to create a sense of 'Welshness'</li> <li>• Sanctions</li> </ul>
CC006 - There is a Network security breach	✓	PR16/07 PR16/08	<ul style="list-style-type: none"> <li>• Regular Audits</li> <li>• Firewall</li> <li>• Virus protection</li> <li>• Access restriction</li> <li>• Penetration tests</li> <li>• Software update controls</li> <li>• Acceptable Use and ICT Security Policies</li> <li>• Compliance with Government PSN Code of Connection</li> <li>• Existing security on network and individual accounts</li> </ul>	B2	<ul style="list-style-type: none"> <li>• Continue to monitor mitigation r for effectiveness and enhance as necessary</li> <li>• Cyber insurance</li> </ul>	➔	<ul style="list-style-type: none"> <li>• Denial of service / Virus Attack</li> <li>• Unauthorised access to sensitive / confidential information</li> <li>• Vulnerability on desktops and servers</li> <li>• Hacking</li> </ul>

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Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
			<ul style="list-style-type: none"> <li>• Risk awareness raising with employees</li> </ul>				
CC007 - That there is a sudden inability to provide essential services due to loss of staff, property or systems within C&CS and across the Council	✓	PR16/08	<ul style="list-style-type: none"> <li>• Service Continuity Group</li> <li>• Service Continuity Plans</li> <li>• List of critical services reviewed and identified</li> <li>• Extensive work on 25 prioritised areas</li> <li>• Testing</li> <li>• Disaster Recovery Plan</li> <li>• Subsidiary ICT Risk Register</li> </ul>	C2	<ul style="list-style-type: none"> <li>• Review and revise ICT disaster recovery arrangements</li> <li>• Consider longer term options for Contact Centre</li> <li>• Update/review HR/workforce service continuity plan</li> <li>• Consider impact of reducing staff numbers and loss of managers</li> </ul>	→	
CC008 - Members or officers breach ethical codes	✓	PR16/07 PR16/09	<ul style="list-style-type: none"> <li>• Member and Employee Codes of Conduct (SAM and bulletins)</li> <li>• Reminder is standard agenda item for members</li> <li>• Declaration form for Members</li> <li>• Acceptable Use and ICT Security Policy</li> <li>• Regular training for Members</li> <li>• Written reminder re confidentiality</li> <li>• Existing security on network and individual accounts</li> <li>• DBS checks and training</li> <li>• Employee induction training</li> <li>• Members register of interests</li> <li>• Employees' registers of interests and of gifts &amp; hospitality</li> <li>• Whistleblowing Policy</li> <li>• Monitoring Officer Role</li> </ul>	D2		↓	Based on evidence available the likelihood is reducing
CC009 - There is unconstitutional decision making due to unclear understanding of governance responsibilities between members and officers	✓	PR16/07 PR16/09	<ul style="list-style-type: none"> <li>• Member and Officer Codes of Conduct (SAM and bulletins)</li> <li>• Lead member job descriptions</li> <li>• Member - officer protocols</li> <li>• Member appraisals (where accepted)</li> <li>• Executive and Scrutiny Roles as set out in Constitution</li> <li>• Member - officer training and guidance revised</li> <li>• Review of Constitution</li> </ul>	C2	<ul style="list-style-type: none"> <li>• 01 - New member training programme post elections</li> <li>• Full induction programme prepared for approval.</li> </ul>	↓	Based on evidence available the likelihood is reducing
CC010 - The Council's statutory duties in regard to democratic elections are not met		PR16/07	Subsidiary risk register	D2		→	
CC011 - There is inconsistent management of complaints across Council (different definitions, timescales, and procedures)	✓	PR16/06	<ul style="list-style-type: none"> <li>• Publicity</li> <li>• Monitoring of trends</li> <li>• Feedback for service improvement</li> <li>• Annual Complaints Report</li> <li>• Corporate Complaints Polic</li> <li>• Centralised Corporate Complaints Team</li> </ul>	D3		→	

