

Current Key Controls	Current Key Controls	Current Key Controls	Current Key Controls	Current Key Controls
Working with relevant partners to develop public access methodologies	Staff are equipped for mobile/home working	Service priorities to be managed and partners informed of any changes to service	Budget available to use temporary staff or buy in use of other private sector providers in short term	Use of competent staff to undertake investigations
Procurement of mobile working solution is part of the project plan and timescales agreed by Management Board.	Touchdown stations available in partner council locations	Short term contract workers can be brought in to cover any priority areas	Effective negotiation of new contracts during 2015/16	Proper scheme of delegation to ensure authority to take legal decision is clear
	Negotiate arrangements with other partners for wider use of other locations as touchdowns. Also short term use of meeting space	Consultants can provide short term cover		Clear enforcement of policy in place
		Active within regional and sub regional groups to share resources if required		Ensure compliance with legal procedures
		Effective training and development processes in place to ensure recruitment and retention of staff		Effective liaison with partner councils legal services departments

Action Ref.	Rating	Actions / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements	Action Ref.	Rating	Action / Improvements
1.1	High	Design specification correctly and on time	2.1	Low	Mobile / flexible working equipment for all staff	3.1	Low	Have business continuity plan in place	4.1	Medium	Design specifications contracts correctly and on time	5.1	Medium	Legal advice to be sought throughout the entire process using internal and external lawyers according to the information required.
1.2	High	Follow procurement process in timely fashion	2.2	Low	Have business continuity plan in place	3.2	Medium	Active participation regional, sub regional groups by team members	4.2	Medium	Follow procurement process in timely fashion	5.2		
1.3	High	Ensure sufficient in-house support for system maintenance and	2.3			3.3			4.3	Medium	Restructure dog warden service	5.3		
1.4			2.4			3.4			4.4			5.4		
1.5			2.5			3.5			4.5			5.5		
1.6			2.6			3.6			4.6			5.6		
1.7			2.7			3.7			4.7			5.7		
1.8			2.8			3.8			4.8			5.8		
1.9			2.9			3.9			4.9			5.9		
1.10			2.10			3.10			4.10			5.1		
1.11			2.11			3.11			4.11			5.11		
1.12			2.12			3.12			4.12			5.12		
1.13			2.13			3.13			4.13			5.13		
1.14			2.14			3.14			4.14			5.14		
1.15			2.15			3.15			4.15			5.15		

Completed by: Wendy Martin
Job Title: Business Manager
Date: 12/09/2011

Key Objective: Ref. No. 6	
Robust arrangements in place to respond to an environmental incident/disaster	
Responsibility:	SJ
Associated Key Risk(s)	
Major infectious disease, incident or animal disease outbreak	
Impact(s)	
Negative media coverage if not handled well	
Impact on other service areas	
Well-being of staff	
Impact on local communities (health, economic, etc)	
Inability to contribute fully in event of an animal disease outbreak. Unable to fully meet the expectations of DEFRA and other partners	
High Impact Areas	
Financial	H
Political	H
Social	H
Technical	M
Legal	M
Environmental	H
Performance	M
Climate Change	L

Key Objective: Ref. No. 7	
Effective and efficient budgetary control	
Responsibility:	SJ
Associated Key Risk(s)	
Failure to maintain effective budgetary control	
Impact(s)	
Financial loss	
Inability to pay staff/contractors	
Reputational damage	
High Impact Areas	
Financial	H
Political	H
Social	M
Technical	L
Legal	M
Environmental	L
Performance	M
Climate Change	L

Key Objective: Ref. No. 8	
Service provision complies with Government requirements	
Responsibility:	SJ
Associated Key Risk(s)	
Criticism or intervention by Government if they are unhappy with service provision	
Impact(s)	
Reputational damage	
High Impact Areas	
Financial	L
Political	M
Social	L
Technical	L
Legal	L
Environmental	L
Performance	L
Climate Change	L

