







Strategic Risk Register										
Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR05	Safeguarding - Failure to manage the safeguarding regime safely	Andrew Jarrett Aled Evans Chris Millis Keri Warren	Compliance	6/19/2018	Threat	Treat	 Medium 3/19/2018	 Medium 3/19/2018		
<p><u>Inherent - Existing Controls</u></p> <ol style="list-style-type: none"> 1. Corporate safeguarding group ensures there is clear allocation of roles and responsibilities internally within the Council and to share learning 2. Experienced head of Children and Adult social services recruited 3. Significant corporate support and investment in place to address weaknesses in Children and Young People Services and to sustain/build upon the work which removed the Council from the CSSiW Serious Concerns Protocol 4. Focused improvement work taking place in adult services as a result of the new framework introduced by the SSWB Act 5. Regional Safeguarding Boards for Western Bay led by suitably qualified personnel 6. Ongoing investment in training to continuously improve safeguarding practice 7. Schools robustly held to account by ELLL for safeguarding practice 8. Investment in support for high risk victims of domestic abuse via the VAWDASV Leadership Group 9. Investment in Channel Panel support to discharge safeguarding responsibilities for people vulnerable to being drawn into terrorism/extremism 10. Seminar convened by Community Safety Partnership to highlight risks related to modern slavery, terrorism/extremism, serious and organised crime and hate crime 11. Partnership groups established to provide oversight of issues related to the people resettled under the Syrian Vulnerable Persons Scheme <p><u>Revised - Existing Controls</u></p> <ol style="list-style-type: none"> 1. Corporate safeguarding group ensures there is clear allocation of roles and responsibilities internally within the Council and to share learning 2. Experienced head of Children and Adult social services recruited 3. Significant corporate support and investment in place to address weaknesses in Children and Young People Services and to sustain/build upon the work which removed the Council from the CSSiW Serious Concerns Protocol 4. Focused improvement work taking place in adult services as a result of the new framework introduced by the SSWB Act 5. Regional Safeguarding Boards for Western Bay led by suitably qualified personnel 6. Ongoing investment in training to continuously improve safeguarding practice 7. Schools robustly held to account by ELLL for safeguarding practice 8. Investment in support for high risk victims of domestic abuse via the VAWDASV Leadership Group 										

9. Investment in Channel Panel support to discharge safeguarding responsibilities for people vulnerable to being drawn into terrorism/extremism
10. Seminar convened by Community Safety Partnership to highlight risks related to modern slavery, terrorism/extremism, serious and organised crime and hate crime
11. Partnership groups established to provide oversight of issues related to the people resettled under the Syrian Vulnerable Persons Scheme

Risk Action	Responsible Person	Progress %	Due Date	Start Date	End Date	Comments
<ul style="list-style-type: none"> • Bring together safeguarding arrangements for adult and children's social services under a single line manager • Consider whether there is scope to integrate other safeguarding practices across the Council into a shared corporate service • Developing practice to better identify priority risks when supporting vulnerable people. • Developing a Social Services Single Point of Contact to promote more robust and consistent decision making at the "front-door". 	Keri Warren	10	3/31/2019	1/11/2018	3/31/2019	
<ul style="list-style-type: none"> • Develop a 'Progression Team' to support vulnerable young people into adulthood. • Fully embed a Social Services 'Quality Assurance Framework', to regularly monitor safeguarding arrangements within the Directorate. • To Strengthen and develop accommodation for care leavers. 	Keri Warren	10	3/31/2019	1/11/2018	3/31/2019	