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
CC013 - The Council fails to communicate its vision and manage expectations	✓	PR16/02 PR16/06	<ul style="list-style-type: none"> <li>External Communication Strategy</li> <li>Staff Survey</li> <li>Internal Communications</li> <li>Commitment to Communications as in Council Plan</li> <li>Training</li> <li>Established procedures for dealing with negative / -inaccurate publicity</li> <li>Media briefings</li> <li>Established good relations with local media</li> <li>Monitoring of press releases</li> <li>Best practice (UKLG communications management network)</li> <li>Drafting process</li> <li>Verification controls</li> <li>Emergency media guidance</li> <li>Internet user guidance</li> <li>Social media guidance</li> <li>Proactive Monitoring of news</li> <li>Monitoring and responses to social media</li> </ul>	C2	<ul style="list-style-type: none"> <li>Communication strategy for new Council plan once adopted.</li> <li>Instil in team the new operating model and ways of working</li> <li>Define arrangements and ensure clients understand the service</li> <li>Training needs analysis</li> </ul>	↑	Score increase due to inclusion of former risk CC012 – Misrepresentation in media due to poor relations, unauthorised briefings, wrong information provided or withhold
CC014 - Effective relationships with Trade Unions are not maintained	✓	PR16/08	<ul style="list-style-type: none"> <li>Existing TU - HR informal meetings</li> <li>Good communications</li> <li>TU's involved in Reshaping Programme</li> <li>Facilities Agreement</li> <li>JCC</li> <li>Trade Union protocol and facilities agreement</li> </ul>	C2	Continue to ensure managers follow HR processes to ensure ongoing consultation / negotiation	→	
CC016 - HODs / Departments fail to comply with HR policies	✓	PR16/05 PR16/07	<ul style="list-style-type: none"> <li>Communicated HR policies and procedures</li> <li>HR Business partners and service centre</li> <li>Training</li> <li>Review of policies</li> <li>Support within HR</li> <li>HR guidance</li> </ul>	D2	-	→	
CC017 - There is a failure across the Council to manage information in accordance with the Management Information Strategy	✓	PR16/07-	<ul style="list-style-type: none"> <li>Training &amp; awareness for Information Asset Owners</li> <li>Regular reporting &amp; review by Info Mgmt Group</li> <li>AWA e-learning platform</li> <li>PRD training</li> </ul>	B2	<ul style="list-style-type: none"> <li>Appoint Information Asset Administrators; Information Sharing Protocol Facilitators, Privacy Impact Assessment champions</li> <li>Quarterly performance reporting to include section re DPA training attendance.</li> </ul>	→	Lack of mandatory training means WCBC will not be compliant with the General Data Protection Regulations
CC019 - There is inadequate workforce development across the Council	✓	PR16/05	<ul style="list-style-type: none"> <li>Corporate processes for training and development</li> <li>Departmental learning and development representatives</li> <li>Corp training and development budget</li> <li>Training, Learning and Development needs identified through PRDs and completion and assessment of annual Training &amp; Devel plans</li> </ul>	C2	<ul style="list-style-type: none"> <li>Succession planning</li> <li>Retain and target corporate training budget on essential organisation required training following 2017 appraisals.</li> </ul>	↑	PRDs not being undertaken in all cases
CC028 - Employees are not paid their correct entitlement of remuneration and/ or are not paid on time	✓	PR16/04	<ul style="list-style-type: none"> <li>Management and supervision</li> <li>Established processes departmental managers</li> <li>ICT systems</li> <li>Links with other HR functions</li> </ul>	C2	<ul style="list-style-type: none"> <li>New HR structure from 1 April 2017 - , handover/transfer of knowledge and skills</li> <li>New HRMC pension adviser post</li> <li>Implementation of support</li> </ul>	↑	Staff changes