Key Objective: Ref. No. 9	
Achieve stable levels of contribution from partner authorities,	
Responsibility:	MB
Associated Key Risk(s)	
Level of support from constituent authorities for Regulatory Services will vary due to variations in income	
Loss of economies of scale achieved by delivering same service county-wide	
Increase proportion of overhead:delivery cost ratio for partners who make significant reductions	
Impact(s)	
Changes to partner contributions impact on service provision by WRS for all partners	
Service planning becomes more difficult	
High Impact Areas	
Financial	H
Political	H
Social	H
Technical	L
Legal	L
Environmental	L
Performance	M
Climate Change	L

Key Objective: Ref. No. 10	
Host provides high quality support services to ensure effective service provision	
Responsibility:	KD
Associated Key Risk(s)	
Failure of HR/ Finance support	
Failure of ICT support	
Cost of hosting may increase and level of support required may not be met resulting in the service performance being affected.	
Impact(s)	
Poor quality ICT provision and support leading to data loss and service disruption	
Service suffers due to lack of capacity	
High Impact Areas	
Financial	H
Political	M
Social	M
Technical	H
Legal	L
Environmental	L
Performance	M
Climate Change	L

Current	
Impact	Likelihood
High	Low
Risk Colour (Score)	
RED (6)	

Acceptable	
Impact	Likelihood
High	Low
Risk Colour (Score)	
AMBER (3)	

Current	
Impact	Likelihood
Medium	Low
Risk Colour (Score)	
GREEN (2)	

Acceptable	
Impact	Likelihood
Medium	Low
Risk Colour (Score)	
GREEN (2)	

Current	
Impact	Likelihood
Low	Low
Risk Colour (Score)	
GREEN (1)	

Acceptable	
Impact	Likelihood
Low	Low
Risk Colour (Score)	
GREEN (2)	

Current	
Impact	Likelihood
High	Low
Risk Colour (Score)	
AMBER (3)	

Acceptable	
Impact	Likelihood
Medium	Low
Risk Colour (Score)	
GREEN (2)	

Current	
Impact	Likelihood
Medium	High
Risk Colour (Score)	
RED (6)	

Acceptable	
Impact	Likelihood
Medium	Low
Risk Colour (Score)	
GREEN (2)	

Current Key Controls	Current Key Controls	Current Key Controls	Current Key Controls	Current Key Controls
Maintain robust emergency plans	Devolution of cost centres to managers	Keep key government stakeholders apprised of WRS plans and business transformation and address any concerns at an early stage		Transfer of ICT hosting to Wyre Forest and a review of performance will be made after 12 months
An arrangement in place for Managers to deploy staff to support other teams	Monthly reporting within WRS			
Have mutual aid arrangements in place with neighbouring authorities	Quarterly reporting to management board and Joint Committee			
	Compliance with Bromsgrove's financial procedures			

Action Ref.	Rating	Action / Improvements
6.1	Medium	Maintain emergency plans for foreseeable incidents
6.2		
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Action Ref.	Rating	Action / Improvements
7.1	Medium	Monthly monitoring of budgets
7.2	Low	Regular report to Management Board
7.3		
7.4		
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Action Ref.	Rating	Action / Improvements
8.1	Low	Ongoing liaison with Government stakeholders
8.2		
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Action Ref.	Rating	Action / Improvements
9.1	High	Partners conform with legal agreement on budgetary cost
9.2		
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Action Ref.	Rating	Action / Improvements
10.1	Medium	Maintain ongoing liaison with host authority
10.2	Medium	Ensure Management Board informed of significant failings
10.3	High	Host authority to deal with issues in a timely fashion
10.4		
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Key Objective: Ref. No. 11	
Minimise any perceived or real democratic deficit	
Responsibility:	MB/JC
Associated Key Risk(s)	
Local Member / Citizen identifies or perceives lack of democratic accountability for new service	
Impact(s)	
Members may not buy into the Shared Service arrangement	
Citizens may have concerns over loss of localised provision	
Members and citizens may perceive that the joint service is not as good as the previous one.	
High Impact Areas	
Financial	L
Political	H
Social	L
Technical	L
Legal	L
Environmental	L
Performance	L
Climate Change	L

