

AYRSHIRE SHARED SERVICE JOINT COMMITTEE

3 September 2021

Report by the Head of Roads - Ayrshire Roads Alliance

**AYRSHIRE ROADS ALLIANCE
RISK REPORT AND REGISTER**

PURPOSE OF REPORT

1. The purpose of this Report is to advise the Joint Committee on the management of risk associated with the Ayrshire Roads Alliance.

RECOMMENDATIONS

2. **It is recommended that the Joint Committee:**
 - i. **Notes the risk register presented in this report;**
 - ii. **Continues to receive updates on progress; and**
 - iii. **Otherwise, notes the content of the report.**

BACKGROUND

3. A report detailing the general approach to the Risk Report and Risk Register was presented to the Joint Committee on 21 August 2014, where it was agreed that the Risk Report and Risk Register would be a standing item on the agenda. This would ensure that the risks are monitored and scrutinised at a minimum of a quarterly basis.

MAIN REPORT/MAIN ISSUES

4. The management of risk aims to enable confident decision taking on risk and innovation, reduce waste and inefficiency, and lead to fewer unanticipated problems and crises that could undermine the performance and operation of the Ayrshire Roads Alliance.
5. The Risk Register is now in a new and improved format which will make it easier to review the individual risks which are now in a colour coded format.
6. The resulting revised risk register is contained in [Appendix 2](#).
Since the last Joint Committee, a new risk has been added:
Risk No 64 – Material Shortages and Price Increases

The revised risk register illustrates the red, amber and green status and also illustrates whether the risk severity relates to time, indicated by [T] or cost, indicated by [C].

POLICY/COMMUNITY PLAN IMPLICATIONS

7. A well maintained road network will contribute to achieving the Community Plan objectives in relation to Economy & Skills and Safer Communities to maintain good access to our communities within East Ayrshire.
8. The matters referred to in this report contribute to South Ayrshire Council strategic objective of 'Enhanced Environment through Social, Cultural and Economic Activities' and within that to the outcome 'Work with partners to improve roads and other infrastructure, to encourage house building and business investment that sustains local communities'.

LEGAL IMPLICATIONS

9. The Risk Register is a management tool and this will not replace the existing statutory returns for risk and performance related information.

HUMAN RESOURCES IMPLICATIONS

10. The Risk Register has no direct impact on human resources.

EQUALITY IMPACT IMPLICATIONS

11. The Risk Register complements the Equality Impact Assessment by ensuring that any issues arising are adequately prioritised, managed and either eliminated or mitigated.

FINANCIAL IMPLICATIONS

12. The Risk Register facilitates the existing scrutiny arrangements to manage, prioritise, and review the budget provided by East Ayrshire Council and South Ayrshire Council to the Ayrshire Roads Alliance.

RISK IMPLICATIONS

13. The Risk Register assists in the prioritisation of risks that need to be mitigated by the Ayrshire Roads Alliance in order to reduce the overall risk to either Council and to comply with the Community Plan/Council Plan in both partner bodies.

TRANSFORMATION STRATEGY

14. This Report aligns with the following design principle stated in the “Transformation Strategy 2017-2022”.
- “Maximum value for our communities”, by ensuring the various elements of the Ayrshire Roads Alliance improves transport provision throughout East Ayrshire.

Kevin Braidwood
Interim Head of Roads – Ayrshire Roads Alliance
20 August 2021

BACKGROUND PAPERS

None

LIST OF APPENDICES

1. Risk Register Scoring Matrix
2. Ayrshire Roads Alliance Risk Register

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Appendix 1: Risk Register Scoring Matrix

The Risk Matrix for deciding each of the risk factors (Likelihood x Severity) in a 5 by 5 matrix are illustrated in Table 1 below:

Table 1: Risk Factors in Practical Form

		Risk Likelihood				
		Rare (1)	Unlikely (2)	Possible (3)	Likely (4)	Almost Certain (5)
Risk Severity	Catastrophic (5)	⚠ 5	⚠ 10	✘ 15	✘ 20	✘ 25
	Very Serious (4)	✅ 4	⚠ 8	⚠ 12	✘ 16	✘ 20
	Moderate (3)	✅ 3	⚠ 6	⚠ 9	⚠ 12	✘ 15
	Minor (2)	✅ 2	✅ 4	⚠ 6	⚠ 8	⚠ 10
	Insignificant (1)	✅ 1	✅ 2	✅ 3	✅ 4	⚠ 5

Following on from Table 1, the following Summary Risk Profile is colour coded to highlight the risk classification:

Table 2: Summary Risk Profile

Assessed Risk (LxS)	Action Required
Low Risk: 1 to 4	Acceptable/ can be accepted provided risk is managed.
Medium Risk: 5 to 12	Undesirable/ must be avoided if reasonably practicable.
High Risk: 15 to 25	Unacceptable risk - must be eliminated or moved to a lower level.