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
					agreement with Clwyd Pensions		
CC034 - Risk of losing current Tier 4 staff and inability to recruit a replacement due to salary paid for size of job.		PR16/05-	Continue to support and value the resource at this level.	C2	Review pay structure is fit for purpose (SLT reports completed)	→	
CC036 - the authority is unable to retain ICT Staff & Knowledge.		PR16/06. PR16/07	Regular communication to staff highlighting benefits of LA T&Cs, pensions, flexible working etc.	B3		↑	Inclusion of former risk CC035 - Risk of the Council not delivering on the Digital Agenda
CC039 - There is a loss of Payment Card Industry compliance		PR16/07		C2	<ul style="list-style-type: none"> <li>• Early assessment of PCI compliance state; remedial actions to be completed ahead of compliance deadlines.</li> <li>• Determine responsibility for leading on PCI compliance</li> </ul>	New Risk	Enhanced PCI compliance standards and changes to our working practices mean adherence to a more stringent set of requirements
CC040 - A significant reduction in value of the £ will result in an increase in costs for any services, hardware or licences which use the US Dollar \$ as the base currency.		PR16/04	<ul style="list-style-type: none"> <li>• Monitoring of the impact ongoing.</li> <li>• Dialogue with Finance.</li> </ul>	A3	<ul style="list-style-type: none"> <li>• Review contracts</li> <li>• Continue rationalisation of ICT applications</li> <li>• Budget pressure to be considered</li> </ul>	New Risk	Adversely affect the costs of ICT service & licence renewals.
CC 042 - Failure to provide legal support for safeguarding children due to resources / expertise		PR16/01		C2	<ul style="list-style-type: none"> <li>• Refresh recruitment approach</li> <li>• Secure locum to enable existing resource to take leave.</li> <li>• Source alternative delivery options</li> </ul>	New Risk	Includes former risk CCS027: The department's corporate safeguarding requirements are not met
<b>FINANCE LAST UPDATE MARCH 2017</b>							
FN001 - ICT systems cannot be relied upon		PR16/05 PR16/06 - PR16/07	01 - Contractual obligations from suppliers 02 - Full systems documentation	B2	<ul style="list-style-type: none"> <li>• Continue to review effectiveness of other controls, especially contractual obligations and systems documentation</li> <li>• Establish liaison contacts and regular engagement with ICT Managers</li> </ul>	↓	Score re-assessed but remains a significant risk
FN002 - Tax legislation is not complied with		PR16/07	<ul style="list-style-type: none"> <li>• Written procedures</li> <li>• Regular team meetings</li> <li>• Membership of professional bodies</li> <li>• Receipt of notifications of changes by email</li> <li>• Internet access to official sites</li> <li>• Regular liaison with departments</li> <li>• Tax advisors</li> <li>• Training</li> </ul>	C3		→	
FN003 - The budget is not agreed on time	✓	PR16/04 PR16/06 PR16/07	<ul style="list-style-type: none"> <li>• Agreed budget timetable</li> <li>• Clear ownership &amp; responsibility for budget setting</li> <li>• Risk assessment of budget savings and pressures</li> <li>• Close working with Reshaping board</li> <li>• Lead Member Meeting</li> </ul>	D2		↓	Reduced likelihood of a challenge