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR01	Asset Management - Failure of major infrastructure 1	Gareth Nutt Dave Griffiths Mike Roberts Simon Brennan	Financial	6/19/2018	Threat	Treat	 High 3/19/2018	 Medium 3/19/2018		
<p><u>Inherent - Existing Controls</u></p> <ol style="list-style-type: none"> 1. Highways Asset Management Plan 2. Fleet Asset Management Plan 3. Property Asset Management Plan 4. Capital Programme 5. Capital Programme Monitoring Group 6. Treasury Management Policy 7. Revenue budget funding 8. Large number of smaller asset transfer activity to community groups - bowling greens, sports pitches, community centres etc. 9. Tip inspections 10. Flood and Water Management Plan <p><u>Revised - Existing Controls</u></p> <ol style="list-style-type: none"> 1. Highways Asset Management Plan 2. Fleet Asset Management Plan 3. Property Asset Management Plan 4. Capital Programme 5. Capital Programme Monitoring Group 6. Treasury Management Policy 7. Revenue budget funding 8. Large number of smaller asset transfer activity to community groups - bowling greens, sports pitches, community centres etc. 9. Tip inspections 10. Flood and Water Management Plan 										
Risk Action			Responsible Person		Progress %	Due Date	Start Date	End Date	Comments	
<ul style="list-style-type: none"> • Relevant Heads of Service to attend the Capital Programme Steering Group. • Business continuity plans. 			Simon Brennan		10	3/31/2019	1/11/2018	3/31/2019		
<ul style="list-style-type: none"> • Undertake rolling programme of surveys and inspections to understand condition and identify 			Simon Brennan		10	3/31/2019	1/11/2018	3/31/2019		

areas that require further investigation. <ul style="list-style-type: none">• Prioritise programmes of work and, where possible, remove/replace/reconstruct/ refurbish the highest risk assets.• Defect inspection regime for Highway pavements.• Deal with alternative route for Cymmer Bridge.• Improved management of unadopted structures.						
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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR13	Risk that regional collaboration dilutes the quality of services to local people and weaken governance	Steven Phillips	Reputational	6/15/2018	Threat	Treat	 Medium 3/19/2018	 Medium 3/19/2018		



Inherent - Existing Controls

1. Each regional collaborative arrangement is explicitly agreed by elected Members
2. Scrutiny of each regional collaborative arrangement is vested in the relevant scrutiny committee
3. The nature and form of each significant collaborative arrangement is included in the Corporate Plan

Revised - Existing Controls

1. Each regional collaborative arrangement is explicitly agreed by elected Members
2. Scrutiny of each regional collaborative arrangement is vested in the relevant scrutiny committee
3. The nature and form of each significant collaborative arrangement is included in the Corporate Plan

Risk Action	Responsible Person	Progress %	Due Date	Start Date	End Date	Comments
Area plan for the western bay collaboration on health and social care to be considered at Council	Andrew Jarrett	100	3/31/2018	1/15/2018	3/31/2018	
City Deal - external legal support to ensure completion of Joint Committee Agreement and each council will sign off relevant project business cases that impacts on any financial commitment	Steven Phillips	60	9/30/2018	1/15/2018	9/30/2018	
Legislative proposals for further mandatory regional collaboration to be subject of full assessment and report to Council	Steven Phillips	100	9/30/2018	1/15/2018	9/30/2018	
Review Council's ongoing participation in ERW arrangements	Steven Phillips	0	3/31/2019	6/13/2018	3/31/2019	
Review Council's ongoing participation in Western bay arrangements	Steven Phillips	0	3/31/2019	6/13/2018	3/31/2019	

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR02	Pantteg - Significant slip of the land impacting on the community in an area of historic landslips	Gareth Nutt Dave Griffiths Nicola Pearce	Compliance	6/19/2018	Threat	Accept	 High 3/19/2018	 High 3/19/2018		



Inherent - Existing Controls

1. Enforcement action taken on directly affected properties
2. Further survey work to establish further risks
3. Community relations strategy
4. Dialogue with Welsh Government regarding funding for the associated costs

Revised - Existing Controls

1. Enforcement action taken on directly affected properties
2. Further survey work to establish further risks
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Risk Action	Responsible Person	Progress %	Due Date	Start Date	End Date	Comments
<ul style="list-style-type: none"> • Hazard & Risk Maps of the area currently being prepared. • Public meeting held Jan 18 with further meetings thereafter. • Counsel opinion being sought on extent of ongoing liability due to large area of land in private ownership and having regard to the Councils duties as outlined in the legislation relating to housing and drainage. • Monitoring & slope analysis ongoing. • Multi-agency response plan to incident in place. • Sharing of monitoring data with public. • Land Tribunal Hearing held to consider householders concern on Council Action 	Dave Griffiths	10	3/31/2019	1/11/2018	3/31/2019	