APPENDIX 2: AYRSHIRE ROADS ALLIANCE RISK REGISTER

NOTE:

The Risk rating will be influenced by considering a combination of event effects
Such as associated cost, event duration, and organisational reputation.

The table below will provide some assistance with risk rating.

Incident Severity	Cost (£)		Time		Reputation
	Min	Max	Min	Max	
Insignificant (1)	£0	£10,000	0	1 day	Councillors/CEO
Marginal (2)	£10,001	£50,000	1 day	2 weeks	Local Media Facebook etc.
Significant (3)	£50,001	£500,000	2 weeks	1 month	Local Newspaper
Severe (4)	£500,001	£1,000,000	1 month	3 months	National Newspaper
Catastrophic (5)	£1,000,001	>£1,000,001	3 months	> 6 months	National News (TV)

To calculate the risk rating, multiply the Likelihood x Severity. Example.... <i>Possible (3) X Significant (3) = Medium Risk</i>		Critical (5)	Severe (4)	Significant (3)	Marginal (2)	Insignificant (1)	SEVERITY INDEX					
LIKELIHOOD INDEX	Highly probable (5)							25	20	15	10	5
	Probable (4)							20	16	12	8	4
	Possible (3)							15	12	9	6	3
	Unlikely (2)							10	8	6	4	2
	Very Unlikely (1)							5	4	3	2	1

KEY	
High Risk (16 – 25)	Risks are not acceptable under any circumstances. Immediate action required
Medium Risk (8 – 15)	Additional controls measures may be required.
Low Risk (1 – 6)	Continue to monitor as part of review process or where changes occur.

Risk ID	Risk Category	Risk Description	Risk Mitigation Actions	Likelihood	Severity	Risk Rating after Mitigation measures	Responsible for managing the risk	Risk Owner	Additional Comments	Date of last review
1	Personnel Shortage due to: Pandemic Event	Loss of trained and competent personnel from all sections within ARA due to pandemic event.	Business continuity plans in place (BUS-12, 13, & 14) to manage all ARA mission critical activities. Number of employees working from home significantly increased to minimise medium / long term disruption of service. Operational Personnel - re-assigned to other duties within the Council. Relaxing of UK driving regulations to maximise decreased LGV driver numbers. Additional usage of external contractors to ensure essential services / works programme targets are met. Covid safe workplaces / sites established to accommodate reduced number of staff. Further mitigation measures developed as national guidance information becomes available.	3	4	12	All Service Managers	Head of Roads – Ayrshire Roads Alliance	Further control measures to be developed/implemented as situation develops.	20/8/2021
2	Fuel Shortage	Loss or restriction due to relief events. Relief Event: Any event that has an effect on the cost of performing the Services, or the date of their completion, including the occurrence of risks both foreseen and unforeseen e.g. industrial action.	Mitigation measures in place to prioritise front line services as detailed in the specific Business Continuity Plans for offices and depots.	3	3	9	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Continuation of public support will be dependent on outcomes, though expect some mixed reaction.	20/8/2021