Key Objective: Ref. No. 12	
Effective communication with internal partners	
Responsibility:	SJ
Associated Key Risk(s)	
Communication / interface with other services	
Impact(s)	
Some elements of the new service have key links back to services within the authorities e.g. Planning. These cannot be lost otherwise processes will not work properly	
High Impact Areas	
Financial	M
Political	M
Social	L
Technical	L
Legal	L
Environmental	L
Performance	L
Climate Change	L

Key Objective: Ref. No. 13	
Development where possible of harmonised approach to service delivery by partners	
Responsibility:	MB
Associated Key Risk(s)	
Partners current model is to have a core base level on top of which they can buy additional services. This effectively eliminates the harmonisation approach as each partner has a service tailored to its demands.	
Impact(s)	
Post code lottery on provision and charges, makes things difficult for any front end (i.e. HUB) to advise as there will be different provisions in different areas.	
Difficult conditions in different areas, Business customers operating in more than one area face different requirements from the same service	
Some fees may be open to challenge as a standard processing system will be in place but fees will be different.	
High Impact Areas	
Financial	L
Political	M
Social	L
Technical	L
Legal	L
Environmental	L
Performance	L
Climate Change	L

Key Objective: Ref. No. 14	
Business transformation to deliver required cost savings	
Responsibility:	
Associated Key Risk(s)	
Service delivery problems	
Cuts in front line services	
Impact(s)	
Reduced service delivery	
High Impact Areas	
Financial	H
Political	M
Social	M
Technical	L
Legal	L
Environmental	M
Performance	M
Climate Change	L

Key Objective: Ref. No. 15	
Shunting of cost from other public services if partners seek to off load activity or other regulatory services fail to deliver in their areas	
Responsibility:	
Associated Key Risk(s)	
Service delivery has to focus more on problematic areas which are high cost	
Impact(s)	
Reduced breadth of service delivery	
Increased cost to partners	
High Impact Areas	
Financial	H
Political	M
Social	M
Technical	L
Legal	M
Environmental	L
Performance	M
Climate Change	L

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Low	Medium	Low	Medium
Risk Colour (Score)		Risk Colour (Score)	
GREEN (2)		GREEN (2)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Low	Low	Low	Low
Risk Colour (Score)		Risk Colour (Score)	
GREEN (1)		GREEN (1)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Low	Medium	Low	Medium
Risk Colour (Score)		Risk Colour (Score)	
AMBER (3)		GREEN (2)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Medium	High	Medium	Low
Risk Colour (Score)		Risk Colour (Score)	
RED (6)		GREEN (2)	

Current		Acceptable	
Impact	Likelihood	Impact	Likelihood
Medium	Medium	Medium	Medium
Risk Colour (Score)		Risk Colour (Score)	
AMBER (4)		AMBER (4)	

Current Key Controls

Current Key Controls

Current Key Controls

Current Key Controls

Current Key Controls

Action Ref.	Rating	Action / Improvements
11.1	Medium	Ensure good communications back to the constituent authorities
11.2	Low	Ensure all publicity pushes the joint nature of services
11.3	Low	Maintaining "localism" into the operational delivery
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Action Ref.	Rating	Action / Improvements
12.1	Medium	Ongoing liaison with relevant parts in partner councils (eg Planning)
12.2		
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Action Ref.	Rating	Action / Improvements
13.1	Medium	Have clear scripting for Customer Service staff so that they know the different provisions in each district
13.2	Medium	Gradually move towards a more standardised approach within the demands of individual local authorities
13.3		
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Action Ref.	Rating	Action / Improvements
14.1	High	Clear timetable for application of systems thinking in all areas
14.2	High	Implement changes in timetable
14.3	Medium	Effective communication with staff around change procedures
14.4	Medium	Regular reports to Management Board
14.5	Low	Ensure all managers and senior practitioners have had change management training
14.6		
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14.15		

