

Appendix 2

Ref.	Risk	Cause / Impact	Risk Owner	Controls fully in place to manage the risk	Current Risk Rating				Further Actions necessary to manage the risk	Owner of Risk Action	Date for completion of action	Progress on actions	Target Risk Rating				Date reviewed
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	Examples: Ability to ... Management of ... Failure to ... Lack of ... Inappropriate ... Opportunity to ...	What is the cause of the risk? What will the impact be?	Who is responsible for the risk?	What controls are fully in place now?	See impact scoring matrix	See likelihood scoring matrix			Do you accept this level of risk? If yes, no further action is required. If no, decide what further actions need to be taken to manage the risk and list them here.	Identify officers responsible for each action	Agree deadline	Comment on what progress has been made and any problems or delays	See impact scoring matrix	See likelihood scoring matrix			Date of last review and update
R001	Failure (perceived or actual) of the Council to meet its 507B (Education Act 1996) statutory duty. Loss/termination of the Council delivered Open Access Youth Service.	The Council may struggle to meet its statutory duty if any Youth Development Centres were to close. Communities via Area Boards could be responsible for the development and provision of positive leisure-time activities in their areas. Some community areas may experience difficulties in taking on this responsibility due to a lack of sufficient capacity and skills. If the Council no longer provided an open access service this may result in a lack of suitable facilities for positive leisure-time activities. In addition, there may be a gap in provision during the transition from the current service to any new model of delivery. These factors may result in young people not having access to sufficient positive leisure-time activities for the improvement of their well-being, and sufficient facilities for such activities. This could lead to reputational damage to the Council and possible litigation. Communities and members of the public may unfavourably compare what was previously delivered with what is subsequently delivered.	11-19 Commissioner (James Fortune)	A community mapping exercise is underway at a local level to identify the potential mix of positive leisure-time activities and facilities in each community area. Area Board processes and delegated powers are already in place, but will need to ensure that the spend is appropriately targeted. The Council continues to provide a menu of other support for young people through its Early Intervention offer focused on those in most need of support. Community Campuses will include suitable space for positive leisure-time activities. Project governance includes representation from the legal team to ensure that the 507B statutory duty and relevant guidance is interpreted correctly. This should include educational as well as leisure activity as part of the offer. The Council aims to continue to provide targeted youth support to vulnerable young people, information about the local youth offer via Sparksite, confidential information & advice (The Line), and targeted positive leisure-time activities for young people with a physical and/or learning difficulty. The Council also provides support to help young people prepare for education, employment and training opportunities via its Skills4Success Programme and via the Leisure offer.	4	3	12	High	Work is on-going to put in place a process for mapping and developing a local positive leisure-time activities offer in each area. Strong corporate leadership will champion the final proposal and if a community led model is selected; Area Board terms of reference will incorporate a requirement to provide positive leisure-time activities if this is the selected option. In addition, guidance will be provided to Area Boards detailing the purpose of the funding available, with clarity about expectations. Where Area Boards fail to deliver on requirements, Council Commissioning staff could undertake the responsibility on their behalf and commission suitable provision.  There are examples in other areas where the approach has worked which the local authority can learn from. This is a transitional issue as the new agreed provision beds down in 2014/15.	11 - 19 Commissioner (James Fortune)	Sep-14	Local mapping exercise underway, being led by Community Area Managers Team/RSA.  Consultation with communities cannot commence until the proposals are public.  Three other consultation options are on the table. Risks to be reviewed in light of proposal selected by Cabinet but remains high at this stage.	3	2	6	Medium	
R002	Loss of local knowledge, skills and experience in the field of positive leisure-time activities/Youth work.	The possibility of significant staff redundancies particularly professional youth workers may result in gaps/inconsistencies in relation to the provision of positive leisure-time activities/early help interventions linked to an open access offer. A comprehensive open access Youth Service may be replaced with a positive activities budget in each area with reduced funding for those activities (as compared to current spend). Quality of such activities may also be affected. This risk could lead to reputational damage for the Council especially if there are any Youth Centre closures with the potential for young persons to be seen to be hanging around outside empty buildings with nothing to do before new arrangements fully take effect.	11-19 Commissioner (James Fortune)	A community mapping exercise is underway at a local level to examine existing positive leisure-time activities and physical assets that are available in each community. This exercise will determine the capacity of communities to respond and highlight any potential gaps and areas to target local responses. Community Area Boards already have local knowledge of positive activity provision as a result of an existing scheme whereby funding has been delegated to communities via Area Boards for youth projects over the last four years. Community Development Youth Advisors will assist Community Area Boards in meeting their responsibilities (enabling function) with a focus on building their capacity, skills and knowledge should this option be chosen. They will focus on supporting those areas in most need of support. Targeted Youth Support Workers will continue to provide targeted support to individual vulnerable young people and the Council will continue to provide targeted positive leisure-time activities for young people with a learning difficulty.	4	3	12	high	The Community model (if chosen) is reliant on there being enough VCS providers in each area to deliver. The 'market place' may need to be stimulated.  Cabinet will need to ensure that Area Boards are clearly mandated to deliver designated requirements if the community led option is chosen.  The highest risk may be during any transitional phase and would need to be planned for.	11 - 19 Commissioner (James Fortune)	Sep-14	Local mapping exercise underway, Consultation with communities cannot commence until the proposals are public.  Three other consultation options are on the table. Risks to be reviewed in light of proposal selected by Cabinet.	3	2	6	Medium	