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3	Failure to align with Budget requirements	Level of investment required in road repairs and resurfacing and resulting cost of treatment higher than anticipated. Reduced budget could lead to the deterioration in the roads network, an increase in accidents, and insurance costs. Loss of parking income as a result of changing behaviour / work patterns due to Covid.	Uniform claims handling system aligned with the Roads Inspection and Maintenance policy. Appropriate financial and performance monitoring arrangements in place to mitigate the risk. Regular meetings with and within partners Councils to advice on further resource and funding requirements.	2	4	8	Business Support Manager	Head of Roads – Ayrshire Roads Alliance	Adequate control measures are in place, specifically, monthly meetings held with budget holders to review revenue budget and take appropriate corrective actions to bring budgets within tolerance limits. Monthly meeting with service managers to review capital budgets and programmes.	20/8/2021
4	Adverse Weather	Lack of trained and competent personnel including operatives and drivers to provide full complement required to fulfil all gritting routes due to lack of volunteers for existing staff, flu pandemic, mass resignation, strike action and breach of Working Time Directive and Driver Hours Legislation.	Procedures in place to manage a short / medium disruption of Driver / Operative Personnel including banking workers and overtime working as required. Over the long term there would be recruitment / procurement of the necessary experience to fill the gaps.	2	4	8	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Rolling programme established to ensure ongoing Health and Safety training. Appropriate and applicable checks are conducted on all new drivers to ensure that all reasonable precautions are taken to safeguard the 'O' licence, insurance payments and reputation. The service has extended the use of external companies to provide the winter service to increase resilience	20/8/2021
5	Loss of Street Lighting & Traffic Signals	Extended loss of Public Electricity supply creating issues with Street Lighting and Traffic Signals	Some temporary traffic signals will be provided at key locations determined by the Traffic Management Section should these issues arise. Temporary traffic signals deployed by RMU. Contingency measures detailed in Business Continuity Plans.	3	3	9	Traffic & Road Safety Manager	Head of Roads – Ayrshire Roads Alliance	We consider that the overall risk is low due to the mitigation measures that are in place	20/8/2021
6	Transfer of Shared Services – Ayrshire Roads Alliance	Any failure in Service provision would adversely affect the resilience of the Roads services.	Extensive negotiations have taken place to ensure that the proposed joint service meets stakeholders needs	2	2	4	Business Support Manager	Head of Roads – Ayrshire Roads Alliance	The new service is over five years old and it is considered that the initial transfer of the shared service has been completed. Nevertheless there will always remain issues on transfer issues which may still arise.	20/8/2021
7	Council's Waste Transfer Licence	Loss off / restrictions on waste transfer licence for all depots	Robust management systems and procedures in place to comply with Environmental legislation, permit conditions and health and safety	2	3	6	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	We consider the overall risk is low, due to the current waste management systems in operation.	20/8/2021
8	Failure to provide an adequate	Failure to provide an adequate Risk based approach and Inspection System in accordance with the approved,	There are procedures in place to manage this process:	2	4	8	Service Managers	Head of Roads – Ayrshire Roads Alliance	Following implementation of the Inspection Manual: Road Safety Inspections and defect categorisations from	20/8/2021

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	Roads Inspection System	Inspection Manual: Road Safety Inspections and defect categorisations.in accordance with the Well-Managed Highway Infrastructure: A Code of Practice.	<ol style="list-style-type: none"> Short term by prioritising and reducing other works activities and realigning budgets; Medium / long term there would be a request for additional budgets; Operatives can be assigned from other duties and overtime working approved. 						<p>1st April 2019 in accordance with the Well-Managed Highway Infrastructure: A Code of Practice the Ayrshire Roads Alliance</p> <p>a) Inspects the entire road network within East Ayrshire and South Ayrshire, with performance in relation to the percentage of safety inspections carried out within the timescale being reported to the Joint Committee under the Performance Scorecard standing item on the agenda.</p> <p>b) Categorise defects in accordance with a risk based approach ranking defects one to four as detailed in the Inspection Manual: Road Safety Inspections and defect categorisations</p> <p>c) Issue repair lines for defects on carriageways and footways with target response times determined by the category of defect, as identified in the Inspection Manual: Road Safety Inspections and defect categorisations</p> <p>d) Complete the vast majority of Category 1 defects within the target response time of two hours.</p>	
9	Personnel Shortage	Loss of trained and competent professional staff, through retirement.	Procedures are in place to manage short term issues by prioritising and reducing other works activities and realigning budgets.	2	3	6	Service Managers	Head of Roads – Ayrshire Roads Alliance	The staff numbers are reviewed whenever there are significant changes in staffing level. The Ayrshire Roads Alliance has Modern Apprentices who are providing a strong foundation for future staffing levels.	20/8/2021
10	Personnel Shortage due to:	Loss of trained and competent personnel including operatives and drivers due to mass resignation, strike action and	Procedures are in place to manage a short / medium disruption of Technical / Supervisory / operational Personnel including re-assignment of	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	We consider overall risk is low due to a combination of recruitment and selection to fill existing vacancies. In	

