

AYRSHIRE SHARED SERVICE JOINT COMMITTEE

24 September 2024

Report by the Head of Roads – 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 on a quarterly basis.

Main report/main issues

- 4 The management of risk aims to enable confident decision taking on risk, 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 contained in Appendix 1.

Since the last Joint Committee, the Report has been condensed and renumbered. There have been 5 Risks removed from the Risk Register. The Risks that have been removed are:

Risk 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.

Risk 46 – Transport - Workshop performance and training levels.

Risk 52 – Transport - Savings targets not achieved (as per the Best Value Service Review).

Risk 63 – Transport - Failure to mitigate the potential impacts of BREXIT including a worst case scenario “no deal” withdrawal.

Risk 70 – EV Charging Tariff - Negative feedback to both authorities

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].

Implications

Implications	Yes	No	Paragraph number in report
1. Policy/Strategic Planning	Yes		6 and 7
2. Governance	Yes		8
3. Human Resources	Yes		9
4. Equality and Fairer Scotland Duty	Yes		10
5. Financial	Yes		11
6. Risk	Yes		12
7. Community Wealth Building	Yes		13
8. Net Zero	Yes		14

Policy/strategic planning implications

6. 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.
7. 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’.

Governance Implications

8. The work of the Ayrshire Roads Alliance is undertaken in accordance with relevant legislation.

Humans resources Implications

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

Equality impact and Fairer Scotland duty implications

10. 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

11. 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

12. 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.

Community Wealth Building implications

13. The works programme provides economic levers to develop resilient, inclusive local economies with more local spend and fair employment, as well as ensuring that wealth is more locally owned and benefits local people

Net zero implications

14. The Ayrshire Roads Alliance Service Plan supports and links to East Ayrshire Climate Strategy Themes

Theme 2: Transport

Theme 4: Natural Environment

Appendices (if applicable)

1. Ayrshire Roads Alliance Risk Register

Background papers

None

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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.

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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 (£) [C]		Time [T]		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	a) Personnel Shortage due to:	Loss of trained and competent personnel from all sections within ARA	Business continuity plans in place (BUS-12, 13, & 14) to manage all ARA mission critical activities. Additional usage of external contractors to ensure essential services / works programme targets are met. Pandemic safe workplaces / sites established to accommodate reduced number of staff	3	4	12 [T]	All Service Managers	Head of Roads – Ayrshire Roads Alliance	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. We consider overall risk is low due to a combination of recruitment and selection to fill existing vacancies. In addition there is increased resilience from the external service providers for winter	9/9/24
	b)									
2	Fuel Shortage	Loss or restriction due to relief events. 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.	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.	3	3	9 [T]	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. Continuation of public support will be dependent on outcomes, though expect some mixed reaction	9/9/24

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3	Failure to align with Budget requirements	<p>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.</p> <p>Loss of parking income as a result of changing behaviour / work patterns due to Covid.</p>	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 [C]	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.	9/9/24
4	Adverse Weather									
a)	Staffing Issues	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 [C]	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	9/9/24
b)	Salt	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.						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.	
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 [T]	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	9/9/24

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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 [T]	Business Support Manager	Head of Roads – Ayrshire Roads Alliance	The new service is over ten 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.	9/9/24
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 [T]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	We consider the overall risk is low, due to the current waste management systems in operation. Current contract allows	9/9/24
8	Council's Operators Licence ('O' Licence) -	Loss off / restrictions on Council's '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.	2	4	8 [C]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	Continue to work with fleet service in East Ayrshire Council.	9/9/24
9	Failure to meet statutory duties in relation to Road Safety Inspections	Failure to provide a Risk based approach and Inspection System in accordance with the approved, Inspection Manual: Road Safety Inspections and defect categorisations.in accordance with the Well-Managed Highway Infrastructure: A Code of Practice.	There are procedures in place to manage this process: 1. Short term by prioritising and reducing other works activities and realigning budgets; 2. Medium / long term there would be a request for additional budgets; 3. Operatives can be assigned from other duties and overtime working approved.	2	4	8 [T]	Service Managers	Head of Roads – Ayrshire Roads Alliance	Following implementation of the Inspection Manual: Road Safety Inspections and defect categorisations from 1 st April 2019 in accordance with the Well-Managed Highway Infrastructure: A Code of Practice the Ayrshire Roads Alliance 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. b) Categorise defects in accordance with a risk based approach ranking defects one to four as detailed in the Inspection Manual: Road Safety	9/9/24