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
FN004 - Budgets are overspent corporately/by departments	✓	PR16/04 PR16/06 -	<ul style="list-style-type: none"> <li>• Work planning &amp; prioritising</li> <li>• Supervision</li> <li>• Regular reporting</li> <li>• Regular client meetings</li> <li>• Budget monitoring procedures</li> <li>• Income generation project</li> </ul>	C2	<ul style="list-style-type: none"> <li>• Ongoing liaison on central projects and to ensure savings are not double-counted</li> <li>• Adapt budget monitoring resource to reduced level of resources</li> </ul>	➔	
FN005 - Legislative and regulatory changes in regard to accounting procedures and publication of accounts are not complied with		PR16/07	<ul style="list-style-type: none"> <li>• Training plan</li> <li>• Circulation of Periodicals</li> <li>• Team Meetings</li> <li>• CIPFA FAN membership</li> </ul>	D2		⬇	Changes in requirements
FN006 - Accounting Error - Failure to correctly account for Income and Payments		PR16/04	<ul style="list-style-type: none"> <li>• Control Accounts</li> <li>• Budget Monitoring</li> <li>• Customer complaints</li> <li>• Designated responsibilities</li> <li>• Bank Reconciliation</li> <li>• CIPFA Standard of Professional Practice on Ethics</li> <li>• Whistleblowing</li> <li>• Financial Procedure Rules</li> <li>• Guidance to employees</li> </ul>	B3		➔	
FN009 - The cost of borrowing increases / investment income decreases		PR16/04	<ul style="list-style-type: none"> <li>• Treasury Management Strategy and Policy</li> <li>• Cash flow forecasting</li> <li>• Monthly monitoring of investment income</li> <li>• Reduced target for investment income</li> </ul>	D2	-	➔	
FN010 - Counter Party Collapse		PR16/08	<ul style="list-style-type: none"> <li>• Treasury Management Strategy and Policy</li> <li>• Update advice on changes in credit rating during the year</li> </ul>	C1	No further action - reasonable assurance that existing controls are sufficient but risk remains critical	➔	Extreme financial loss
FN011 - The Head of Internal Audit is unable to provide required annual opinion to those charged with governance (i.e., Audit Committee)	✓	PR16/07	<ul style="list-style-type: none"> <li>• Int Audit Charter</li> <li>• Code of Corporate Governance</li> <li>• Annual Governance Statement (Commitments)</li> <li>• Agreed Audit Committee role</li> <li>• Audit Committee members training</li> <li>• Regular reporting to SMT</li> <li>• Int Audit staff training and development</li> <li>• Compliance with Public Sector</li> </ul>	D2		➔	<ul style="list-style-type: none"> <li>• Loss of confidence in key corporate governance processes</li> <li>• External Audit censure / qualified Audit opinion</li> </ul>
FN012 - The approaches to Risk Management across departments is inconsistent	✓	ALL	<ul style="list-style-type: none"> <li>• Risk Management Group</li> <li>• Reporting to Audit Committee</li> <li>• Agreed resource for coordination and awareness-raising</li> <li>• Specific Int Audit coverage of risk management</li> <li>• Staff and member training</li> <li>• Provision of AGS assurances by HoDs</li> </ul>	C3		➔	Risks not identified or not managed
FN013 - The procurement of goods and service fails to achieve value-for-money	✓	PR16/04 PR16/06	<ul style="list-style-type: none"> <li>• Various service areas already reviewed</li> <li>• Budget process</li> <li>• Regular reporting to Scrutiny</li> <li>• SMT procurement champion</li> <li>• Lead member</li> <li>• Corporate efficiency targets</li> <li>• Code of practice</li> <li>• Contract Procedure Rules</li> </ul>	C2	Continue to implement actions contained in Procurement Strategy Action Plan	➔	

