

Meeting of:	<b>Audit Committee</b>
Date of Meeting:	<b>Monday, 01 July 2019</b>
Relevant Scrutiny Committee:	Corporate Performance and Resources
Report Title:	Corporate Risk Register Quarter 4
Purpose of Report:	To update Audit Committee on the Quarter 4 position of Corporate Risks for April 2018-March 2019 contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report.
Report Owner:	Leader and Cabinet Member for Performance and Resources.
Responsible Officer:	Rob Thomas, Managing Director
Elected Member and Officer Consultation:	Consultation has been undertaken with designated Corporate Risk Owners, the Insight Board and Corporate Management Team.
Policy Framework:	The proposals are within the Council's Policy Framework.
<p><b>Executive Summary:</b></p> <p>This report presents a proposed new format for corporate risk reporting in response to comments made by Audit Committee in February 2019. The new reporting format has been streamlined, so that risk analysis is incorporated within the body of one report. This provides a more concise way of illustrating the key issues associated with risks. It will also enable users to better identify and understand trends and the cross-cutting nature of risk with the ability to interrogate the details of risk as required.</p> <p>The appended Risk Summary Report (Annex A) provides an overview of the Quarter 4 position (April 2018-March 2019) of risks contained within the Corporate Risk Register (Annex B).</p>	

## **Recommendations**

It is recommended that Audit Committee:

1. Consider and endorse the new style of Corporate Risk reporting.
2. Note the Quarter 4 position of corporate risks for the period April 2018-March 2019.
3. Consider and endorse the inclusion of Brexit as a risk on the Register.
4. Endorse the removal of Contract Management risk from the Risk Register.
5. Refer this report to Cabinet for their consideration and endorsement.

## **Reasons for Recommendations**

- (1) To present and gain approval for a new style of Corporate Risk Reporting.
- (2) (3) (4) To identify the quarter 4 position of corporate risks across the Council and highlight any emerging issues and actions to be taken.
- (5) To ensure Cabinet receives a quarter 4 position on the Corporate Risk Register and endorses the recommendations contained within this report.

## **1. Background**

- 1.1 During quarter 4, our style of risk reporting has been reviewed to reflect the feedback received from Audit Committee in February 2019. At this meeting, Audit Committee indicated that the current risk report and the associated Register were considerable in size and recommended that consideration should be given to improving its format.
- 1.2 In response to this, the format of the risk report has been refreshed, and streamlined. Previously the risk report incorporated a detailed analysis of Corporate Risks in the covering Committee report alongside a Risk Report and the detailed Risk Register.
- 1.3 The new format presents the risk analysis element in the body of the Risk Summary Report (as opposed to the accompanying Committee report). This provides a more concise way of illustrating the headline issues and considerations with regard to risk. The new report format also enables users to be able to have a good overview of the status of risks across the Register as well as the emerging issues and provides the ability to link to the Register in order to drill down into the detail of individual risks as required.

## **2. Key Issues for Consideration**

- 2.1 The new risk report format is presented in the following sections:
- 2.2 **Corporate Risk Executive Summary-** This provides an overview of the whole risk report that highlights the key issues to note in relation to the status of risks, direction of travel, forecast direction of travel and progress against the Risk

Management Plans. The Executive Summary signposts the reader to the relevant section of the report for further information.

