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# Operational Risks – Corporate Services

Neath Port Talbot County Borough Council



*Print Date: 23-Aug-2018*

CS24	Late receipt of instructions or missing information- reports to Cabinet/Committees or final terms and conditions of transactions/commercial arrangements are often only available for review shortly before deadlines or indeed not at all and is therefore difficult to give anything other than basic advice or to provide an input into any processes.	<b>MEDIUM</b>
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**Primary Category:** Compliance

**Responsible Officer:**

Craig Griffiths

**Secondary Categories:**

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	High
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	High
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

**Existing Controls**

**Inherent**

1. Review of the format of reports now draws attention to the requirement of legal comment. 2. On-going dialogue with client departments to address issues prior to final outcome being reached

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
Encouraging clients to seek legal advice at early stage, prior to report writing or finalising commercial arrangements/transactions. Ensure on-going dialogue with client departments to address issues prior to mitigate risks on legal non-compliance	Ongoing	31/03/2019	Craig Griffiths

CS25	Combination of factors will lead to a reduction in experienced staff in the Registry Office during the year which will have an effect on service delivery.	<b>MEDIUM</b>
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**Primary Category:** Resource

**Responsible Officer:**

Craig Griffiths

**Secondary Categories:**

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Certainty
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Medium
<b>Likelihood</b>	Certainty
<b>Risk Rating</b>	Medium

**Existing Controls**

**Inherent**

1. Recruitment and training of new staff

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
Recruitment of casual staff to provide operational resilience	In Progress	31/03/2019	Craig Griffiths

CS02	Loss of personal/sensitive information resulting in financial penalty (max £500,000 increasing to max of 4% of annual turnover under new GDPR) and loss of public confidence.	<b>MEDIUM</b>
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**Primary Category:** Financial

**Responsible Officer:**

Steve John

**Secondary Categories:** Reputational

**Secondary Responsible Officers:**

Craig Griffiths  
Ross Livingstone

#### Inherent

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

#### Revised

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

#### Existing Controls

##### **Inherent**

1. Targeted training; provision of encryption technology; provision of secure emails. 2. Increased preventative measures in relation to Cyber threats

#### Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Continued targeted training; provision of encryption technology; access to secure email transmission and receipt. Continual review and testing of Perimeter based and Information security.	Ongoing	31/03/2019	Steve John

<b>CS19A</b>	<b>Service quality and availability in Legal Services may be compromised due to the reduction in financial resources.</b>	<b>MEDIUM</b>
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**Primary Category:** Resource

**Responsible Officer:**

Craig Griffiths

**Secondary Categories:**

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Very Likely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Medium
<b>Likelihood</b>	Very Likely
<b>Risk Rating</b>	Medium

**Existing Controls**

**Inherent**

1 FFPs identified savings are in process or being achieved - Management of Change process to be used

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
Services and workload delivered within budget but with a reduced capacity during financial year. Income generation ideas will be reviewed and built upon and attempts made to find innovation in working practices to negate any service pressures.	Ongoing	31/03/2019	Craig Griffiths
On-going management to take place following further reduction in budget and capacity. Resources will be prioritised and appropriate staff training and supervision given to address shortfalls. In the event of unavoidable staff avoidance, liaise with staff to determine whether any individuals can act to cover matters on an interim basis or consider use of agency staff in the event of urgent need, subject to financial approval being given	Ongoing	31/03/2019	Craig Griffiths

HR 2	Service delivery failure due to increased sickness absence levels throughout the Council.	MEDIUM
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Primary Category: Financial      Responsible Officer: Sheenagh Rees  
Secondary Categories: Compliance      Secondary Responsible Officers: Charlotte Jane Morgan  
Reputational  
Resource

**Inherent**

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

**Revised**

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

**Existing Controls**

**Inherent**

1 Monitor sickness levels, identifying any patterns of sickness that appear, and ensure the Councils sickness management policy is adhered to; review allocations of workload to staff. 2. **Dec 16:** Regular Quarterly monitoring reports have been developed and are presented to Members, Corporate Directors and trade unions. 3. A refresh of policy arrangements is taking place jointly with the trade unions to address an identified loop hole in the policy and tighten up processes. 4. Stress Risk Assessments are now carried out for every reported case of work related stress. 5. Funding has been identified to fund the 'long term sickness taskforce' to March 2018. 6. Additional resource is supporting the Schools Sickness Taskforce until August 2017. **June 2017 Update:** 2016 / 2017 sickness levels saw an increase from 9.7 FTE days to 9.9, therefore risk score remains unchanged. Scrutiny and monitoring continues, as does additional support from Sickness Taskforce.