Action Ref.	Rating	Action / Improvements
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Key Objective: Ref. No. 16

Taking on additional partners and commercial trading

Responsibility:

Associated Key Risk(s)

Potential financial risk to partners in relation to trading activities

Delivering over a wider service area may lead to reduced influence for individual partners locally

Not achieving the projected income levels

Impact(s)

Larger economies of scale may deliver potential further savings

If it goes wrong, potential for higher costs

If income levels not reached service would have to reduce headcount and therefore deliver lesser service levels and have reduced resilience.

High Impact Areas

Financial	M
Political	M
Social	L
Technical	L
Legal	L
Environmental	L
Performance	M
Climate Change	L

Current	
Impact	Likelihood
Low	Low
Risk Colour (Score)	
AMBER (4)	

Acceptable	
Impact	Likelihood
Low	Low
Risk Colour (Score)	
GREEN (2)	

Current Key Controls

Action Ref.	Rating	Action / Improvements
15.1		
15.2		
15.3		
15.4		
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15.10		
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15.12		

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15.14		
15.15		

Risk Scorecard

Category	IMPACT		
	LOW	MEDIUM	HIGH
Financial	< £150k Minor non-compliance with internal financial procedures	£150k - £300k Significant non-compliance with internal financial procedures	> £300k Major non-compliance with internal financial procedures
Political	Minor issues identified by assurance reviews Minor adverse Local media Minor BVPI issues	Significant issues identified by assurance reviews Significant adverse Local media Significant BVPI issues	Major issues identified by assurance reviews Major adverse Local, Regional or National media Major BVPI issues
Social	Service delay Stakeholders consulted and concerns considered	Service suspended Limited stakeholder consultation	Service cancelled Stakeholders not consulted and concerns not considered
Technical	Minor system problems Minor impact on resources (staff, equipment, buildings, etc.)	Significant system problems Significant impact on resources (staff, equipment, buildings, etc.)	Major system problems Major impact on resources (staff, equipment, buildings, etc.)
Legal	Minor non-compliance with legislation or statutory requirements Minor penalty or warning	Significant non-compliance with legislation or statutory requirements Significant penalty or warning	Major non-compliance with legislation or statutory requirements Major penalty or warning
Environmental	Minor District health or cleanliness issues Minor schemes not consistent with stakeholder expectations	Significant District health or cleanliness issues Significant schemes not consistent with stakeholder expectations	Major District health or cleanliness issues Major schemes not consistent with stakeholder expectations
Performance (WETT, Shared Service)	Minor dip in productivity/performance as a result of shared service implementation	Significant dip in productivity/performance as a result of shared service implementation	Major dip in productivity/performance as a result of shared service implementation
Climate Change (Severe Weather Events)	Minor service delay e.g. waste collection cancelled as a result of snow; prolonged heat leading to melting roads; increased risk of fires.	Significant disruption to services e.g. potential risk to health; lack of power.	Major service delivery issues e.g. leading to loss of life; major damage to property, disruption to local economy.

Risk Matrix

	Category	Impact		
		LOW	MEDIUM	HIGH
Likelihood	HIGH	3	6	9
	MEDIUM	2	4	6
	LOW	1	2	3

Action Ratings

High	Actions that are fundamental to improve the control environment and progress towards an acceptable risk score.
Medium	Actions that are important to improve the control environment and progress towards an acceptable risk score.
Low	Actions that are desirable to improve the control environment and progress towards an acceptable risk score.