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	<ul style="list-style-type: none"> ➤ Strike Action ➤ Driver hour restrictions 	breach of Driver Hours Legislation	duties and controlled overtime working as required. Over long term there would be recruitment / procurement of the necessary experience to fill the gaps.						addition there is increased resilience form the external service providers for winter	20/8/2021
11	Adverse Weather	Reduction and /or loss of salt stock materials for Winter Service operations.	There is adequate salt stock resilience and conservation control measures. Transport Scotland has strategic salt stock piles.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	The Service has a framework salt supplier with a 14 day call down delivery. There is a joint agreement with other Councils to share available salt stocks. The existing weather service provides long term forecast indicating extreme and prolonged weather conditions.	20/8/2021
12	Business Continuity / Emergency Planning	Incident affecting one or more of the Ayrshire Roads Alliance service functions (including ICT Failure).	Business continuity plans developed for: Roads Maintenance (including the Winter Gritting Programme); Lighting Maintenance Unit; Network; Design and Traffic and Road Safety facilities within East Ayrshire and South Ayrshire.	2	4	8	Business Support Manager	Head of Roads – Ayrshire Roads Alliance	The overall risk is high due to the unknown nature of such an incident and because of the potential reputational damage and adverse effect on the service delivery, including discharge of statutory responsibilities.	20/8/2021
13	Benefits Realisation	Ayrshire Roads Alliance does not deliver the expected benefits outlined in the Detailed Business Case of June 2013.	Benefit Realisation Plan to track the delivery of each benefit and take corrective action where appropriate it has been developed.	2	3	6	Service Managers	Head of Roads – Ayrshire Roads Alliance	The overall risk is medium due to the various reviews outlined in the Benefits Realisation Strategy and Plan now progressing towards fruition. Internal management reports to be prepared reflecting on progress against Benefits Realisation Strategy. As at 1 April 2018 had realised budget savings of £2.031m against a target of £1.510m	20/8/2021
14	Performance	Performance Metrics are missed.	A standardised operational process and procedures has been developed to ensure efficient and effective processes and verification measures are in place.	1	4	4	Service Managers	Head of Roads – Ayrshire Roads Alliance	Performance metrics are reviewed and developed with the Pentana System being used to review performance. Performance is reviewed at every Management meeting.	20/8/2021
15	Procurement	Insufficient due diligence carried out by the Ayrshire Roads Alliance in the procurement of goods and services.	Standardised processes and procedures have been developed to ensure efficient and effective processes and verification measures are in place.	1	4	4	Service Managers	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021
16	Programme Management	Programme scope, schedule, objectives, cost and deliverables are not clearly defined or understood.	Clear definition of scope, schedule, objectives, cost, and deliverables through Service Improvement Plan, Benefits Realisation Strategy & Plan, and Customer Service Strategy.	1	4	4	Service Managers	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021

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17	Programme Management	Estimating and / or scheduling errors.	A Programme Plan has been developed which illustrates key activities, team, timing, milestones, and delivery of products.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021
18	Programme Management	Unplanned work that must be accommodated.	Incorporate unplanned work within Programme Plan and minimise impact on delivery of products through parallel processes when feasible.	1	4	4	Business Support Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021
19	Programme Management	Lack of co-ordination / communication	Programme co-ordination and communication conducted in accordance with Programme governance structure and in accordance with PRINCE 2 principles.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021
20	Programme Management	Underestimated support resources or overly optimistic delivery schedule.	Support resources and delivery schedule developed from robust Programme Plan and previous experience of similar Programmes.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Introduction of the appropriate Project Management software to deliver a unified programme across the Ayrshire Roads Alliance whilst utilising plant / resources efficiently.	20/8/2021
21	Programme Management	Unresolved Programme conflicts not escalated in a timely manner.	Programme conflicts recorded in Issues Log and progressed in accordance with reporting arrangements for project team.	2	4	8	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021
22	Programme Management	Unanticipated escalation in Programme costs as a result of uncontrolled changes or continuous inflation of a project's scope beyond initial remit.	Escalation of Programme costs addressed through appropriate and applicable corrective actions and control measures.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021
23	Programme Management	Unanticipated delays in Programme timescale as a result of uncontrolled changes or continuous inflation of a project's scope beyond initial remit.	Delay of Programme timescale addressed through appropriate and applicable corrective actions and control measures.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021