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
			<ul style="list-style-type: none"> <li>National Procurement Service</li> </ul>				
FN015 - Failure to collect income / debts due to the Council	✓	PR16/04	<ul style="list-style-type: none"> <li>Management &amp; Supervision</li> <li>Billing protocols</li> <li>ICT system input and output controls</li> <li>Centralised debt recovery</li> </ul>	C3		→	
FN017 - There is a significant benefit calculation or processing error		PR16/04 - PR16/06 - PR16/07 -	<ul style="list-style-type: none"> <li>Supervision</li> <li>Quality checks</li> <li>Training</li> <li>Performance monitoring</li> <li>Reconciliation with Ledger, C Tax &amp; H rents</li> <li>Subsidy claim timetable</li> </ul>	B2	Ensure HB payments are eligible for subsidy	→	Subsidy claims are not submitted accurately & on time
FN023 - There is a breakdown in relationship with regulators						Closed	No longer considered a significant inherent risk
FN024 - There is a large incidence of significant claims against WCBC		PR16/04	<ul style="list-style-type: none"> <li>External claims handlers deal with every claim</li> <li>Insurance Risk Management Group</li> <li>Online claims management software</li> </ul>	C3		↑	Formerly D3 - discount rule increases and increasing premiums
FN026 - The incidence of fraud against the Council is unacceptably high.	✓	PR16/04 PR16/06 - PR16/07 -	<ul style="list-style-type: none"> <li>Counter Fraud Strategy</li> <li>Anti Money Laundering Strategy</li> <li>Fin Procedure Rules</li> <li>Management &amp; supervision</li> <li>Embedded internal check</li> <li>ICT system access control</li> <li>Management monitoring of system outputs</li> <li>All Wales sharing of information</li> <li>Fraud SAM page</li> <li>Fraud risk assessment</li> </ul>	C3		↓	More certainty of impact as result of fraud risk assessment
FN028 - The future provision of Housing Benefit is uncertain						Closed	More certainty
FN030 - Insufficient balances and reserves		PR16/04	<ul style="list-style-type: none"> <li>Budget process</li> <li>Sec 151 responsibilities</li> <li>Reserves policy</li> </ul>	D2		→	
FN031 – Strat Commissioning and Contract management is less than effective due to a lack of capacity and experience and the failure of departments to engage	✓	PR16/05-	Contract Procedure Rules	B2	Centralised commissioning and procurement model	→	
FN032 External Leisure Services provider fails to provide the agreed contract services -		PR16/06	<ul style="list-style-type: none"> <li>Commissioning &amp; Contracts Manager for leisure contract</li> <li>Contract monitoring arrangements</li> </ul>	D2		↓	Good control of performance

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
FN033 - There is a corporate failure to achieve statutory equality duties.	✓	PR16/07 -	<ul style="list-style-type: none"> <li>Community Diversity Manager in post</li> <li>Strategic Equality Plan</li> <li>Training - staff and members</li> <li>Monitoring arrangements</li> <li>Equality Impact Assessments</li> <li>Clear allocation and understanding of service management equality responsibilities across the Council</li> <li>Dedicated advisory role</li> <li>Departmental coordinators</li> </ul>	C2	Establish responsibility for monitoring schools	↑	-Uncertainty over responsibility for monitoring schools
FN034 - There is a corporate failure to meet statutory duties in relation to PREVENT, Modern Slavery & Equalities Act 2010	✓	PR16/01 PR16/02 PR16/07 PR16/08	<ul style="list-style-type: none"> <li>Strategic Equality Plan</li> <li>Awareness raising</li> <li>Anti-hate crime action plan and campaign</li> <li>Good relationship with EHRC</li> <li>Joint monitoring (Community Resilience Group) re tackling hate crime, Prevent, Modern Slavery, Migration impacts, Community Tension Monitoring</li> </ul>	C3		→	
FN036 - Significant failure of project management	✓	PR16/04	<ul style="list-style-type: none"> <li>Identification of project sponsors and managers</li> <li>Project risk Registers</li> <li>Project Management Handbook</li> <li>Training Programme</li> <li>Project Management database</li> </ul>	C2	<ul style="list-style-type: none"> <li>Improve end stage assessments and post completion reviews</li> <li>Regular project highlight reporting</li> <li>Refresh project management handbook</li> <li>Ongoing development of Project Management Training and e-learning modules</li> <li>Implementation of project gatekeeping and prioritisation process</li> <li>Agreed guidance and controls for capital projects</li> </ul>	→	
FN037- Inconsistent/inadequate use of performance management	✓	PR16/06 PR16/07	<ul style="list-style-type: none"> <li>Council Plan</li> <li>Annual self assessment</li> <li>External challenge</li> <li>Service planning guidance</li> <li>Active engagement of executive and scrutiny members in performance management</li> <li>Strategic challenge</li> </ul>	D3		→	
FN038 - The Reshaping Programme is ineffective or has unintended impacts	✓	PR16/01 PR16/02 PR16/03 PR16/04 PR16/05 PR16/06 PR16/07	<ul style="list-style-type: none"> <li>Management Board</li> <li>Project Management Handbook and Training</li> <li>Reshaping Services Programme</li> <li>Project risk registers</li> <li>Strategic challenge</li> <li>Regular reports to SLT</li> </ul>	C2	<ul style="list-style-type: none"> <li>Revisit proposals in 2018-19</li> <li>Respond to any unintended consequences</li> </ul>	→	
FN039 -The Council will be legally challenged if it does not follow the established corporate process for consultation and engagement	✓	PR16/07	<ul style="list-style-type: none"> <li>Consultation tool-kit and training</li> <li>Expertise and advice from PIPS</li> </ul>	D2		→	
FN040- Statutory non-compliance in individual service areas						Closed	No longer considered as a significant inherent risk