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
4 % reduction in sickness absence in 2017-2018. 6th in the All Wales Bench marking system.	In Progress	31/03/2019	Sheenagh Rees
Directorate Management Teams responsible for sickness management; Establishment of the Sickness Taskforce within the HR team to develop strategies to effectively manage long term absence will support the management of this risk; Improvements in accident investigation, the Occupational Health Referral Service, HAV's risk management programme and stress management activities.	Completed	31/03/2018	Sheenagh Rees
Establishment of a school's sickness task force. Funding for HR officer till August 2018.	In Progress	31/08/2018	Sheenagh Rees
Process in place for identifying permanent funding.	In Progress	31/03/2019	Sheenagh Rees
Developing Mental Health at Work strategy.	In Progress	31/03/2019	Sheenagh Rees
Regular Quarterly monitoring developed and are presented to Members, Corporate Directors and trade unions. A refresh of policy arrangements is taking place jointly with the trade unions to address an identified loop hole in the policy and tighten up processes. Stress Risk Assessments are now carried out for every reported case of work related stress. Funding has been identified to fund the 'long term sickness taskforce' to March 2018.	Completed	31/03/2018	Sheenagh Rees

CS26	Loss of key staff within ICT Division due to diminishing budget and/or staff leaving due to increased workloads/responsibilities leading to job dissatisfaction which could mean a decline in or total loss of ICT service	<b>MEDIUM</b>
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**Primary Category:** Resource

**Responsible Officer:**

Steve John

**Secondary Categories:** Financial

**Secondary Responsible Officers:**

Ian John  
Ross Livingstone

**Inherent**

<b>Impact</b>	High
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	High
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Medium

**Existing Controls**

**Inherent**

1 Combination of better job satisfaction through System Reviews, Employee Development Review process and reduction of dependency on key individuals by sharing expert knowledge across other staff. 2 Rigorously pursue income opportunities to relieve budget pressures.

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Combination of better job satisfaction through System Reviews, Employee Development Review process and reduction of dependency on key individuals by sharing expert knowledge across other staff; rigorously pursue income opportunities to relieve budget pressures.	In Progress	31/03/2019	Steve John

HR COH&S 1	Corporate Manslaughter - Failure to effectively demonstrate and adhere to safe methods of working, resulting in individual and/or corporate manslaughter.	<b>MEDIUM</b>
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**Primary Category:** Compliance

**Responsible Officer:**

Sheenagh Rees

**Secondary Categories:** Financial  
Reputational  
Resource

**Secondary Responsible Officers:**

Charlotte Jane Morgan

**Inherent**

<b>Impact</b>	High
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	High
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Medium

**Existing Controls**

**Inherent**

1 Through application of statutory duties as detailed within regulations, HSE guidance etc. Management of the above and the ability of Heads of Service and Directors to accept their responsibilities in relation to health and safety and engage the workforce by example. Policy alone will not mitigate the risk.