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									<p>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>	
10	Business Continuity / Emergency Planning	Incident affecting one or more of the Ayrshire Roads Alliance service functions (including ICT Failure).	<p>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.</p> <p>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.</p>	2	4	8 [T]	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.	9/9/24
11	Benefits Realisation	Ayrshire Roads Alliance does not deliver the expected benefits outlined in the Detailed Business Case of June 2013.	<p>Benefit Realisation Plan to track the delivery of each benefit and take corrective action where appropriate it has been developed.</p> <p>A 10 year Service Review is due to be completed within the next couple of years.</p>	2	3	6 [C]	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	9/9/24
12	Performance	Performance Metrics are missed. The Service monitors the metrics and also compares performance against the APSE average.	A standardised operational process and procedures has been developed to ensure efficient and effective processes and verification measures are in place.	1	4	4 [C]	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.	9/9/24

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13	Procurement	Insufficient due diligence carried out by the Ayrshire Roads Alliance in the procurement of goods and services. – standardised processes and procedures in line with Council's contract procedures.	Standardised processes and procedures have been developed to ensure efficient and effective processes and verification measures are in place.	1	4	4 [C]	Service Managers	Head of Roads – Ayrshire Roads Alliance	Managed Risk.	9/9/24
14	Programme Management	<p>Programme scope, schedule, objectives, cost and deliverables are not clearly defined or understood.</p> <p>Estimating and / or scheduling errors.</p> <p>Unplanned work that must be accommodated.</p> <p>Lack of co-ordination / communication</p> <p>Underestimated support resources or overly optimistic delivery schedule</p> <p>Unresolved Programme conflicts not escalated in a timely manner.</p> <p>Unanticipated escalation in Programme costs as a result of uncontrolled changes or continuous</p>	<p>Clear definition of scope, schedule, objectives, cost, and deliverables through Service Improvement Plan, Benefits Realisation Strategy & Plan, and Customer Service Strategy.</p> <p>A Programme Plan has been developed which illustrates key activities, team, timing, milestones, and delivery of products.</p> <p>Incorporate unplanned work within Programme Plan and minimise impact on delivery of products through parallel processes when feasible</p> <p>Programme co-ordination and communication conducted in accordance with Programme governance structure</p> <p>Support resources and delivery schedule developed from robust Programme Plan and previous experience of similar Programmes</p> <p>Programme conflicts recorded in Issues Log and progressed in accordance with reporting arrangements for project team</p> <p>Escalation of Programme costs addressed through appropriate and applicable corrective actions and control measures.</p>	1	4	4 [C]	Service Managers	Head of Roads – Ayrshire Roads Alliance	Managed Risk	9/9/24

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		<p>inflation of a project's scope beyond initial remit</p> <p>Unanticipated delays in Programme timescale as a result of uncontrolled changes or continuous inflation of a project's scope beyond initial remit</p> <p>Communication Strategy to engage public awareness not planned on a joint Ayrshire basis</p> <p>Priorities change on existing service delivery.</p> <p>Affordability of future service payments.</p> <p>Councils withdraw or cannot provide sufficient support, or agreed level of input is not provided resulting in Programme delays</p>	<p>Delay of Programme timescale addressed through appropriate and applicable corrective actions and control measures.</p> <p>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</p> <p>Ensure that changes on existing service delivery are communicated in accordance with the existing Service Level Agreement</p> <p>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.</p> <p>Early identification of problems, and dialogue with Council.</p>							
15	Health & Safety / Risk & Insurance	<p>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</p>	<p>Issues identified in Health and Safety Surveys are recorded on Issues Log along with corrective actions to rectify / bring up to the required standard.</p> <p>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</p>	2	4	8 [C]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance	<p>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</p>	9/9/24

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		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.	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.						Council has ownership and responsibility for their depots.	
16	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 [C]	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	9/9/24
17	Bridges and Structures	Inadequate inspection and 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 [C]	Bridges & Design Manager	Head of Roads – Ayrshire Roads Alliance	Bridges and culverts are defined as structures with a span in excess of 900mm.	9/9/24
18	Flooding	Receipt of less Grant Aided Expenditure funding than anticipated for flooding mitigation schemes administered by SEPA. 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.	2	4	8 [C]	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. Only 80% of principal funding for flooding mitigation scheme. However increased costs due to relief events or force majeure is not funded	9/9/24
19	Financial	Potential swift decline in value of Pound Sterling 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	2	4	8 [C]	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-	9/9/24