- 2.3 Section 1 Risk Descriptions:** This section details each risk listed on the Register along with a brief description of the risk in terms of its scope. More detailed descriptions of the multiple facets of each risk relative to the risk categories (of Political & Legislative, Resources, Service Delivery & Well-being and Reputation) are provided in the Register itself. Within Section 1 of the report, users can drill down to the detail of individual risks in the Register quickly and easily by using the hyperlink to the relevant appendices in the report. A new risk has been identified for inclusion on the Register to reflect Brexit. The Register shows an initial residual risk rating of Medium/High (9). The Register also includes reference to contract management. Following concentrated work in this area, it is recommended that this risk is now removed.
- 2.4 Section 2 Corporate Risk Register Summary:** Provides an overview of all the corporate risks in the Register in terms of their inherent score, effectiveness of control score and residual score. It also provides an outline of the direction of travel in terms of both current and forecast.
- 2.5 Section 3 Overall Risk Heat Map:** Uses a risk matrix quadrant to plot the residual risk scores in terms of likelihood and impact for each corporate risk in order to illustrate the distribution of corporate risks on the heat map. This section flags any key trends or issues in relation to the distribution of risk on the matrix.
- 2.6 Section 4 Thematic Heat Map:** Uses a similar risk matrix quadrant to plot the residual risk scores for each corporate risk by risk category. This provides a more holistic illustration of the distribution of risk by category, thus enabling a better understanding of the inter-relationship between risk thematics. This enables officers and members to view risk in a more cross-cutting/strategic way to identify if there is any need to address specific facets of risk through council-wide activity.
- 2.7 Section 5 Risk Management Plan:** Provides an overview of the progress made against the Risk Management Plans for each corporate risk. There is a Risk Management Plan associated with each corporate risk that will contain a series of actions to help manage/mitigate the risk. By monitoring the status of these Risk Management Plans (and in particular the RAG status of the mitigating actions) it is possible to identify areas where progress against actions is having a positive effect on the risk or in some cases is having little effect.
- 2.8 Section 6 Risk Action Exceptions:** This section follows on from section 5 and provides reporting by exception (i.e. mitigating actions aligned to each corporate risk that have been assigned a red status for their progress). This enables officers and members to quickly identify and interrogate actions reporting a red status in relation to each risk. It lists each corporate risk and any corresponding actions that have a red status and provides the corresponding commentary relating to that quarter.
- 2.9 Risk Register Annex:** The Risk Register is presented as an annex to the Corporate Risk Summary Report. The annex contains individual appendices for each corporate risk. This section of the report contains a table with a document link to each of these corporate risk appendices. Within the Risk Register annex itself, users can easily navigate between both the Risk Summary Report and the

Register, by using the hyperlink at the top of each Risk Title page. This will enable users to easily return back to the Risk Summary Report. Overall this should make it far easier for users to switch between the report and the full register as well as be able to fully interrogate the detail underpinning individual risks as required.

- 2.10** Within the Register itself, feedback from Audit Committee members on the presentation of the Risk Management Plans has been considered and revisions to reduce their length made.
- 2.11** Attached at **Annex A** is the Quarter 4 Risk Summary Report in the new proposed style of reporting. **Annex B** contains the full Register.

### **3. How do proposals evidence the Five Ways of Working and contribute to our Well-being Objectives?**

- 3.1** Risk Management is an intrinsic part of corporate governance and integrated business planning which underpins the delivery of the Council's Corporate Plan and its Well-being Outcomes. Our Corporate Plan has been structured around the Well-being of Future Generations (Wales) Act 2015, through the development of four Well-being Outcomes and eight Well-being Objectives. By aligning our Well-being Outcomes in the Corporate Plan with the Well-being Goals of the Act, this will enable us to better evidence our contribution to the Goals.
- 3.2** Corporate Risks are considered in the context of the Well-being of Future Generations Act in terms of their potential impact on our ability to deliver /meet the Well-being Goals. The multi-faceted nature of risk means they have the potential to impact on how we deliver our priorities within the Corporate Plan and ultimately impact on our ability to meet/deliver on the Well-being Goals. A failure to identify the different facets of risk and mitigating actions using the Five Ways of Working puts us in a more vulnerable position in terms of our ability to manage the risks and could significantly impact on our ability to evidence our contribution to meeting the Well-being Goals into the longer term. For example, the Welfare Reform risk cuts across five of the seven Well-being Goals in relation to a Prosperous Wales, A Resilient Wales, A Healthier Wales, A More Equal Wales and a Wales of Cohesive Communities with multiple aspects of risk associated with Welfare Reform that have the potential to impact on our ability to contribute to these Goals. For instance the social impact of welfare reform could impact on tenant's health and their ability to heat their homes, live in good quality housing and feed themselves which directly impacts on the Healthier Wales and Cohesive Communities Goals. Equally there is the risk that welfare reform could have a detrimental impact on citizen's finances and their ability to sustain tenancies, access employment opportunities and pay bills. Collectively these could have an impact on our ability contribute to developing a Resilient Wales, Prosperous Wales, a More Equal Wales and Cohesive Wales Goals.
- 3.3** The five ways of working are also a key consideration in relation to our corporate risks as a key part of managing the risk involves developing a Risk Management



Plan that identifies the mitigating actions that have a focus on the long term, prevention, integration, collaboration and involvement.

## **4. Resources and Legal Considerations**

### **Financial**

- 4.1** Managing and reducing risks effectively helps to prevent unnecessary expenditure for the Council, reduces the potential for insurance claims and rising premiums.

### **Employment**

- 4.2** There are no direct workforce related implications associated with this report. However, there are risks contained within the Register that if not effectively managed has the potential to impact on our staff establishment. By managing these risks effectively we are in a stronger position to offer better protection to our staff.

### **Legal (Including Equalities)**

- 4.3** Identifying, managing and reducing any risk effectively mitigates against potential legal challenge.