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R003	Failure of the Council to meet its Public Sector Equality Duty and 507B (Education Act 1996) duty to ascertain the views of young people and take these into account.	Council members and Area Board deliverers not understanding their Public Sector Equality Duty and failing to adequately consider and assess the equalities issues and impact of proposals. Council failing to consult with young people (included those with protected characteristics) in a meaningful way about proposals and not taking their views into account during the process. This could lead to possible litigation and reputational damage to the Council.	Team Manager Voice & Influence Team	Paper to Cabinet about options/proposals is clear about the PSED and the requirement for Council Members to read through the report in full to understand the equalities issues and impact associated with each of the options. Members have been strongly advised to read the Equalities Impact Analysis document prior to the meeting. Members are reminded of the 507B (Education Act 1996) statutory duty and a formal consultation with young people and other key stakeholders (inc staff) is proposed as part of the process. This will include consultation with those with protected characteristics. This work will be led by the Council's Voice and Influence Team. The proposal to develop and implement a Community Led Model has been influenced by prior consultation with young people undertaken over the last 3 years. The Council's legal & HR team are overseeing the consultation process as members of the Project Management Group. The Council's Equalities Officer is leading on the EIA with input from across the Council.	4	2	8	Medium	The Council has examined in detail the North Somerset Council judgement and continues to learn from this. The Equalities Impact Analysis is a working document and will be continually reviewed and updated during the process, taking into account any emerging equalities issues.  Plans for the consultation of young people are coherent and strong.  If the community led option is selected, Area Boards will need to be supported by Community Youth Development Advisors to take account of their PSED when commissioning positive activities.	11-19 Commissioner (James Fortune)	Sep-14	Specific measures to be identified as per further actions column.	2	2	4	Low		
R004	Failure of Community Area Boards to spend allocated funding on positive leisure-time activities and instead divert it to other priorities if the community led model is the selected option.	Sufficient controls may not be in place over funding allocated to Area Boards. Funding may not be ring-fenced which could result in the resource available being used for other local priorities. This may result in young people within a particular community area not having access to sufficient positive leisure-time activities to improve their well-being. Consequently, the Council's statutory duty may not be sufficiently met in some parts of the county particularly in relation to the equalities duty. i.e. will marginalised groups require an equitable service (e.g. Gay young people etc) via positive activities approach as compared to the universal service they receive now? This could result in potential litigation and reputational damage to the Council.	11-19 Commissioner (James Fortune)	If the community led option is selected, Community Area staff work with Area Boards to support budget management, including ensuring that funds are spent appropriately and according to their purpose. The requirement to develop and provide positive leisure-time activities for young people will be built into the terms of reference or mandate for Area Boards, which are an executive function of the Council. To include clear guidance on the purpose of the funding and expectations for Area Boards. Community Development Youth Advisors will also assist Area Boards to help ensure that funding is used appropriately, to include development of a framework which will involve community areas accounting for monies spent and impact achieved.	4	3	12	High	Clear corporate/political direction and leadership to Area Boards.  Training and development for Area Boards staff and members. Funding to Area Boards for positive leisure-time activities will be ring-fenced.  Funding to Area Boards for positive leisure-time activities will be ring fenced.  Outcomes monitoring of new arrangements will need to be built in but inconsistency of provision might be a factor in some areas.	11-19 Commissioner (James Fortune)	Sep-14	Requirement to ring-fence funding will be necessary.	3	2	6	Medium		
R005	Failure to safeguard young people from harm or direct them towards appropriate early intervention support.	Fewer young people who are vulnerable and at risk of harm are identified within universal settings as a result of the Council no longer directly providing an open access youth work service. The failure to identify young people with problems at an early stage could cost the Council more money in the longer term as a result of more costly interventions by targeted/specialist services. Young people can also have their life chances damaged. Some Voluntary/Community Sector providers of positive leisure-time activities may not provide safe environments for young people. Some members of the public volunteering to support young people may not be safe to do so. Such delivery may not recognise early problems and concerns that young people have. These factors could lead to significant impacts on children, potential litigation and reputational damage to the Council.	HOS: Early Intervention 11-19 Commissioner	The biggest concern is young people not feeling able to access a safe space and say "I need help". A wide range of universal settings already exist within community areas, where young people who are vulnerable or at risk of harm can be identified, for example including schools, GPs, MAFs and voluntary/community sector. The Council will continue to provide targeted youth support to vulnerable young people, which will involve working in close partnership with community based positive leisure-time activity providers. Under a community led proposal resource will be available to support those young people in most need through specifically created posts (8 Fte). The Council provides funding and support to the Wiltshire Children and Families Voluntary Sector Forum to help ensure that voluntary/community sector providers of children and young people's services understand how to identify risk and refer into Council targeted and specialist services using Multi-Agency Thresholds Guidance issued by the Children's Trust and WSCB. A community led model may increase the range of universal settings where vulnerable yp can be identified. Robust safeguarding arrangements are already in place for the recruitment and management of volunteers within the Council. Develop provides advice and support for the VCS sector on the recruitment and management of volunteers. Community Development Youth Advisors will assist Community Areas Boards to embed robust arrangements for safeguarding young people. This will involve development of a quality assurance framework. As part of this a quality mark scheme will be developed for local providers of positive leisure-time activities. Advisors will also work in partnership with Develop to provide training to VCS providers of positive leisure-time activities with a strong focus on safeguarding. This will include training on the safe recruitment and management of volunteers. The Children's Services Contracts and Procurement Team will also undertake an accreditation exercise to identify suitable providers of positive leisure-time activities for use by community areas. This will also help to ensure that community area boards use providers who are deemed safe to work with young people, and provide safe environments.	4	3	12	High	Under the community led option; appointment of 8 Targeted youth Support Workers  Continued reconfiguration of Early Intervention Services across the Council and the Partnership.  Quality Mark Scheme in place for VCS providers  Continue to offer 'The Line' safeguarding helpline so young people can access help 24/7 if they need it.  Embedment of Multi-Agency approaches as outlined within the thresholds document - across the partnership. All partners and community area deliver on their safeguarding responsibilities.  Training and development in the area of safeguarding/E.I. for Area Board staff and members, and specific support to the VCS in respect of this.  We will need to guard against new roles placed in targeted services being subsumed into wider Children's Social Care operations.	HOS: Early Intervention & Youth (Mal Munday)	Dec-14		2	2	2	4	Low	