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
BSi audit re registration to OHSAS 18001 - ISO 45001 translational arrangements - 3 year lead.	In Progress	31/03/2019	Sheenagh Rees
Health and safety policy, Health and safety training, Compliance with regulations, Occupational Health Policy, Implementation and monitoring of HSE reports and recommendations. Risk assessments undertaken by Directorates.	In Progress	31/03/2019	Sheenagh Rees
OHSAS 18001 was awarded in 2007. External 3rd party audit every 4 months. Internal audit process in place. H&S corporate procedures reviewed on an annual basis.	In Progress	31/03/2019	Sheenagh Rees



CS21	Demands on Legal Services will rise due to unforeseen internal and external events.	<b>MEDIUM</b>
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**Primary Category:** Resource

**Responsible Officer:**

Craig Griffiths

**Secondary Categories:**

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Very Likely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Medium
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

**Existing Controls**

**Inherent**

1 Keep all of legal services staff fully briefed about developing issues

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
Efforts will be made to mitigate this by developing greater efficiency and early identification of new developments. Staff will need to review extensive documentation at very short notice. Additional capacity being sought.	In Progress	31/03/2019	Craig Griffiths

CS47	Risk of reputational damage to the Council if there is inadequate approach to corporate community relations	MEDIUM
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**Primary Category:** Reputational                      **Responsible Officer:** Karen Jones  
**Secondary Categories:**                                      **Secondary Responsible Officers:** Nita Sparkes

**Inherent**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Medium
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

**Existing Controls**

**Inherent**

1. Draft Corporate Communications strategy is being developed. 2. Role of Corporate Communications team has been clarified and agreed with Corporate Management Group. 3. Temporary additional resource has been made available to deal with peaks of work related to Pantteg and the Council's capital programme. 4. Media protocol setting out the role of Members/Political spoke persons is in place. 5. Media training and social media training has been provided as part of the May 2017 Local government election induction programme

**Risk Controls**

Finalise corporate communications strategy - completed and approved							
<b>Control Title:</b>		Finalise corporate communications strategy - completed and approved					
<b>Control Owner:</b>		Karen Jones					
Solution	Responsible Officer	Department	Start Date	End Date	Reporting Frequency	Action Status	% Completed
<b>Risk Directorate:</b>		CHIEF EXECUTIVES					
<b>Risk Business Unit:</b>		THE DEPARTMENT OF THE ASSISTANT CHIEF EXECUTIVE AND CHIEF DIGITAL OFFICER					
<b>Risk Rating:</b>		Medium					
Realign workforce arrangements to deliver strategy - completed							
<b>Control Title:</b>		Realign workforce arrangements to deliver strategy - completed					
<b>Control Owner:</b>		Karen Jones					
Solution	Responsible Officer	Department	Start Date	End Date	Reporting Frequency	Action Status	% Completed
<b>Risk Directorate:</b>		CHIEF EXECUTIVES					
<b>Risk Business Unit:</b>		THE DEPARTMENT OF THE ASSISTANT CHIEF EXECUTIVE AND CHIEF DIGITAL OFFICER					
<b>Risk Rating:</b>		Medium					

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
Finalise corporate communications strategy - completed and approved	Completed	31/07/2018	Karen Jones
New approach to employee engagement being developed	In Progress	31/12/2018	Karen Jones
The roles of people in the corporate communication team have been revised and Management of Change has been applied to support people into new roles	Completed	31/07/2018	Karen Jones
Corporate branding and overarching work programme in development	In Progress	30/09/2018	Karen Jones
Realign workforce arrangements to deliver strategy - completed	Completed	31/07/2018	Karen Jones
Business partners to develop forward work programmes with the departments they are responsible for	In Progress	31/08/2018	Karen Jones
New approach to community engagement being developed	In Progress	30/09/2018	Karen Jones

<b>HR 3</b>	<b>The failure of the HR Division to deliver critical services, as a result of reductions in staff numbers linked to the FFP.</b>	<b>MEDIUM</b>
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**Primary Category:** Financial

**Responsible Officer:**

Sheenagh Rees

**Secondary Categories:**

**Secondary Responsible Officers:**

Charlotte Jane Morgan

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Medium
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