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24	Programme Management	Delay in earlier Programme phases jeopardises ability to meet programmed delivery commitment.	Incorporate delays within updated Programme Plan and minimise impact on delivery of products through parallel processes when feasible.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021
25	Programme Management	Communication Strategy to engage public awareness not planned on a joint Ayrshire basis	Ensure that a robust Communication Strategy and response network is developed during planning stages of Programme which incorporates sufficient key review stages to ensure effective communication of key messages regarding deliverables and progress.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed risk, hence reducing.	20/8/2021
26	Programme Management	Unforeseen agreements required to proceed with or conclude Programme.	Engage all appropriate and applicable requirements to ensure that amicable arrangements are put in place.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021
27	Programme Management	Priorities change on existing service delivery.	Ensure that changes on existing service delivery are communicated in accordance with the existing Service Level Agreement, namely that all parties agree and will abide by the philosophy of operating as a whole under the principle of what is best for the Council Tax payer, not necessarily the individual authority.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021
28	Programme Management	Inconsistent cost, time, scope and quality objectives resulting in time delays and further costs.	Ensure that cost, time, and scope estimates along with quality objectives are evidence based on experience from previous comparable Programmes.	2	4	8	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	20/8/2021
29	Programme Management	Affordability of future service payments.	Ensure that East Ayrshire Council and South Ayrshire Council are fully aware of the budgetary implications required to meet the on-going cost of service provision, as detailed in the DBC, and have fully committed sufficient financial resources following Business Case sign-off.	2	4	8	Head of Roads – Ayrshire Roads Alliance	East Ayrshire Council and South Ayrshire Council	Continue to present revenue financial monitoring report to Joint Committee. Four weekly meetings are held to discuss revenue and capital position of the Ayrshire Roads Alliance.	20/8/2021
30	Programme Management	Councils withdraw or cannot provide sufficient support, or agreed level of input is not provided resulting in Programme delays	Early identification of problems, and dialogue with Council.	1	4	4	Head of Roads – Ayrshire Roads Alliance	East Ayrshire Council and South Ayrshire Council	Managed Risk.	20/8/2021
31	Council's Operators Licence ('O' Licence)	Loss off / restrictions on Council's 'O' Licence.	There are the correct management controls in place, and these are robust and appropriate. Paperwork	2	4	8	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Continue to work with fleet service in East Ayrshire Council.	20/8/2021

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			issued to Road Traffic Commissioner for transfer of 'O' Licence.							
32	Health & Safety / Risk & Insurance	Insufficient investment, resources and on-going maintenance to resolve issues identified in Health & Safety surveys of depots are on-going. This also includes ensuring security is adequate. New harbour facility was constructed along with additional fencing, gates and stillage for timber. Dredging is carried out bi-annually. Works have been completed at lifeboat station and new sheet piling to be installed along timber jetty. The Ayrshire Roads Alliance operates from and manage risk of enforcement action and penalties should HSE become involved.	Issues identified in Health and Safety Surveys are recorded on Issues Log along with corrective actions to rectify / bring up to the required standard.	2	4	8	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	South Ayrshire Council continues to have ownership for and maintenance of depots/harbour within their area. Responsibility of funding the various mitigation actions identified in the Issues Log sits solely within the control of South Ayrshire Council. East Ayrshire Council has ownership and responsibility for their depots.	20/8/2021
33	Development Control – Road Bonds	Inadequate coupon values of Road Bonds exposes the Roads Authority to a potential shortfall if the roads works have to be completed by them in the event that a developer defaults.	The coupon value of Road Bonds that are more than three years old are reviewed to determine their adequacy. Where a shortfall is identified, the developer will be advised to increase the value of the Road Bond held when an application is made for an extension to the Road Construction Consent (RCC), which is normally valid for three years.	2	4	8	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	If the road authority is required to complete a development road then only the cost up to the value of the Road Bond can be recovered from the provider. Any shortfall has to be met by the roads authority. A complete review of the process of delivering road bonds has been completed	20/8/2021
34	Connect Roads	Residential loss of income to the Ayrshire Roads Alliance and expenditure incurred as a lighting maintenance subcontractor to Connect Roads on the M77/Southern Orbital, amount of exposure for Ayrshire Roads Alliance is up to £50,000 per year for the main contractor.	Ayrshire Roads Alliance will reduce exposure by limiting the amount owing to us at any one time. Ayrshire Roads Alliance will insist on payment by contractual terms or stop doing the work.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
35	Bridges and Structures	Inadequate inspection of bridges and culverts for deterioration due to aging, increased live loads, cracking, corrosion, environmental effects (freeze and thaw cycles) and fatigue	All principal bridge inspections currently up to date in South Ayrshire, with a rolling programme being developed for East Ayrshire along with additional resource for principal inspection work. All General Bridge inspections are up to date across both East Ayrshire and	2	4	8	Bridges & Design Manager	Head of Roads – Ayrshire Roads Alliance	Bridges and culverts are defined as structures with a span in excess of 900mm.	20/8/2021