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R006	Savings target not achieved. (£500k)	Delay to programme due to significant time constraints and the need to appropriately consult. Also different options have different timescales attached to them (linked to legal processes). The programme needs to allow for not just consultation with staff but with YP and community stakeholders and has been lengthened to take account of this. This programme is in addition to savings made in IYS 2013/14 of £250K.	HOS: E.I. & Youth	Outline clear timetable. Accept timetable takes us up to six months into new financial year (possibly longer depending on the option selected which will dictate the timetable). Note early delay to commencement of process linked to corporate/political processes. (this has been acknowledged by Cabinet). Cabinet have already accepted that full year savings won't occur 2014/15 (rather circa £250-£377K). Full year savings (£500k) should be made in year 2 (2015/16) regardless of which option is selected.	4	3	12	High	Expedite timetable and phases within realms of reason and possibility (law and HR regulations) Tolerate position in Year 1 Discuss plans with Associate Director Operational Children's Services.	HOS: EI & Youth	Sep-14	Reported monthly	3	2	6	Medium	
R007	Integrated Youth Service management constrained capacity to deliver programme to staff.	Reduction in management capacity through earlier VR has reduced management capacity to deliver the HR programme to staff as required by law as up to *144 employees may need to be seen for a HR 1:1 in a three week window over the half term period (this could result in employment/employee litigation. * as at 22/01/14	HOS: E.I. & Youth (Mal Munday)	Agree management cover staffing options with Associate Director. Plan timetable accordingly. Flag any specific difficulties and seek additional management cover/input from other parts of Children's Services.	4	3	12	High	Plan timetable and draft in extra management cover if required if this can be identified. We have no choice but to deliver statutory HR functions. This work takes priority.	HOS: EI & Youth (Mal Munday)	Jun-14	Reported monthly	2	2	4	Low	
R008	Reputational damage to the Council (created by public reaction to proposals) which might be linked to them not being understood or accepted.	Failure of public to understand the 'new' Service offer (a different paradigm). Failure of ABs to 'own' the agenda. Comparing to the previous offer. Youth Centres closing in short term with no immediate 'visible' replacement.	Director of Comms 11-19 Commissioner	Implement Comms strategy. Decisive/clear political direction leadership.	4	3	12	High	Implement Comms strategy Decisive/clear political direction leadership	11-19 commissioner (James Fortune)	Dec-14	Reported monthly	3	2	6	Medium	
R009	Significant and adverse impact of reduction of Open Access Youth Service on tracking destinations and use of IYSS system.	IYSS system is designed for use by Open Access staff to record interventions and destination updates. Open Access staff also support 'field tracking' exercises. Confirming destinations and reducing unknowns is a significant national issue for which Wiltshire had DfE oversight in Feb 13.	HOS: E.I. & Youth (Mal Munday)	Scale up Call Centre to compensate for some loss Place requirement on VCS providers to provide destination information and updates if they are involved in any of the others selected. Tolerate loss of capacity and increased unknowns in the short term.	4	3	12	High	Design field tracking exercises to utilise staff across OCS not just IYS. Place requirements on VCS providers. Enhance Call Centre	HOS: EI & Youth (Mal Munday)	Sep-14	Tracking figures out monthly	3	2	6	Medium	