**Existing Controls**

1 Managing the service via the HR Business Plan and Performance Management System. Reviewing capacity and processes.

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
2017-2018 - same as above. Piloting robotic process automation -RPA on behalf of NPTCBC.	In Progress	31/03/2019	Sheenagh Rees
The Division has linked Business Plan priorities to service score cards, team priorities and personal objectives set out in Performance Appraisals, to ensure every member of staff understands priorities and what to deliver. March 17: Services and workload delivered in 2016/17 within budget and on target.	Completed	31/03/2018	Sheenagh Rees
The Division has identified ways of delivering some services in more innovative ways at lower costs in line with the Corporate Improvement Plan Objective 6 – Better Simpler Cheaper, including digitalising some services from 1st April 2016. The Division has prioritised the services which it can continue to deliver in discussion with Corporate Directors, and has agreed, where necessary, to set aside non priority services.	Completed	31/03/2018	Sheenagh Rees

<b>HR 1</b>	<b>The risk of legal challenge to workforce related strategies outlined in the Forward Financial Plan and the Corporate Improvement Plan</b>	<b>MEDIUM</b>
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**Primary Category:** Compliance

**Responsible Officer:**

Sheenagh Rees

**Secondary Categories:** Financial  
Reputational  
Resource

**Secondary Responsible Officers:**

Charlotte Jane Morgan

**Inherent**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Medium

**Existing Controls**

**Inherent**

1 The Management of Change in Partnership Policy has been reviewed in partnership with trade unions, to ensure managers have a clear legal framework to work within. The HR team will continue to support significant workforce change across the Council where it is resourced to do so and will ensure the established principles of Social partnership working with the trade unions are maintained. Additional support has been secured to support significant change and improvement programmes in SSHH.

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
The Management of Change in Partnership Policy has been reviewed in partnership with trade unions, to ensure managers have a clear legal framework to work within. The HR team will continue to support significant workforce change across the Council where it is resourced to do so and will ensure the established principles of Social partnership working with the trade unions are maintained. Additional support has been secured to support significant change and improvement programmes in SSHH.	Ongoing	31/03/2019	Sheenagh Rees
Jan 18 - On-going - HR team focused on management of change. HR team support and advice in relation to management of change.	In Progress	30/03/2019	Sheenagh Rees

CS51	The Council's arrangements for planning, policy and performance management do not comply with duties contained within the WBFG Act	MEDIUM
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**Primary Category:** Compliance

**Responsible Officer:**

Karen Jones

**Secondary Categories:** Reputational

**Secondary Responsible Officers:**

Caryn Furlow  
Nita Sparkes

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1. Corporate Plan has been revised to reflect the duties related to planning. 2. Annual report is to be produced in 2 parts in 2017/18 as a transition measure. 3. Corporate report template has been amended to cater for the sustainable development principle. 4. Equality impact assessment tool has been amended and piloted. 5. Pilot training course has been delivered

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Corporate strategy officers participate in the future generations network to discuss emerging practice across Wales	In Progress	30/09/2018	Caryn Furlow
Full training programme for all relevant managers to be delivered	In Progress	30/09/2018	Caryn Furlow
Formal assessment of compliance under revised audit regime to be completed by WAO	Not Started	31/03/2019	Karen Jones
Full training programme of Integrated Impact Assessment (IIA) for all relevant managers being delivered	In Progress	31/10/2018	Rhian Headon

CS18	That the level of service provided will be affected in areas where significant staff reductions have taken place.	LOW
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**Primary Category:** Compliance

**Responsible Officer:**

Dave Rees

**Secondary Categories:** Financial  
Reputational  
Resource

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 Reviewing and, where appropriate, redesigning the service prior to staff being allowed to leave.

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Monitoring of performance levels across all section of the Finance division	Ongoing	31/03/2020	Dave Rees

<b>CS27</b>	<b>Requirements of service areas not being met due to workload exceeding the resources available due to decreasing workforce</b>	<b>LOW</b>
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**Primary Category:** Resource

**Responsible Officer:**

Steve John

**Secondary Categories:**

**Secondary Responsible Officers:**

Ian John  
Ross Livingstone

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 Ensure that senior IT Managers are consulted for all projects that contain elements linked to ICT. Stronger ICT governance. Ensure tasks and targets published in the Business Plan are achievable by setting realistic target dates and managing resources effectively.