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR04	Workforce - Failure to adequately undertake workforce planning could lead to the Council not having the right numbers of the right people, in the right place, at the right time, doing the right things	Sheenagh Rees	Resource	6/15/2018	Threat	Treat	 Low 1/11/2018	 Low 1/11/2018		


Inherent - Existing Controls

1. Workforce information post established within Human Resources Department
2. Workforce information improvement work enabled by the development of the employee portal
3. Sickness Task and Finish Group has developed a detailed insight into the reasons for absence and the profile of the people who are experiencing ill-health
4. Workforce planning developed within Children and Young People Services
5. Workforce surveys in place for some service areas – Social Services, Corporate Strategy and Democratic Services
6. Clear and effective strategy in place to support employees who wish to depart the organisation under ER/VR
7. Specific reserve established to fund ER/VR programme
8. Insight into levels of digital literacy in the non-schools workforce conducted and some plans in place to address the findings of the research
9. The engagement of apprentices

Revised - Existing Controls

1. Workforce information post established within Human Resources Department
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9. The engagement of apprentices



Risk Action	Responsible Person	Progress %	Due Date	Start Date	End Date	Comments
<ul style="list-style-type: none"> • A Strategic Workforce Plan for the Council will be published in April 2018 setting out 5 clear themes for the Council's workforce with agreed actions to support each theme – this will help service management teams focus on key areas of workforce planning such as succession planning, learning, training and development plans, employee engagement etc. 	Sheenagh Rees	10	3/31/2019	1/11/2018	3/31/2019	
<ul style="list-style-type: none"> • Further development of the Employee Portal and roll out across the whole workforce will improve both the information the Council has about each employee as well as communication with the workforce • Publication of the gender pay gap and action plan as required by legislation will help the Council understand the gender profile and actions necessary to reduce the gender pay gap 	Sheenagh Rees	10	3/31/2019	1/11/2018	3/31/2019	
Strategic workforce plan is to be presented to elected members at committee for approval	Sheenagh Rees	10	7/27/2018	6/1/2018	7/27/2018	

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR15	The Council is unable to comply with the compliance notice for Welsh Language Standards	Karen Jones	Compliance	6/15/2018	Weakness	Treat	 Medium 6/13/2018			

Inherent - Existing Controls

1. Comprehensive assessment of ability to comply was undertaken
2. 55 standards were challenged by the Council and a number of changes were agreed with the Commissioner to resolve concerns
3. Menter Iaith engaged to help develop the Welsh language Promotion Strategy. The Strategy is based on existing or new initiatives where resources have been identified.
4. Complaints are being monitored - lessons learned and remedial actions are identified and implemented. Additionally, the Council will seek further modification of the compliance notice if, in the course of implementation further barriers to compliance are identified.
5. Operationally the Welsh Language Officer Group is working to secure implementation of the standards
6. Additional corporate budget has been allocated
7. Scrutiny and monitoring arrangements at Cabinet and non-executive levels is in place

Risk Action	Responsible Person	Progress %	Due Date	Start Date	End Date	Comments
Consulting on Welsh language Promotion Strategy to ensure relevance and deliverability	Karen Jones	80	7/1/2018	6/13/2018	7/1/2018	
Testing the process for appealing the Commissioner's ruling on an individual complaint (e.g. car parking machines)	Karen Jones	20	8/31/2018	6/13/2018	8/31/2018	

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR07	Budget Control - Failure to manage activity, expenditure and income within budgets	Hywel Jenkins Dave Rees	Financial	6/19/2018	Threat	Treat	 Medium 5/11/2018	 Medium 5/11/2018		