a	b	c	d	e	f	g	i
Risk Description: There is a risk that:	Lead Gov Risk?	Linked Princ Risk	Existing Mitigation (Summary)	Risk	Required Further Mitigation (Summary)	Direction	Notes
FN041 - External provider fails to provide the agreed contract services - PFI Phase 2		PR16/06. PR16/07	<ul style="list-style-type: none"> <li>Commissioning &amp; Contracts Manager for PFI</li> <li>Contract monitoring</li> <li>Nominated officers appointed as per contract requirements</li> <li>Monthly verification of invoice</li> <li>Arrangements reviewed by external consultant</li> </ul>	B2	01 - Continue to improve internal governance arrangements	➔	<ul style="list-style-type: none"> <li>Failure to meet statutory waste &amp; recycling targets</li> <li>Increased costs due to sourcing alternative treatment methods</li> <li>Reputational damage</li> </ul>
FIN042 - Buildings used by Leisure contractor are not adequately maintained						Closed	Handover complete - no known significant issues
FIN043 - There is a corporate failure to meet our statutory duties within the Community Safety Partnership in relation to levels of Anti Social Behaviour (ASB) in Wrexham town centre	✓	PR16/01. PR16/02 PR16/08	<ul style="list-style-type: none"> <li>Partnership approach around the Town Centre Action Plan</li> <li>Monthly meetings with Town Centre Members</li> </ul>	C3		New Risk	
FN044 There is failure to comply with the Insurance Act 2015		PR16/04	<ul style="list-style-type: none"> <li>Information sheet</li> <li>All service managers asked to consider how details of new or changing I circumstances will be maintained and communicated to insurance during the year</li> <li>All service managers asked to disclose material changes or new issues</li> </ul>	C2	<ul style="list-style-type: none"> <li>Obtain guidance from insurance providers as to what they consider is material to the risk</li> <li>Continue to build up view of Act's requirements and keep departmental officers informed</li> </ul>	New Risk.	<ul style="list-style-type: none"> <li>Insurer's avoidance of contract, refusal of claims, retention of premium</li> <li>Cancellation of Policy</li> </ul>
FN045 - Partnership/collaborative working arrangements across the Council are ineffective	✓	PR16/02 PR16/05 PR16/06 PR16/07	<ul style="list-style-type: none"> <li>Financial Procedure Rules</li> <li>Partnership Toolkit</li> <li>Partnership register</li> <li>Collaboration principles</li> </ul>	C2	<ul style="list-style-type: none"> <li>Continue to improve Ptshp Toolkit</li> <li>Update FPR</li> </ul>	➔	

RISK & CONTROL REGISTERS FOR SIGNIFICANT PROJECTS AS AT 6 SEPTEMBER 2017

*This shows ANY 'Red' scoring risks for all know current significant projects for which risk assessments have been undertaken*

<b>A</b> Very High				
<b>B</b> High				<b>B1</b>
<b>C</b> Significant				<b>C1</b>
<b>D</b> Low				
<b>E</b> Very Low				
<b>Likelihood</b>	<b>4</b> Minor	<b>3</b> Moderate	<b>2</b> Major	<b>1</b> Severe
	<b>Impact</b>			