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Liaise with the Director of F&CS to highlight issues and risks and to develop mitigations.	In Progress	31/03/2019	Steve John



CS19B	Service quality and availability impacted by change in Senior Management over the next 18 months.	LOW
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**Primary Category:** Compliance

**Responsible Officer:**

Hywel Jenkins

**Secondary Categories:** Financial  
Reputational  
Resource

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 Succession planning process being implemented

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Rigorous appointment process carried out in a timely manner to ensure a smooth transition	Part Completed	31/03/2019	Hywel Jenkins



CS30	Total loss of all ICT Services due to significant fabric/Infrastructure loss	LOW
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**Primary Category:** Resource

**Responsible Officer:**

Steve John

**Secondary Categories:**

**Secondary Responsible Officers:**

Ian John  
Ross Livingstone

**Inherent**

<b>Impact</b>	High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 Enhanced environmental monitoring agents coupled with more robust Business Continuity processes

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Dual site duplication being implemented Continual review and testing of existing, and any new, plans.	In Progress	31/03/2019	Steve John

CS12B	That a balanced budget for 2019/20 is not produced in time that is sufficiently robust to meet the requirements of external audit scrutiny.	LOW
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**Primary Category:** Financial

**Responsible Officer:**

Dave Rees

**Secondary Categories:**

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 A rigid and robust process involving a minimum of Directors, Heads of Service and Members. The process is timetabled with clear deadlines and required outcomes. The 2019/20 budget will be approved by Council in Feb 2019

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Strict adherence to budget setting process	In Progress	28/02/2019	Dave Rees

**Primary Category:** Financial

**Responsible Officer:**

Karen Jones

**Secondary Categories:** Resource

**Secondary Responsible Officers:**

Nita Sparkes

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Certainty
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1. Up to date baseline of service costs and performance is in place. 2. Options to secure better value for money have been identified. 3. Preferred option to in-source work where there are synergies identified and external support to complete option appraisal identified

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
Business Case being developed	In Progress	31/12/2018	Karen Jones
Now secured APSE support to identify services currently out-sourced that could be in-sourced to secure improved value for money	Completed	30/09/2018	Karen Jones
Secure APSE support to identify services currently out sourced that could be in-sourced to secure improved value for money	In Progress	30/09/2018	Jayne Banfield

<b>HR EP1</b>	<b>Delivering an adequate emergency response and business continuity capability to mitigate against disruptive events, such as flooding or pandemic illness which pose significant social, economic and environmental risks to local communities and to the continued delivery of vital public services in and around Neath Port Talbot County Borough Council.</b>	<b>MEDIUM</b>
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**Primary Category:** Compliance

**Responsible Officer:**

Sheenagh Rees

**Secondary Categories:** Financial  
Reputational  
Resource

**Secondary Responsible Officers:**

Charlotte Jane Morgan

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1. March 17: The NPT Emergency Planning Team was established in March 2017 and developed programme of work is now in place to ensure effective arrangements are in place to prepare for, respond to and recover from major emergencies. June 17 Update: Current assessment of NPTCBC's readiness to respond to a critical incident is currently being assessed by the individual Directors and collated by NPT's Emergency Planning Team.

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
BSI scope has now been increased to include EPT roles and duties.	Completed	07/06/2018	Sheenagh Rees
Increase resources in terms of staff and admin	In Progress	31/03/2019	Sheenagh Rees
Seeking permanent funding for resources.	In Progress	31/03/2019	Sheenagh Rees

CS17	That the WAO cannot give assurance regarding the quality of audit work.	MEDIUM
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**Primary Category:** Compliance

**Responsible Officer:**

Dave Rees

**Secondary Categories:** Reputational

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 Annual audit plan which is approved by audit committee and agreed by WAO. Audit work reviewed by senior auditor/audit manager, plus quality control checks carried out by Head of Financial Services

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
All internal audit work is reported to audit committee. All internal audit reports are copies to WAO.	Ongoing	31/03/2019	Dave Rees

CS50	Risk that the Council will not be able to deliver new responsibilities created by the Welsh Government in relation to electoral reform	MEDIUM
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**Primary Category:** Compliance