Inherent - Existing Controls

1. Experienced financial team with designated financial officers supporting budget holders
2. Monthly budget reports, with forecasting to year end
3. High level monitoring of budget variances by Corporate Directors Group and elected Members to identify emerging problems early and to require corrective action
4. Budget accountability firmly embedded across the Council at all levels
5. Communications strategy engages staff and trade unions in the consequences of not achieving budget balance with opportunities for staff and trade unions to contribute to the formulation of budgets and savings/income generation proposals

Revised - Existing Controls

1. Experienced financial team with designated financial officers supporting budget holders
2. Monthly budget reports, with forecasting to year end
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Risk Action	Responsible Person	Progress %	Due Date	Start Date	End Date	Comments
<ul style="list-style-type: none"> • The prospect of an overspend by the Council will be highlighted early in the year through the budget monitoring process. Actions will then be agreed and put in place by senior officers and Members to limit/prevent an overspend by the year end. 	Dave Rees	10	3/31/2019	1/11/2018	3/31/2019	

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR11	Delivery of Corporate Plan - Failure to deliver the Corporate Plan due to inadequate capacity	Karen Jones	Compliance	6/15/2018	Threat	Treat	 Low 1/11/2018	 Low 1/11/2018		

Inherent - Existing Controls



1. Corporate Strategy Team has clear understanding of legal frameworks that need to be adhered to
2. Experienced cadre of directors and heads of service who have participated in developing the programmes of work identified to deliver the political priorities of the Council
3. Alignment of the budget and corporate planning process
4. Range of mechanisms in place to obtain community and partner feedback on priorities and programmes of work
5. Regular review of Plan progress undertaken by Corporate Directors Group and elected Members
6. Strategic Schools Improvement Programme (SSIP) is being delivered but has been a significant pressure on the diminishing specialist functions – project management; communications; HR and ICT
7. Effective relationship management with funders to ensure there is early notice of funding opportunities and consequently early identification of new projects and programmes that can be put forward for funding opportunities or time to wind up programmes



Revised - Existing Controls

1. Corporate Strategy Team has clear understanding of legal frameworks that need to be adhered to
2. Experienced cadre of directors and heads of service who have participated in developing the programmes of work identified to deliver the political priorities of the Council
3. Alignment of the budget and corporate planning process
4. Range of mechanisms in place to obtain community and partner feedback on priorities and programmes of work
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7. Effective relationship management with funders to ensure there is early notice of funding opportunities and consequently early identification of new projects and programmes that can be put forward for funding opportunities or time to wind up programmes

Risk Action	Responsible Person	Progress %	Due Date	Start Date	End Date	Comments
• Benchmarking of approaches adopted by other organisations to be undertaken to identify other potential strategies that can assist in delivering the Council's priorities	Karen Jones	10	3/31/2019	1/11/2018	3/31/2019	
• Fine tuning of actions and performance objectives required to clarify deliverables • Additional engagement and communication with management cadre to ensure full corporate	Karen Jones	10	3/31/2019	1/11/2018	3/31/2019	

<div>ownership of the cross-cutting elements of the Plan, backed up by suitable training and development activities</div> <div><ul style="list-style-type: none">• Further testing of objectives required as the budget scenarios for future years becomes firmer with Plan adjustment to be made as affordability issues are identified</div>						
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Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR12	Welfare Reform - Increased numbers of local people experience financial hardship	Karen Jones	Compliance	6/15/2018	Threat	Accept	 Medium 3/19/2018	 Medium 3/19/2018		
<p><u>Inherent - Existing Controls</u></p> <ol style="list-style-type: none"> Partnership activity established and championed by the Public Services Board/elected Members Effective partnership relationships enabling people affected by welfare reform change to be identified and subject to targeted, preventative action Range of support services identified to support those claimants who may be adversely affected by the changes Training of officers and elected Members to ensure there is an understanding of the impact and implications of change Good and effective information sharing arrangements in place to support vulnerable people Core funding provided to key third sector organisation to sustain support services Council Tax Reduction Scheme supporting financially disadvantaged to help them pay their council tax <p><u>Revised - Existing Controls</u></p> <ol style="list-style-type: none"> Partnership activity established and championed by the Public Services Board/elected Members Effective partnership relationships enabling people affected by welfare reform change to be identified and subject to targeted, preventative action Range of support services identified to support those claimants who may be adversely affected by the changes Training of officers and elected Members to ensure there is an understanding of the impact and implications of change Good and effective information sharing arrangements in place to support vulnerable people Core funding provided to key third sector organisation to sustain support services Council Tax Reduction Scheme supporting financially disadvantaged to help them pay their council tax 										
Risk Action		Responsible Person		Progress %	Due Date	Start Date	End Date	Comments		
Establish monthly briefing sessions internally to intensify monitoring of Universal Credit (UC) roll out and any new actions		Karen Jones		100	5/31/2018	1/11/2018	5/31/2018			
Establish quarterly round table sessions with senior partners to gauge impact of Universal Credit (UC) and identify risks and required actions										
Undertake research to develop a clear understanding of those people who are facing greatest financial hardship		Karen Jones		10	12/31/2018	6/13/2018	12/31/2018			