## **5. Background Papers**

Corporate Risk Register

Corporate Risk Management Strategy



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK SUMMARY REPORT

QUARTER 4 APRIL 2018- MARCH 2019



## CORPORATE RISK EXECUTIVE SUMMARY:

### Overview:

There are 15 corporate risks on the Register (**see Section 1**). This includes the addition of Brexit as a new risk on the Register as recommended by Audit Committee at its last meeting in February.

### Risk Statuses

- 1 risk scored high, 2 risk scored medium/high, 10 risks scored medium and 1 risk scored medium/low and 1 risk low.
- The position of risks on the Register have remained largely unchanged, with the exception of the Contract Management risk that has decreased from a medium/low (3) position to a low (2) status. Brexit has been scored medium/high (9) on the Register. (**See Section 2**)

### Direction of Travel:

- The majority of risks on the Register have remained static. The Public Buildings Compliance risk score has reduced from a score of six to a score of four, but has maintained its medium status. Significant progress has to be made to mitigate this risk, with all but one action in the Risk Management Plan now complete.
- The Contract Management Risk score has reduced from medium/low status (3) in quarter 3 to low status (2) in quarter 4. All actions in the Risk Management Plan have been completed and therefore it is recommended this risk be removed from the Register. (**See Section 2**)

### Forecast Direction of Travel

- The Reshaping Services and Waste risks are forecast to escalate over time.
- Reshaping Services is likely to escalate as the Council's funding position continues to be challenging. Given that (in real terms) there has been a sustained reduction in funding from the Welsh Government, this places significant pressure on our key services at a time when managing demand for these services is equally as challenging.
- The Waste risk is forecast to escalate given the scale of service transformation required over the forthcoming year in relation to source segregated recycling collections. Source segregation will be rolled out on a phased basis starting in the rural Vale during summer 2019. As a consequence of this two types of vehicle will be used that will lead to potentially higher costs, placing pressure on our resources. (**See Section 2**)

### Risk Management Plans

- Overall strong progress has been made during Quarter 4 in relation to the actions associated with the Risk Management Plans across all aspects of the Register.
- In total there are 111 mitigating actions currently being monitored via the Register most of which are linked to a Corporate Plan activity. During the quarter, we have been able to assign a RAG status to 107 of these mitigating actions. (**See Section 5**). The four actions not assigned a RAG status were not due to commence during the period.
- During quarter 4, a total of 90 actions (84.1%) were completed and allocated a Green status and 16 actions (15%) slipped and were allocated a red status and one an amber status. A breakdown of these individual exceptions is provided in **Section 6**.

### Emerging risks and issues:

- Managing the quality of services, contractual performance and preventing the failure of commissioned services in order to secure service sustainability is an emerging issue. This is particularly relevant in relation to our health and social care services, due to the volatility of the market.
- Further work is planned to explore this issue in more detail and the findings of which will be reported back to Audit Committee in due course.

### Recommendations from CMT/Insight

That Audit Committee:

- Considers and endorses the new style of Corporate Risk reporting.
- Note the Quarter 4 position of Corporate Risks for the period April 2018-March 2019.
- Consider and endorse the inclusion of Brexit as a Risk on the Register.
- Endorses the removal of Contract Management risk from the Risk Register.
- Refer the Risk Register to Cabinet for consideration and endorsement including the proposal to include Brexit as a risk and the removal of contract management.