**Responsible Officer:**

Karen Jones

**Secondary Categories:** Reputational

**Secondary Responsible Officers:**

Nita Sparkes

**Inherent**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Medium

**Revised**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1. Electoral services manager has strong links to Welsh Government policy division and the Cabinet Office and actively contributing to the development of the proposed legislation. 2. Electoral services team has been protected from budget cuts and consequently the Council has retained a sufficient and experienced electoral capacity

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Approaches to be made to Welsh Government and the Cabinet Office to explore the possibility of a part time secondment to be explored	Not Started	30/09/2018	Karen Jones
Electoral services to develop links to Welsh Government policy division and Cabinet Office to track the development of the proposed legislation	In Progress	31/08/2018	Karen Jones
Ensure there is a full impact assessment of proposals when published and feed details of any additional resource pressures into budget cycle	Not Started	31/03/2019	Karen Jones
Ensure there is full impact assessment of proposals when published and feed details of any additional resource pressure into budget cycle	Not Started	31/03/2019	Karen Jones



CS01B	Financial pressures throughout the 2018/19 year will not allow elements of the FFP to be achieved and/or will put pressure on other budget heads (New risk)	<b>LOW</b>
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**Primary Category:** Financial

**Responsible Officer:**

Dave Rees

**Secondary Categories:**

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 The budget monitoring process which will highlight pressures at the earliest possible stage and require managers to find solutions to those pressures and therefore retain net spending within the budget guidelines

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Actions taken by the senior management teams in response to budget monitoring reports	In Progress	31/03/2019	Dave Rees

CS49	Risk that opportunity to exploit the functionality of the replacement telephony system is not taken by customer services leading to loss of financial savings and customer satisfaction improvements	<b>LOW</b>
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**Primary Category:** Reputational

**Responsible Officer:**

Karen Jones

**Secondary Categories:** Resource

**Secondary Responsible Officers:**

Nita Sparkes

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1. Project officer in place to provide dedicated capacity to plan and introduce the replacement system. 2. 'Wish list' of system functionality developed by team leaders and communicated to the Head of ICT. 3. Visioning exercise to identify transformational opportunities created by the new technology completed and aligned with the Council's Digital by Choice agenda

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
Current plan to be developed - next steps	In Progress	31/10/2018	Karen Jones
Project plan developed to identify preferred milestones linked to service capacity	In Progress	31/03/2019	Karen Jones

HR COH&S 2	Failure to demonstrate effective risk management of Occupational Hazards/injuries & Occupational Health & Well-being of employees.	<b>LOW</b>
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**Primary Category:** Compliance

**Responsible Officer:**

Sheenagh Rees

**Secondary Categories:** Financial  
Reputational  
Resource

**Secondary Responsible Officers:**

Charlotte Jane Morgan

**Inherent**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 In-house Occupational health unit. Corporate Stress procedure & associated stress risk assessment. Maximising attendance at work policy.

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
External BSi audit in June.	Completed	07/06/2018	Sheenagh Rees
Review of internal OHU procedures.	In Progress	28/12/2018	Sheenagh Rees
Mental health at work strategy to be developed.	In Progress	31/03/2019	Sheenagh Rees

<b>CS15</b>	That there is a drop in performance in terms of the time taken to process benefits and in terms of the number of write offs required due to authority error.	<b>LOW</b>
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**Primary Category:** Financial

**Responsible Officer:**

Dave Rees

**Secondary Categories:** Reputational

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 Regular training that all benefits staff received particularly in relation to changes in rules and regulations surrounding benefits

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Regular monitoring of performance, and increased training and evaluation if required	Ongoing	31/03/2020	Dave Rees
Regular training that all benefits' staff receive particularly with regard to changes in the rules and regulations surrounding benefits.	Ongoing	31/03/2020	Dave Rees

<b>CS28</b>	<b>Inability to access, send and receive information from Police, DWP and other Government Agencies due to loss of Public Services Network (PSN) accreditation. This would lead to several services areas being unable to work.</b>	<b>LOW</b>
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**Primary Category:** Compliance

**Responsible Officer:**

Steve John

**Secondary Categories:**

**Secondary Responsible Officers:**

Ian John  
Ross Livingstone

**Inherent**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 Ensure that all areas of PSN Conditions of Connection are met.