Project / Programme	Latest Assessment	Remarks	Red Risks	Score	Date Identified as Red
Arts & Cultural Hub	August 2016	Update requested	None		
Affordable Housing Priority	June 2017		0013 - Failure to identify sufficient land for future development programme	<b>C1</b>	April 2017
Digital Services	February 2017		None		
Llwyneinion Tar Lagoon Programme	Sept 2016		None		
North Wales Prison	Feb 16	Update requested	None		
Reducing Carb Emissions & Energy Use	January 2017		04 - Inability to change public behaviour in terms of energy usage	<b>B1</b>	January 2017
	January 2017		09 - Insufficient staff capacity and expertise to deliver Programme successfully	<b>B1</b>	January 2011
Reshaping Programme	December 2016		None		
Vibrant Viable Places Programme	September 2016		None		
Welsh Housing Quality Standard	November 2016		None		

**RISK & CONTROL REGISTERS FOR HIGH SIGNIFICANCE\* PARTNERSHIPS - COUNCIL'S RISKS WITH RED (CRITICAL) SCORES - AS AT 6 SEPTEMBER 2017**

*This shows the Council's risks (not the partnership's) in High Significance Partnerships*

<b>A Very High</b>			<b>A2</b>	
<b>B High</b>				
<b>C Significant</b>				
<b>D Low</b>				
<b>E Very Low</b>				
<b>Likelihood</b>	<b>4 Minor</b>	<b>3 Moderate</b>	<b>2 Major</b>	<b>1 Severe</b>
	<b>Impact</b>			

Partnership	Latest Assessment	Red Risks		Score	Date Identified as Red	Remarks
14-19 Network	Jan 2017	14-19 001	Loss of 14-19 specific grant funding due to mainstreaming in 2013 and reduced funding through RSG	<b>A2</b>	Nov 13	
		14-19 002	Difficulty in delivering the requirements of the Learning & Skills Measure due to reduced mainstream funding	<b>A2</b>	Nov 13	
		14-19 004	Curriculum provision compromised through insufficient / inappropriate courses	<b>A2</b>	Nov 13	
		14-19 005	Inability to meet changes/fluctuations in learner demand, in terms of range	<b>A2</b>	Nov 13	
GwE - Regional School Improvement and Effectiveness Service	July 2017		None			
North Wales Safeguarding Adults Board	February 2017		None			
Regional Safeguarding Board (Children)	Jan 2017		None			
North Wales Adoption Agency	Jan 2017		None			
Partnership Services Board	June 2017	3	Central support for the PSB lacks resource	<b>A2</b>	June 2017	
	June 2017	9	The well-being assessment is not maintained	<b>A2</b>	June 2017	
Youth Justice Service	May 16	Update Request	None			

\* The Partnership Management Toolkit includes criteria for determining the significance of partnerships.

## SUMMARY OF EQUALITY IMPACT ASSESSMENT

## APPENDIX G

### Summary Of Risk Register Highlights Report (to Audit Committee)

Please note, this is a summary of the assessment. Refer to the full text.

**Department:** Finance  
**Department Reference:** FIN/EIA00023/2016  
**Responsible Officer:** Mark Owen  
**Job Title:** Head of Finance  
**Completed Date:** 07/09/2017 18:13:10

#### Positive Impacts

Impact	Description
All	There are no proposals in this report. It just reports the summary contents of risk registers to help enable the Audit Committee in its constitutional duty of ensuring the adequacy of the Council's risk management arrangements
All	There are no proposals in this report. It just reports the summary contents of risk registers to help enable the Audit Committee in its constitutional duty of ensuring the adequacy of the Council's risk management arrangements
All	There are no proposals in this report. It just reports the summary contents of risk registers to help enable the Audit Committee in its constitutional duty of ensuring the adequacy of the Council's risk management arrangements
All	There are no proposals in this report. It just reports the summary contents of risk registers to help enable the Audit Committee in its constitutional duty of ensuring the adequacy of the Council's risk management arrangements

↑	Increasing	↓	Decreasing	↔	Static
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