**Wiltshire Council Impact Scoring Criteria**

Score	Effect on service	Embarrassment/ reputation	Personal safety	Personal privacy infringement	Failure to provide statutory duties/meet legal obligations	Financial	Effect on project objectives/ schedule deadlines	ICT	Environment
<b>4 Significant</b>	Major loss of service, including several important areas of service and/ or for a protracted period  Service disruption 5+ days	Adverse and persistent national media coverage  Adverse central government response, involving (threat of) removal of delegated powers  Officer(s) and/ or Members forced to resign	Death of an individual or several people	All personal details compromised/ revealed	Litigation/ claims/ fines from Departmental £250k+  Corporate £500k+	Costing over £1m  Major increase on up to 75% of budget	Complete failure of project/ extreme delay - 3 months or more  All benefits fail to be realised	Total replacement of existing system  Major redevelopment required  Substantial impact on service	Significant/ excessive emissions to land, air or water; or disruption to plant and/ or animal life with long term effects (over 5yrs)
<b>3 Moderate</b>	Complete loss of an important service area for a short period  Moderate effect to services in one or more areas for a period of weeks  Service disruption 3-5 days	Adverse publicity in professional/ municipal press, affecting perception/ standing in professional/ local government community  Adverse local publicity of a major and persistent nature	Severe injury to an individual or several people	Many individual personal details compromised/ revealed	Litigation/ claims/ fines from Departmental £100k to £250K  Corporate £250k to £500k	Costing between £250k and £1m  Up to 50% of budget	Significant impact on project or most of expected benefits fail/ major delay of 2-3 months  Majority of benefits fail to be realised	Major configuration of existing system  Disruption to service	Severe emissions to land, air or water; or disruption to plant and/ or animal life with medium term effects (3-5yrs)
<b>2 Minor</b>	Minor effect to an important service area for a short period  Adverse effect to services in one or more areas for a period of weeks  Service disruption 2-3 days	Adverse local publicity/ local public opinion aware  Statutory prosecution of a non-serious nature	Minor injury to an individual or several people	Some individual personal details compromised/ revealed	Litigation/ claims/ fines from Departmental £25k to £100k  Corporate £50k to £250k	Costing between £50k and £250k  Up to 25% of budget	Adverse effect on project/ significant slippage of 3 weeks - 2 months  Some benefits fail to be realised	Basic IT requirements. Some minor configuration  Minimal disruption to service	Limited emissions to land, air or water; or disruption to plant and/ or animal life with short term effects (up to 2yrs)
<b>1 Insignificant</b>	Brief disruption of important service area  Significant effect to non-crucial services area  Service disruption 1 day	Contained within section/ Unit or Directorate  Complaint from individual/ small group, of arguable merit	Slight injury or discomfort to an individual or several people	Isolated individual personal details compromised/ revealed	Litigation/ claims/ fines from Departmental below £25k  Corporate below £50k	Costing less than £50k  Up to 10% of budget	Minimal impact to project  Slight delay less than 3 weeks  Minimal benefits fail to be realised	Basic IT requirements met  No disruption to service	Negligible emissions to land, air or water; or disruption to plant and/ or animal life with no lasting effects (Current)

**NB: Not all categories may apply to each risk. You need to come to a management consensus among your group.**

**Scoring criteria for likelihood**

SCORE	DESCRIPTION	INDICATORS
4 Almost Certain	More than 75% chance of occurrence	Regular occurrence Circumstances frequently encountered -daily/weekly/monthly
3 Possible	40% - 75% chance of occurrence	Likely to happen at some point within the next 1-2 years Circumstances occasionally encountered (few times a year)
2 Unlikely	10% - 40% chance of occurrence	Only likely to happen 3 or more years
1 Rare	Less than 10% chance of occurrence	Has happened rarely/never before