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			South Ayrshire. Weak bridges are monitored on a regular basis. The Ayrshire Roads Alliance provides increased resilience in this matter.							
36	Bridges and Structures	Inadequate maintenance of structures, bridges and culverts due to aging, increased live loads, cracking corrosion, environmental effects (freeze and thaw cycles) and fatigue	Rolling programme of repair, rehabilitation or replacement (for weak bridges) through Council Capital Budgets.	2	4	8	Bridges & Design Manager	Head of Roads – Ayrshire Roads Alliance	Bridges and culverts are defined as structures with a span in excess of 900mm.	20/8/2021
37	Flooding	Potential loss of all Grant Aided Expenditure funding for flooding mitigation schemes administered by SEPA.	Seek capital funding from Council(s) for priority flooding mitigation schemes declared in Flood Risk Management Plan.	2	4	8	Bridges & Design Manager	Head of Roads – Ayrshire Roads Alliance	The Councils have a legal duty under the Flood Risk Management (Scotland) Act 2009 to implement flooding mitigation schemes declared in the Flood Risk Management Plan.	20/8/2021
38	Flooding	Receipt of less Grant Aided Expenditure funding than anticipated for flooding mitigation schemes administered by SEPA.	Seek capital funding from Council(s) to bridge funding gap for flooding mitigation schemes declared in Flood Risk Management Plan.	2	4	8	Bridges & Design Manager	Head of Roads – Ayrshire Roads Alliance	The Councils have a legal duty under the Flood Risk Management (Scotland) Act 2009 to implement flooding mitigation schemes declared in the Flood Risk Management Plan.	20/8/2021
39	Flooding	Potential lack of sufficient funding for flooding mitigation schemes if cost of schemes exceeds Grant Aided Expenditure (GAE) due to Relief Events or Force Majeure.	Seek capital funding from Council(s) to bridge funding gap for flooding mitigation schemes declared in Flood Risk Management Plan.	3	2	6	Bridges & Design Manager	Head of Roads – Ayrshire Roads Alliance	Only 80% of principal funding for flooding mitigation scheme. However increased costs due to relief events or force majeure is not funded.	20/8/2021
40	Financial	Potential swift decline in value of Pound Sterling due to Force Majeure or material adverse change resulting in increased costs in terms of fuel prices, interest rates and insurance premiums.	Mitigation measures would be put in place to prioritise front line services as detailed in the specific Business Continuity Plans for office, depot and harbour, as applicable	2	4	8	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk. The impact of the United Kingdom exit from the European Union has still to be evaluated. On-going discussions with Transport Scotland, COSLA and Ayrshire Roads Alliance on the impacts on the transport network.	20/8/2021
41	Contractual Agreement	Potential swift decline in value of Pound Sterling followed by market volatility over the short to medium term resulting in suppliers and contractors terminating agreements due to Force Majeure or material adverse change.	Mitigation measures would be put in place to prioritise front line services as detailed in the specific Business Continuity Plans for office, depot and harbour, as applicable.	3	3	9	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk. The impact of the United Kingdom exit from the European Union has still to be evaluated. On-going discussions with Transport Scotland, COSLA and Ayrshire Roads Alliance on the impacts on the transport network.	20/8/2021