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR09	Community Cohesion - Community tensions increase and there is a fracturing of community cohesion	Karen Jones	Reputational	6/15/2018	Threat	Accept	 Low 1/11/2018	 Low 1/11/2018		



Inherent - Existing Controls

1. Comprehensive Strategic Equality Plan in place which prioritises action to combat hate crime, domestic abuse and to strengthen engagement with a wide range of different sections of the community
2. Strong links to many groups who share protected characteristics
3. Training for officers and elected members in equality duties
4. Systematic use of equality impact assessments (which includes community cohesion)
5. Clear structure for discharging PREVENT duties with action plan in place, based on peer review and legal duties
6. Dedicated officers and elected Members who oversee equality and PREVENT duties
7. Regional Community Cohesion Co-ordinator brings advice on emerging trends that could affect local community relations
8. Full participation in regional CONTEST Board
9. Partnership plans mobilised to support job reductions in Tata Steel which included community relations aspects
10. Effective partnership in place to support people resettled under the Syrian Vulnerable Persons Scheme
11. BME Development Worker funded to develop stronger links with local BME communities

Revised - Existing Controls

1. Comprehensive Strategic Equality Plan in place which prioritises action to combat hate crime, domestic abuse and to strengthen engagement with a wide range of different sections of the community
2. Strong links to many groups who share protected characteristics
3. Training for officers and elected members in equality duties
4. Systematic use of equality impact assessments (which includes community cohesion)
5. Clear structure for discharging PREVENT duties with action plan in place, based on peer review and legal duties
6. Dedicated officers and elected Members who oversee equality and PREVENT duties
7. Regional Community Cohesion Co-ordinator brings advice on emerging trends that could affect local community relations
8. Full participation in regional CONTEST Board
9. Partnership plans mobilised to support job reductions in Tata Steel which included community relations aspects
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Carry out programme of equality audits to check approaches are embedded across the Council	Karen Jones	60	3/31/2019	1/11/2018	3/31/2019	
Improve tension monitoring and share more widely with relevant groups						
Increase interaction with key community groups, including Faith groups to improve community intelligence						
Conclude community profiling exercise and then reassess equality plans in light of the findings						
Develop strong counter-narrative to challenge extremist views and to mitigate the impact of events outside the county borough						

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR03	Governance - Break down in internal controls and/or governance arrangements as a result of significant and continuing service change, complex service models and the loss of experienced staff	Karen Jones	Resource	6/15/2018	Threat	Accept	 Medium 1/11/2018	 Medium 1/11/2018		



Inherent - Existing Controls



1. Corporate Governance Statement regularly reviewed internally by the Governance Group and annually approved externally by Wales Audit Office. It describes current controls and improvement actions with process of regular review
2. Corporate Governance Group exercising continuous oversight of governance arrangements, including critical incident review
3. Open and robust relationship with external auditors and inspectors
4. Protected investment in Internal Audit Services with risk-based audit programmes
5. The work of internal and external audit monitored quarterly by Audit Committee
6. Regular reporting of progress in delivering agreed improvement actions set out in AGS to elected Members including Scrutiny and Audit Committees
7. Common template for reporting on decision items to Cabinet and Cabinet Boards, to ensure decisions are supported by relevant information
8. Training for all managers in corporate governance delivered by Monitoring Officer and Head of Corporate Strategy and Democratic Services
9. Range of governance modules integrated into Member Induction arrangements

