

Appendix D: Risk Register

Risk ID	Date Identified	Risk Owner	Risk Description	Likelihood	Impact	RAW Score	RAW Class	Control Measures	Likelihood	Impact	RES Score	RES Class	Action	Target Date	Status
EOTAS01	08/09/16	Lindsay Harvey	Failure to appoint suitably qualified and experienced Head of PRU and BSU	3	4	12		Maintain existing interim arrangements	2	4	8		Tolerate	October 2016	Open
EOTAS02	08/09/16	Lindsay Harvey	Insufficient revenue resources to support the proposed structure	5	5	25		Lead and other members fully included in the project from the outset. Early identification of costs. Cost Benefit ratio of the proposal fully developed and understood.	3	4	12		Treat	October 2016	Open
EOTAS03	08/09/16	Lindsay Harvey	Insufficient capital resources to support the accommodation requirement of the proposed structure	4	5	20		Feasibility Options fully explored and costed and benefits of preferred option fully developed. Synergy with current capital strategy	3	5	15		Treat	November 2016	Open
EOTAS04	08/09/16	Simon Evans (then hew head of the PRU when appointed)	Failure to appoint appropriately skilled staff to the new structure	3	4	12		Recruitment strategy needs to be clear as to staffing requirements of the new structure with robust appointment procedures developed and in place.	2	3	6		Tolerate	June 2017	Open
EOTAS05	08/09/16	Lindsay Harvey Simon	Staff and Union opposition to the proposals and any revised	3	4	12		Early and continued engagement with staff and	3	2	6		Tolerate	October November2016	Open

		Evans (then hew head of the PRU when appointed	working practices					unions with appropriate and timely information. Build understanding of the proposals. Early and consistent HR advice and support.						
EOTAS06	08/09/16	Rhodri Jones Simon Evans (then hew head of the PRU when appointed	Cultural change processes are not robust enough and schools fail to engage to keep children and young people in mainstream settings	4	5	20		Ensure comprehensive and timely information is provided to schools ensuring that official processes are clear and understood. Ensure that the benefits of the proposals are communicated clearly and understood. Provide opportunities for face to face discussions to address any concerns. Develop and implement supporting strategies (e.g. behaviour strategy). Identify change champions within the schools.	3	3	9		Treat	Open
EOTAS07	08/09/16	Nick Williams	Heads fail to engage with proposed Managed Moves Panel	4	5	20		Work with heads and deputy heads to explain the benefits of the proposed	3	3	9		Treat	Open

								Managed Moves Panel and be clear about any sanctions that could be imposed if Heads don't engage							
EOTAS08	08/09/16	Rhodri Jones	Wider stakeholder opposition	3	3	9		A clear communication and engagement strategy is in place. Co-production is fully defined, understood and taken forward with parents/carers and young people	2	2	4		Tolerate		Open
EOTAS09	08/09/16	Lindsay Harvey	National policy changes/ new guidance from Welsh Government	3	3	9		Ensure regular up to date information is provided and early identification of changes communicated. Undertake impact assessment should changes be forthcoming	2	2	4		Tolerate		Open
EOTAS10	08/09/16	Lindsay Harvey	Member support for the proposals and any difficult decisions (excluding finance) to be made during the project is not fully secured	3	4	12		Lead and other members fully briefed on proposals/ issues/problem as they arise	2	3	6		Treat		Open
EOTAS11	08/09/16	Lindsay Harvey	Timescale for implementation slips beyond	4	5	20		Contingency plans in place to ensure children	3	5	15		Treat		Open

		Simon Evans (then hew head of the PRU when appointed)	September 2017					and young people not disadvantaged							
EOTAS12	08/0916	Simon Evans (then hew head of the PRU when appointed) Gavin Evans	Adverse impact on the number of young people at risk of becoming NEET	3	4	12		Ensure that appropriate personalised learning is provided. Ensure information and data is used appropriately to provide early intervention and targeted support	3	4	12		Tolerate		Open
EOTAS13	08/09/16	Nick Williams	Supporting strategies (e.g. Behaviour Strategy) either not in place or fully developed to support proposals	3	4	12		Ensure appropriate resources are employed to develop strategies and that interface with EOTAS proposals are fully understood	3	4	12		Treat		Open