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42	GDPR	The existing Data Protection Act 2018 was brought about by the General Data Protection Regulation (GDPR) which is an EU Regulation that sets out the changes that the UK will implement in a new Data Protection Act.	Follow Corporate Procedures	3	3	9	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
43	Presence of Coal Tar within the carriageway network	Coal Tar is a known material used in the construction of carriageways until the mid-80s and is now known as a carcinogen and hazardous waste material.	Reduce the level of risk by coring all works prior to design. Ensure an appropriate solution within the design is prepared which is either to retain in-situ and record presence, or remove and dispose of in accordance with current guidelines.	3	3	9	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed Risk; Ayrshire Roads Alliance has a duty of care to all employees in accordance with the Health and Safety at Work Act 1974, Construction Design and Management Regulations 2015 and the disposal of hazardous waste.	20/8/2021
44	Service	The impact of the United Kingdom exit from the European Union	Mitigation measures are in place to prioritise front line services as detailed in the specific Business Continuity Plans for office, depot and harbour as applicable.	4	3	12	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Managed risk. Ongoing discussions with Transport Scotland, COSLA and Ayrshire Roads Alliance on the impacts on the transport network.	20/8/2021
45	Transport	Increased cost of vehicle maintenance due to lack of investment in fleet replacement	To mitigate the risk of increased maintenance costs through lack of fleet investment a comprehensive maintenance programme is in place for all vehicles in addition to a vehicle replacement programme developed to identify the optimum life cycle for fleet.	3	3	9	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
46	Transport	Workshop performance and training levels	Without appropriate level of performance and training provision there is a risk to operational performance for management of the fleet. To address this, performance levels are monitored on a daily and weekly basis and ongoing training is provided to staff for refresher training as well as familiarisation training on new fleet and plant vehicles.	3	3	9	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
47	Transport	Loss of trained and competent professional staff through retirement or turnover	The movement of staff always has a chance of happening but to ensure the impact of this is minimised, an ongoing apprenticeship programme is in place with 2 apprentices in transport being trained in all aspects of fleet maintenance and repair.	3	4	12	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Due to retirements and staff leaving for better paid mechanic roles elsewhere the number of mechanics has fallen from 10 to 7. Multiple attempts have been made to recruit replacement mechanics with no success so	20/8/2021

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Risk ID	Risk Category	Risk Description	Risk Mitigation Actions	Likelihood	Severity	Risk Rating after Mitigation measures	Responsible for managing the risk	Risk Owner	Additional Comments	Date of last review
									far. Changes have been made to the recruitment process in terms of information being made available as well as channels used to advertise such as a higher number of social media websites. This issue is being closely monitored and further action may be required.	
48	Transport	Loss of restriction of fuel due to any event that has an effect on the Services provision of fuel to departments, including the occurrence of risks both foreseen and unforeseen e.g. industrial action	To mitigate the impact of losing access or having a restricted access to fuel, a contingency plan has been established which sets out the emergency management actions that will be taken that include designated fuelling stations and the prioritisation of fleet, putting non-essential vehicles off the road.	2	4	8	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Further mitigation measures have recently been put in place to allow for fuel to be drawn manually should there be a prolonged loss of electrical supply to the fuel pumps.	20/8/2021
50	Transport	Loss off / restrictions on Councils O Licence	A comprehensive maintenance regime has been established that follows all guidance from DVSA and the Traffic Commissioner to ensure that the O-Licence is protected. In addition, compliance activities are established and in place and a regular external audit is carried out by the Freight Transport Association every 2 years to ensure that all processes are performing to the required standard.	1	5	5	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
51	Transport	Loss of operational base for any reason (Crookedholm Depot)	To mitigate the impact of the loss of the transport depot and garage, business contingency plans have been developed that highlight how and where office based staff will work in addition to the steps to ensure that maintenance is undertaken, which would be to activate external maintenance frameworks.	1	3	3	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
52	Transport	Savings targets not achieved (as per the Best Value Service Review)	To mitigate the impact of the loss of the transport depot and garage, business contingency plans have been developed that highlight how and where office based staff will work in addition to the steps to ensure that maintenance is undertaken which would be to activate external maintenance frameworks.	1	3	3	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021