Revised - Existing Controls



1. Corporate Governance Statement regularly reviewed internally by the Governance Group and annually approved externally by Wales Audit Office. It describes current controls and improvement actions with process of regular review
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8. Training for all managers in corporate governance delivered by Monitoring Officer and Head of Corporate Strategy and Democratic Services
9. Range of governance modules integrated into Member Induction arrangements

Risk Action	Responsible Person	Progress %	Due Date	Start Date	End Date	Comments
Operational procedures being established to maintain new risk management arrangements	Karen Jones	40	8/31/2018	6/13/2018	8/31/2018	
Post implementation review of CAMMS IT system benefits	Dave Rees	0	12/31/2018	6/13/2018	12/31/2018	
<p>Provide additional focused training for the Audit Committee to ensure the Committee can exercise effective oversight of corporate governance arrangements.</p> <p>Following the Audit Committee training, review the Audit Committee Terms of Reference to ensure that they enable adequate monitoring and review of governance of governance arrangements by the Audit Committee</p>	Dave Rees	10	10/31/2018	1/11/2018	10/31/2018	
<p>Revise risk management policy and implement more consistent approach to risk description, scoring and action planning</p> <p>Use the CAMMS performance management IT system to increase access to information on corporate governance arrangements and to improve reporting for both officers and Members</p> <p>Further revision of the corporate reporting template to reflect Well-being of Future Generations (Wales) Act 2015 requirements and feedback from Wales Audit Office with refresher training for manager</p>	Karen Jones	100	3/31/2019	1/11/2018	3/31/2019	

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR14	Loss of personal/sensitive information resulting in financial penalty (max of 4% of annual turnover under new GDPR) and loss of public confidence.	Hywel Jenkins Steve John	Financial	6/19/2018	Threat	Treat	 Medium 3/20/2018	 Medium 3/20/2018		
<p><u>Inherent - Existing Controls</u></p> <p>1.Targeted training; provision of encryption technology; provision of secure emails 2. Increased preventative measures in relation to Cyber threats</p> <p><u>Revised - Existing Controls</u></p> <p>1.Targeted training; provision of encryption technology; provision of secure emails 2. Increased preventative measures in relation to Cyber threats</p>										
Risk Action			Responsible Person		Progress %	Due Date	Start Date	End Date	Comments	
Continued targeted training; provision of encryption technology; access to secure email transmission and receipt. Continual review and testing of Perimeter base and Information security.			Hywel Jenkins		0	3/31/2019	3/20/2018	3/31/2019		

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR06	Financial Resilience - The Council's financial position deteriorates to a point where it is no longer able to meet its statutory duties or the expectations of its communities	Hywel Jenkins Dave Rees	Financial	6/19/2018	Threat	Treat	 Medium 1/11/2018	 Medium 1/11/2018		
<p><u>Inherent - Existing Controls</u></p> <ol style="list-style-type: none"> 1. Well established financial and corporate planning cycle 2. Experienced Financial Services Team 3. Accurate forecasting of service pressures 4. Good relationships with Welsh Government and others to secure good intelligence to inform estimating and forecasting 5. Open and transparent consultation and engagement with stakeholders on proposals to bridge budget gaps 6. Links between revenue and capital budget planning 7. Good track record in securing alternative funding, partnering, introducing new service models, seeking out innovation <p><u>Revised - Existing Controls</u></p> <ol style="list-style-type: none"> 1. Well established financial and corporate planning cycle 2. Experienced Financial Services Team 3. Accurate forecasting of service pressures 4. Good relationships with Welsh Government and others to secure good intelligence to inform estimating and forecasting 5. Open and transparent consultation and engagement with stakeholders on proposals to bridge budget gaps 6. Links between revenue and capital budget planning 7. Good track record in securing alternative funding, partnering, introducing new service models, seeking out innovation 										
Risk Action			Responsible Person		Progress %	Due Date	Start Date	End Date	Comments	
<ul style="list-style-type: none"> • Intensify citizen engagement with the budget challenges, securing citizen commitment to behaviours that will reduce or remove demand on Council services • Introduce a more robust enforcement policy to sanction behaviours that unreasonably impact on Council resources • Review the potential for capacity/release or 			Dave Rees		10	3/31/2019	1/11/2018	3/31/2019		