## SECTION 1: RISK DESCRIPTIONS

Risk Ref	Risk	Scope
CR1	<b>Reshaping Services</b> <a href="#">Appendix 1</a>	Risk that the Council fails to deliver the Reshaping Services Programme and does not utilise alternative methods of service delivery and other approaches to mitigate the impact of budget reductions and demand for services which could result in further cuts to services impacting on their availability and quality.
CR2	<b>Legislative Change &amp; Local Government Reform</b> <a href="#">Appendix 2</a>	Inability to appropriately respond/adapt to new and emerging legislative change and reform developments across the breadth of Council services.
CR3	<b>School Reorganisation &amp; Investment</b> <a href="#">Appendix 3</a>	Inability to invest in improving and developing the quality of our school buildings. This could result in schools no longer being 'fit for purpose' and not meet the Welsh Government's '21 <sup>st</sup> Century Schools' agenda. Failure to effectively plan and provide sufficient school places to meet demand in relation to both English and Welsh Medium provision.
CR4	<b>Waste</b> <a href="#">Appendix 4</a>	Failure to meet the national waste agenda and its associated targets.
CR5	<b>Workforce Needs</b> <a href="#">Appendix 5</a>	Inability to anticipate and plan for workforce needs in the future in order to meet the changes in demand and provision of services. (Risk links to Reshaping risk and legislative reform risk)
CR6	<b>Information Security</b> <a href="#">Appendix 6</a>	Failure to implement adequate information management controls and systems across the Council.
CR7	<b>Environmental Sustainability</b> <a href="#">Appendix 7</a>	Failure to reduce our carbon foot print and mitigate against the impact/effects of climate change.
CR8	<b>Welfare Reform</b> <a href="#">Appendix 8</a>	Roll out of Welfare Reform programme has a detrimental financial and social impact on residents.
CR9	<b>Public Buildings Compliance</b> <a href="#">Appendix 9</a>	Failure to comply with our statutory responsibilities for ensuring the health, safety and welfare of both our staff and citizens when using Council owned and leased assets.
CR10	<b>Safeguarding</b> <a href="#">Appendix 10</a>	Failure to meet our statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.
CR11	<b>Integrated Health &amp; Social Care</b> <a href="#">Appendix 11</a>	Inability to develop, commission and implement alternative models of service delivery that fully integrate how we deliver health and social care services across organisational boundaries and on a regional footprint.
CR12	<b>Unauthorised Deprivation of Liberty Safeguards</b> <a href="#">Appendix 12</a>	Failure to effectively safeguard adults who are at risk of deprivation of liberty.
CR13	<b>Contract Management</b> <a href="#">Appendix 13</a>	Failure to put in place appropriate mechanisms to effectively manage contractual performance and preventing contract failure.
CR14	<b>Welsh Community Care Information System (WCCIS)</b> <a href="#">Appendix 14</a>	Failure to fully maximise and mobilise WCCIS functionality to ensure full implementation/development of the system across Social Services.
CR15	<b>Brexit</b> <a href="#">Appendix 15</a>	Failure to effectively identify and respond to the changing policy and legislative landscape as a result of 'Brexit' and the impact this has on our ability to deliver services to our citizens.

## SECTION 2: CORPORATE REGISTER SUMMARY




The table below provides a summary of the Corporate Risks broken down by their risk status in terms of their inherent (pre-control) risk score, the control risk score (how effectively the controls are managing the risk) and the residual risk score (post-control score). The table also gives an outline of each risk's direction travel, in terms of whether the risk is escalating or reducing as well as forecasting its future direction of travel.

Risk Ref	Risk	Inherent Risk Score	Effectiveness of Controls score	Residual Risk Score			Direction of Travel <sup>1</sup>	Forecast Direction of Travel <sup>2</sup>
				Likelihood	Impact	Total		
1	Reshaping Services	9 (M/H)	4 (M)	2	2	4 (M)	↔	↑
2	Legislative Change and Local Government Reform	12 (H)	2 (M/L)	2	3	6 (M)	↔	↔
3	School Reorganisation & Investment	12 (H)	4 (M)	2	2	4 (M)	↔	↔
4	Waste	12 (H)	4 (M)	3	2	6 (M)	↔	↑
5	Workforce Needs	9 (M/H)	4 (M)	2	2	4 (M)	↔	↔
6	Information Security	12 (H)	4 (M)	2	2	4 (M)	↔	↔
7	Environmental Sustainability	12 (H)	4 (M)	2	3	6 (M)	↔	↔
8	Welfare Reform	12 (H)	4 (M)	2	2	4 (M)	↔	↔
9	Public Buildings Compliance	9 (M/H)	4 (M)	2	2	4 (M)	↓	↔
10	Safeguarding	9 (M/H)	6 (M)	1	3	3 (M/L)	↔	↔
11	Integrated Health and Social Care	6 (M)	4 (M)	2	2	4 (M)	↔	↔
12	Unauthorised Deprivation of Liberty Safeguards	12 (H)	1 (L)	4	3	12 (H)	↔	↔
13	Contract management	9 (H)	6 (M)	1	2	2 (L)	↓	↓
14	Welsh Community Care Information System (WCCIS)	16 (VH)	2 (L)	2	4	8 (M/H)	↔	↓
15	Brexit	12 (H)	2 (L)	3	3	9 (M/H)	N/A	↔

<sup>1</sup>

**Direction of travel** compares residual risk score for the current quarter with the previous quarter to indicate whether the risk is increasing/ decreasing or staying static.