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		resulting in increased costs in terms of fuel prices, interest rates and insurance premiums.	Continuity Plans for office, depot and harbour, as applicable						going discussions with Transport Scotland, COSLA and Ayrshire Roads Alliance on the impacts on the transport network.	
20	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 [C]	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.	9/9/24
21	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 [T]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24
22	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 [C]	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.	9/9/24
23	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 [C]	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.	9/9/24
24	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 [C]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24
25	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	1	3	3 [T]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24

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			maintenance is undertaken, which would be to activate external maintenance frameworks.							
26	Transport	Loss of public utilities for an extended time including electricity and water.	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 [T]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24
27	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 [T]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24
28	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 [T]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24
29	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 made for the transport of the child to the school.	1	4	4 [T]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24
30	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 [T]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24
31	Transport	Passenger transport : Emergency closure of schools and contractors unable to provide	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	1	4	4 [T]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24

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		transport within relevant timescales -	has been collected safely by a parent.							
32	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 [T]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24
33	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 [C]	Strategic Manager	Head of Roads – Ayrshire Roads Alliance		9/9/24
34	EV Charging Tariff	Negative feedback to both authorities	On approval by Cabinets a full programme of public communication to be issued	2	3	6[R]	Strategic Manager	Head of Service Ayrshire Roads Alliance		16/2/24
35	Material Shortages and Price Increases	Steel products, timber, electrical equipment and aggregates have seen a price increase with aggregates prices falling back in the spring. This is as a result of COVID19 affecting suppliers, supply chains, shipping and transportation. Construction activity rose rapidly after lockdown. Increased admin at UK ports due to EU Trade Cooperation has resulted in increased transportation costs and surcharges.	Where there are problems we are working with supplier to optimise deliveries to get procure best value under the circumstances.	4	3	12 [C]	Strategic Manager	Head of Service – Ayrshire Roads Alliance	This will be under constant review with contractors.	9/9/24
36	Storage Related Risks	Theft / Damage of Stores	Risk is very low as there are many measures that have been put in place. For example – CCTV cameras, secure entry to the depots, insurance covers all depots for theft /	1	4	4 [C]	Strategic Manager	Head of Service Ayrshire Roads Alliance		9/9/24

APPENDIX 1: AYRSHIRE ROADS ALLIANCE RISK REGISTER

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
			damage, robust store person / key holder procedures in place							
37	Ash Die Back	<p>Potential for death or injury as a result of ash dieback related accidents, both to professionals working on trees, and to the general public</p> <p>Increased safety issues due to declining ash trees on roads, owned and managed land such as in county parks, housing, estates, schools, routes to school, active travel routes and other well-used paths</p> <p>Risks to statutory functions or service delivery such as retaining safe schools, public open spaces or roads</p> <p>Risks to staff and community from trees on adjacent land falling into your estate</p>	<p>Ash Trees within the public network with a fall range will be inspected and prioritised.</p> <p>P1 Immediate Felling</p> <p>P2 Monitor and Fell if moved to P1</p> <p>P3 Monitor and Fell if moved to P1</p> <p>Private landowners will be advised of any trees within their land which could impact on the public network.</p> <p>Under Road Scotland Act 1984 ARA have the authority to pursue landowners and remove diseased trees and recharge</p>	4	3	12 [C]	Strategic Manager	Head of Service Ayrshire Roads Alliance		9/9/24
38	Ukrainian Crisis / Middle East Crisis	Increasing cost of bitumen and the potential of short supply due to Russian sanctions and increased costs. May also result in rising fuel and delivery costs	Pre-programming with suppliers and contractors as well as monitoring through revenue period reviews.	4	3	12 [C]	Strategic Manager	Head of Service Ayrshire Roads Alliance		9/9/24
39	Fuel - Red Diesel	No longer permitted to use red diesel within construction vehicles. This has an impact on project costs and the overall programme.	Reviewing alternative forms of fleet, however, this brings additional cost.	4	3	12 [C]	Strategic Manager	Head of Service Ayrshire Roads Alliance		9/9/24
40	EV Charging concession contract	Failure to attract a private partner	Robust and detailed tender package to be issued through the procurement process	2	3	6[T]	Strategic Manager	Head of Service Ayrshire Roads Alliance		9/9/24
41	Energy Costs	Impact on revenue budgets	Robust period review of energy costs for lighting and EV chargers.	3	3	9[C]	Strategic Manager	Head of Service Ayrshire Roads Alliance		9/9/24