reduction in cost from internal, shared service or through external collaboration						
<ul style="list-style-type: none"> • Introduce corporate approach to increasing income and ensure staff and elected Member are equipped with the skills and knowledge to implement the approach • Accelerate the pace of digital innovation across the Council • Improve the quality of evidence adduced to exemplify the financial resilience challenges of the Council and ensure this is understood by those involved in the decisions on local government budgets 	Dave Rees & Karen Jones	10	3/31/2019	1/11/2018	3/31/2019	
<ul style="list-style-type: none"> • Significantly increase the amount of income generated by the Council to proportionately reduce the reliance on Government funding for the delivery of statutory services 	Dave Rees	10	3/31/2019	1/11/2018	3/31/2019	

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR10	Business Continuity - Serious disruption to Council services and functions	Steven Phillips Sheenagh Rees	Resource	6/15/2018	Threat	Treat	 Medium 3/19/2018	 Medium 3/19/2018		



Inherent - Existing Controls

1. A dedicated Emergency Planning Team has been established, providing Business Continuity Planning advice and support to service managers
2. A revised approach to Business Continuity Planning has been developed and rolled out across Council Services

Revised - Existing Controls

1. A dedicated Emergency Planning Team has been established, providing Business Continuity Planning advice and support to service managers
2. A revised approach to Business Continuity Planning has been developed and rolled out across Council Services

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<ul style="list-style-type: none"> • All services across the Council to ensure that they have in place an up to date Business Continuity Plan, which has been communicated to all employees within the service as appropriate, and that the plan is tested and reviewed at regular intervals • Test corporate disaster recovery and business continuity plans against service plans and a range of scenarios 	Sheenagh Rees	10	3/31/2019	1/11/2018	3/31/2019	

Risk Code	Risk	Responsible Officer	Risk Category	Last Reviewed	Issue Type	Risk Treatment	Inherent Rating	Revised Rating	Future Rating	
SR08	Health and Safety - Failure to manage Health & Safety of the workforce and community	Steven Phillips Sheenagh Rees	Resource	6/15/2018	Threat	Treat	 Medium 3/19/2018	 Low 3/19/2018		
<p><u>Inherent - Existing Controls</u></p> <ol style="list-style-type: none"> 1. Clear health and safety framework 2. Dedicated Health and Safety Team for the provision of advice and guidance 3. Access to Health and Safety Training 4. External quality audit to check compliance 5. Prioritised action plan, based on corporate assessment of risk, threat and harm 6. On line reporting system <p><u>Revised - Existing Controls</u></p> <ol style="list-style-type: none"> 1. Clear health and safety framework 2. Dedicated Health and Safety Team for the provision of advice and guidance 3. Access to Health and Safety Training 4. External quality audit to check compliance 5. Prioritised action plan, based on corporate assessment of risk, threat and harm 6. On line reporting system 										
Risk Action			Responsible Person		Progress %	Due Date	Start Date	End Date	Comments	
<ul style="list-style-type: none"> • Actions taken by service managers to engage the workforce in health & safety matters • Service managers ensuring that health & safety risk assessments are thorough and up to date • Service managers ensuring the provision of appropriate and up to date training • Service managers ensuring the provision of appropriate and up to date Personal Protective Equipment (PPE) 			Sheenagh Rees		10	3/31/2019	1/11/2018	3/31/2019		