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53	Transport	IT systems loss from any cause for an extended period may potentially effect the operations of the transport service which in turn will affect service delivery and may cause reputational damage to the Council.	To prevent fallout from IT system failure, a business contingency plan has been developed as well as a back up process to revert to paper based recording systems for fleet management and maintenance.	1	3	3	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
54	Transport	Failure to comply with Health and Safety duties	To ensure that Health and Safety processes are always followed, this is a standing agenda item held at monthly management meetings. In addition to a separate H&S group that meets on a quarterly basis with the H&S Officer. Risk assessments and safe systems of work have also been developed and are in place with H&S assistance.	1	3	3	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
55	Transport	Loss of utilities for an extended time	Business continuity plans are in place to allow for the whole service to continue to function in the case that utilities are lost for an extended period of time.	1	3	3	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
56	Transport	Loss of confidential information and appropriate handling of information will lead to breaches of data protection and potential significant financial penalties being incurred by the Council	All staff that handle personal details have undertaken e-learning to advise of appropriate data protection steps required and where appropriate electronic systems are in place for recording and management of personal data to avoid paper being lost or misplaced.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
57	Transport	Passenger transport – late / non-attendance / vehicle breakdown by pick up vehicle – Failure of service as Service as user would miss Transport link connection / arrives late at destination activity / part activity	The delivery of passenger transport is managed on the Council's behalf by SPT. If there is an issue where there is a failure in service provision SPT would be required to organise a replacement service, working in conjunction with Officer locally within EAC.	2	2	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
58	Transport	Passenger transport – escort not in attendance ASN contracts / Council owned vehicles service failure. Service not able to be provided until escort arrives. Server user misses activity / part activity	Should an escort not be available H&SC services would arrange to provide another responsible individual available to ensure that the service can be delivered. In the unlikely case this cannot be accommodated, the parent would be notified and alternative arrangements	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021

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			made for the transport of the child to the school.							
59	Transport	No driver available to deliver service due to annual leave / sickness absence. Service not able to be provided service user misses activity / part activity	Any shortage of driver would result in arranging for an alternative qualified individual within transport services to drive, or to work with Coalfield Community Transport to deliver the service.	1	3	3	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
60	Transport	Passenger transport : Emergency closure of schools and contractors unable to provide transport within relevant timescales	Should schools need to close unexpectedly, all parents will be contacted to request that children are collected ASAP. Teachers will remain with children until the last one has been collected safely by a parent.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
61	Transport	Passenger Transport: Documentation out of date risk to service users. Potentially inappropriate individuals, inappropriate vehicles used being used to provide service	Documentation is reviewed and approved on an annual basis to ensure that the correct data is held for pupils, parents, schools and transport operator information.	1	5	5	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
62	Transport	Passenger Transport: Contractor unable to fulfil obligations due to bankruptcy etc. Service failure not able to be provided until alternative arrangements made. Server user misses activity / part activity	SPT manage all transport on behalf of EAC. In the case of a contractor going out of business, an alternative contractor will be sought. Where this cannot be provided, parents will be contacted and alternative arrangements may need to be made for the provision of transporting school children such as providing a mileage allowance to parents until an alternative solution can be implemented.	1	4	4	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021
63	Transport	Failure to mitigate the potential impacts of BREXIT including a worst case scenario “no deal” withdrawal	There remains a significant number of unknown issues surrounding Brexit as no trade deals have been struck with the EU yet. It is possible that there will be impacts on time and cost in relation to delivery of vehicles and parts from the EU but this remains unknown. The service has engaged with all suppliers to obtain up to date information on any potential issues that may be known and this will remain an ongoing process until the final details of Brexit emerges.	3	3	9	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		20/8/2021

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64	Material Shortages and Price Increases	<p>Steel products, timber, electrical equipment and aggregates have seen a price increase with aggregates prices falling back in the spring.</p> <p>This is as a result of COVID19 affecting suppliers, supply chains, shipping and transportation. Construction activity rose rapidly after lockdown.</p> <p>Increased admin at UK ports due to EU Trade Cooperation has resulted in increased transportation costs and surcharges.</p>	Where there are problems we are working with supplier to optimise deliveries to get procure best value under the circumstances.	4	3	12	Strategic Manager	Head of Service – Ayrshire Roads Alliance	This will be under constant review with contractors.	20/8/2021