Category	LIKELIHOOD		
	LOW	MEDIUM	HIGH
Occurrence	> 18 months	6 - 18 months	< 6 months
Probability	< 30%	30% - 70%	> 70%

Risk Register

Service: Worcestershire Regulatory Services	Current Position Key:
RED	Behind Target
GREEN	On Target
BLUE	Completed

Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
1	One effective and efficient database system across the partners enabling remote working, self service and on-line payment	1.1	Design specification correctly and on time	SW	Business Manager	Oct-11	High		
		1.2	Follow procurement process in timely fashion	SW	Business Manager	Mar-12	High		
		1.3	Ensure sufficient in-house support for system maintenance and	SW	Business Manager	Mar-12	High		
		1.4							
		1.5							
		1.6							
		1.7							
		1.8							
		1.9							
		1.10							
		1.11							
		1.12							
		1.13							
		1.14							
		1.15							
2	Effective and efficient Business Continuity arrangements in place	2.1	Mobile / flexible working equipment for all staff	Team Managers	Team Managers	Dec-11	Low		
		2.2	Have business continuity plan in place	Level B	Business Manager	Mar-12	Low		
		2.3							
		2.4							
		2.5							
		2.6							
		2.7							
		2.8							
		2.9							
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		2.13							
		2.14							
		2.15							

Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
3	Maintain our capacity to achieve service delivery	3.1	Have business continuity plan in place	Level B	Business Manager	Mar-12	Low		
		3.2	Active participation regional, sub regional groups by team members	Team Managers	Team Managers	Ongoing	Medium		
		3.3							
		3.4							
		3.5							
		3.6							
		3.7							
		3.8							
		3.9							
		3.10							
		3.11							
		3.12							
		3.13							
		3.14							
		3.15							
4	Effective and efficient arrangements for contracted elements of dog control	4.1	Design specifications contracts correctly and on time	WM/AF	Business Manager/Team Manager (Central Operations)	Sep-11	Medium		
		4.2	Follow procurement process in timely fashion	WM/AF	Business Manager/Team Manager (Central Operations)	Dec-11	Medium		
		4.3	Restructure dog warden service	Level B/AF	Business Manager/Team Manager (Central Operations)	Mar-12	Medium		
		4.4							
		4.5							
		4.6							
		4.7							
		4.8							
		4.9							
		4.10							
		4.11							
		4.12							
		4.13							
		4.14							
		4.15							
5	Robust arrangements in place in relation to obtaining legal advice and monitoring legislative changes	5.1	Legal advice to be sought throughout the entire process using internal and external lawyers according to the information required.	Team Managers	Team Managers	Ongoing	Medium		
		5.2							
		5.3							
		5.4							
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		5.7							
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		5.14							
		5.15							

Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
6	Robust arrangements in place to respond to an environmental incident/disaster	6.1	Maintain emergency plans for foreseeable incidents	Team Manager	Team Managers	Ongoing	Medium		
		6.2							
		6.3							
		6.4							
		6.5							
		6.6							
		6.7							
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		6.12							
		6.13							
		6.14							
		6.15							
7	Effective and efficient budgetary control	7.1	Monthly monitoring of budgets	Team Managers	Team manager	Ongoing	Medium		
		7.2	Regular report to Management Board	SJ	Head of Regulatory Services	Ongoing	Low		
		7.3							
		7.4							
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		7.14							
		7.15							
8	Service provision complies with Government requirements	8.1	Ongoing liaison with Government stakeholders	SJ	Head of Regulatory Services	Ongoing	Low		
		8.2							
		8.3							
		8.4							
		8.5							
		8.6							
		8.7							
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		8.12							
		8.13							
		8.14							
		8.15							
9	Achieve stable levels of contribution from partner authorities,	9.1	Partners conform with legal agreement on budgetary cost	Management Board	Management Board members	Ongoing	High		
		9.2							
		9.3							
		9.4							
		9.5							

Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
		9.6							
		9.7							
		9.8							
		9.9							
		9.10							
		9.11							
		9.12							
		9.13							
		9.14							
		9.15							

Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
10	Host provides high quality support services to ensure effective service provision	10.1	Maintain ongoing liaison with host authority	Team Managers and Senior Management Team	Head of Regulatory Services, Business Managers and Team Managers	Ongoing	Medium		
		10.2	Ensure Management Board informed of significant failings	SJ	Head of Regulatory Services	Ongoing	Medium		
		10.3	Host authority to deal with issues in a timely fashion	KD	Chief Executive, Bromsgrove	Ongoing	High		
		10.4							
		10.5							
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		10.8							
		10.9							
		10.10							
		10.11							
		10.12							
		10.13							
		10.14							
		10.15							
11	Minimise any perceived or real democratic deficit	11.1	Ensure good communications back to the constituent authorities	Team Managers and Senior Management Team	Head of Regulatory Services, Business Managers, Team Managers	Ongoing	Medium		
		11.2	Ensure all publicity pushes the joint nature of services	Team Managers and Senior Management Team	Head of Regulatory Services, Business Managers, Team Managers	Ongoing	Low		
		11.3	Maintaining "localism" into the operational delivery	Senior Management Team	Head of Regulatory Services, Business Managers,	Ongoing	Low		
		11.4							
		11.5							
		11.6							
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		11.9							
		11.10							
		11.11							
		11.12							
		11.13							
		11.14							
		11.15							
12	Effective communication with internal partners	12.1	Ongoing liaison with relevant parts in partner councils (eg Planning)	Team Manager	Team Managers	Ongoing	Medium		
		12.2							
		12.3							
		12.4							
		12.5							
		12.6							
		12.7							
		12.8							
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		12.14							
		12.15							

Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
13	Development where possible of harmonised approach to service delivery by partners	13.1	Have clear scripting for Customer Service staff so that they know the different provisions in each district	Team Manager	Team Managers	Ongoing	Medium		
		13.2	Gradually move towards a more standardised approach within the demands of individual local authorities	Senior Management Team	Head of Regulatory Services, Business Managers	Ongoing	Medium		
		13.3							
		13.4							
		13.5							
		13.6							
		13.7							
		13.8							
		13.9							
		13.10							
		13.11							
		13.12							
		13.13							
		13.14							
		13.15							

14	Business transformation to deliver required cost savings	14.1	Clear timetable for application of systems thinking in all areas	DM	Team manager Support Services	Sep-11	High		
		14.2	Implement changes in timetable	Team Managers and Senior Management Team	Head of Regulatory Services, Business Managers, Team Managers	Dec-11	High		
		14.3	Effective communication with staff around change procedures	Team Managers and Senior Management Team	Head of Regulatory Services, Business Managers, Team Managers	Ongoing	Medium		
		14.4	Regular reports to Management Board	SJ	Head of Regulatory Services,	Ongoing	Medium		
		14.5	Ensure all managers and senior practitioners have had change management training	Senior Management Team	Head of Regulatory Services, Business Managers,	30/09/2011	Low		
		14.6							
		14.7							
		14.8							
		14.9							
		14.10							
		14.11							
		14.12							
		14.13							
		14.14							
		14.15							

15	Shunting of cost from other public services if partners seek to off load activity or other regulatory services fail to deliver in their areas	15.1							
		15.2							
		15.3							
		15.4							
		15.5							
		15.6							
		15.7							
		15.8							
		15.9							
		15.10							

Key Risk Ref. No.	Key Risk	Action Ref.	Actions / Improvements	Responsible Officer (Name)	Responsible Officer (Job Title)	Target Completion Date (Month/Year)	Rating	End of Year Position	Comments
		15.11							
		15.12							
		15.13							
		15.14							
		15.15							

Completed by:	Wendy Martin
Job Title:	Business Manager
Date:	40798