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
Ensure that this is a standard entry on the workplan for the ICT division	In Progress	31/03/2019	Steve John

CS29	Inability to access key systems.	LOW
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**Primary Category:** Resource **Responsible Officer:** Steve John  
**Secondary Categories:** Compliance Financial Reputational **Secondary Responsible Officers:** Ian John Ross Livingstone

**Inherent**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 Provision of resilience through implementation of high availability redundant servers

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Dual site duplication being implemented	In Progress	31/03/2019	Steve John

<b>CS31</b>	<b>Unauthorised access to corporate facilities/information which could lead to loss of service or a financial penalty (max £500,000 (4% of annual turnover when the new regulation is enacted in May 2018))</b>	<b>LOW</b>
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**Primary Category:** Financial

**Responsible Officer:**

Steve John

**Secondary Categories:** Reputational

**Secondary Responsible Officers:**

Ian John  
Ross Livingstone

**Inherent**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Medium / High
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 Increased detection methods and better application security; annual penetration testing carried out

**Solutions**

<b>Mitigation Plan</b>	<b>Action Status</b>	<b>End Date</b>	<b>Responsible Officer</b>
Continue to support staff with targeted training and guidance Continual review and testing of Perimeter based and Information security.	In Progress	31/03/2019	Steve John

CS48	Risk that the opportunity to reduce the cost and improve the effectiveness of the Council's performance management arrangements is not exploited due to inadequate resourcing of the project	LOW
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**Primary Category:** Resource                      **Responsible Officer:** Karen Jones  
**Secondary Categories:** Reputational                      **Secondary Responsible Officers:** Nita Sparkes

**Inherent**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1. Heads of Service steering group established to lead the project
2. Project plan developed identifying resources required at each project stage
3. Work priorities of project team members revised to prioritise CAMMS implementation
4. Additional resource identified to deliver training component of the project

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Regular updates to Corporate Management Group to secure ongoing commitment to the project	Completed	31/03/2019	Karen Jones
Member training to be scheduled	Not Started	30/11/2018	Karen Jones
Post implementation review of the benefits of the system to be scheduled in December	Not Started	31/12/2018	Karen Jones
Business Plan pilot now completed and rolled out across the Council. Anticipating all Business Plans will be on the system by 31.08.18	In Progress	31/08/2018	Karen Jones



CS14B	That the Council Tax collection rate for 2018/19 will fall below the budgeted 97% collection rate	LOW
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**Primary Category:** Financial

**Responsible Officer:**

Dave Rees

**Secondary Categories:**

**Secondary Responsible Officers:**

Ross Livingstone

**Inherent**

<b>Impact</b>	Medium
<b>Likelihood</b>	Unlikely
<b>Risk Rating</b>	Low

**Revised**

<b>Impact</b>	Low / Medium
<b>Likelihood</b>	Very unlikely
<b>Risk Rating</b>	Low

**Existing Controls**

**Inherent**

1 Regular monitoring of the council tax collection rate; operation of the council tax recovery policy

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Immediate remedial action taken by experienced council tax staff, in terms of applying the various methods of collecting unpaid council tax	In Progress	31/03/2019	Dave Rees

OR133	WBFG Act is used as grounds for challenging Council decisions	MEDIUM
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**Primary Category:** Compliance

**Responsible Officer:**

Karen Jones

**Secondary Categories:** Reputational

**Secondary Responsible Officers:**

Caryn Furlow  
Nita Sparkes

**Inherent**

<b>Impact</b>	High
<b>Likelihood</b>	Likely
<b>Risk Rating</b>	Medium

**Revised**


**Existing Controls**

**Inherent**

1. IIA training being delivered

**Solutions**

Mitigation Plan	Action Status	End Date	Responsible Officer
Await outcome from current challenge on planning appeal and lessons learnt	In Progress		Karen Jones