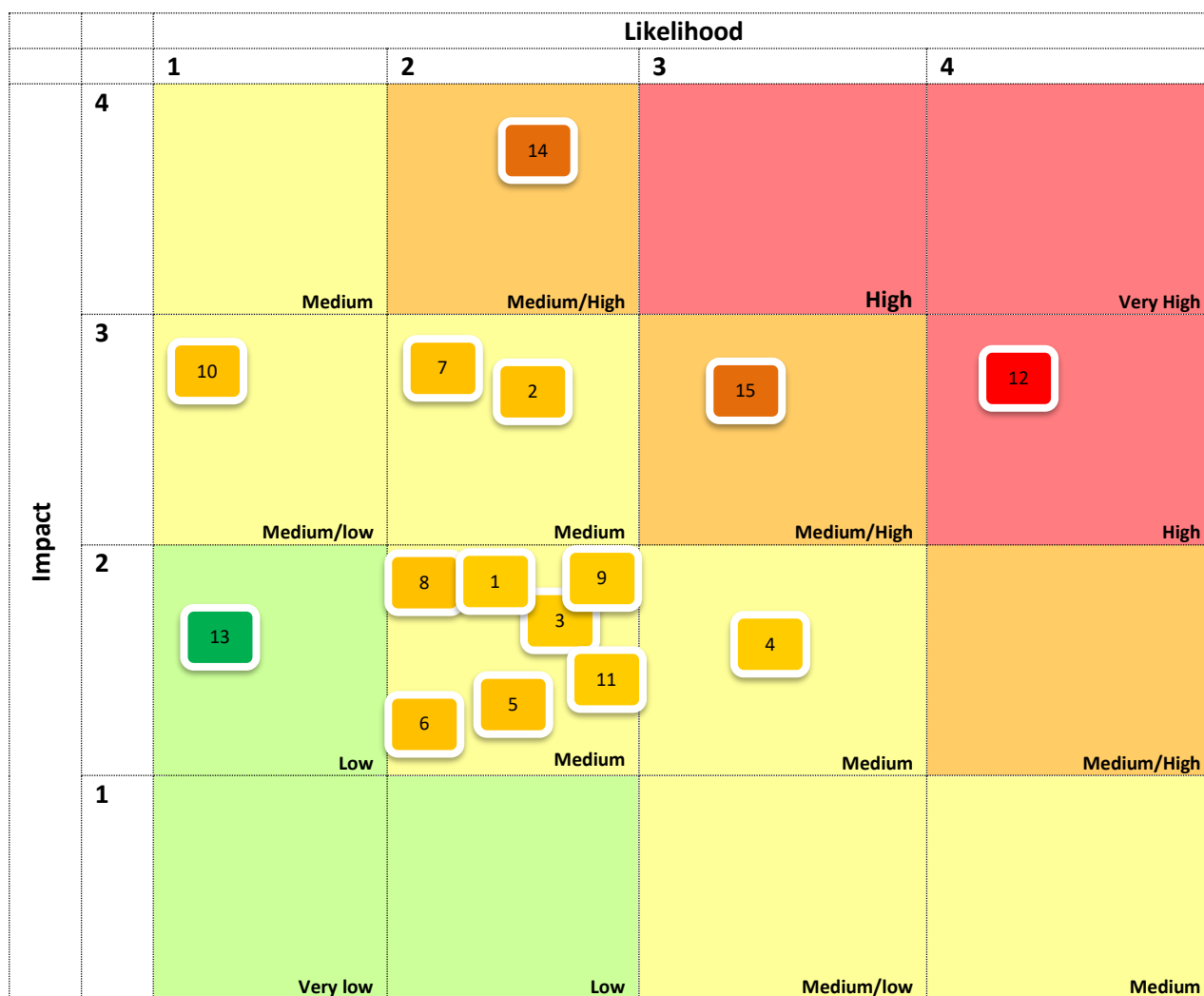
<sup>2</sup> **Forecast direction of travel** anticipates the future direction of the risk by taking into account factors that are likely to impact on it

 Risk increasing, 
  Risk is decreasing, 
  Risk remaining static

## SECTION 3: OVERALL RISK HEAT MAP

The heat map below uses a risk matrix quadrant to plot the residual risk scores (based on likelihood and impact) of each Corporate Risk to provide an illustration of the groupings of risks within the heat map.

- The heat map for quarter 4 shows that the greatest number of risks congregate at medium status.
- Deprivation of Liberty Safeguards remains High (12) status.
- Welsh Community Care Information System has maintained its Medium/High (8) status.
- Safeguarding has maintained its Medium/Low (3) status.
- Contract Management risk has shifted from a Medium/Low (3) to Low (2) status.
- Brexit is shown in a Medium/High position on the Register, which reflects the level of uncertainty at both the national and local level. It recognises that although some controls are in place, there are limitations to the influence we have over this issue nationally. What can be put in place are mitigating actions to help minimise its impact.



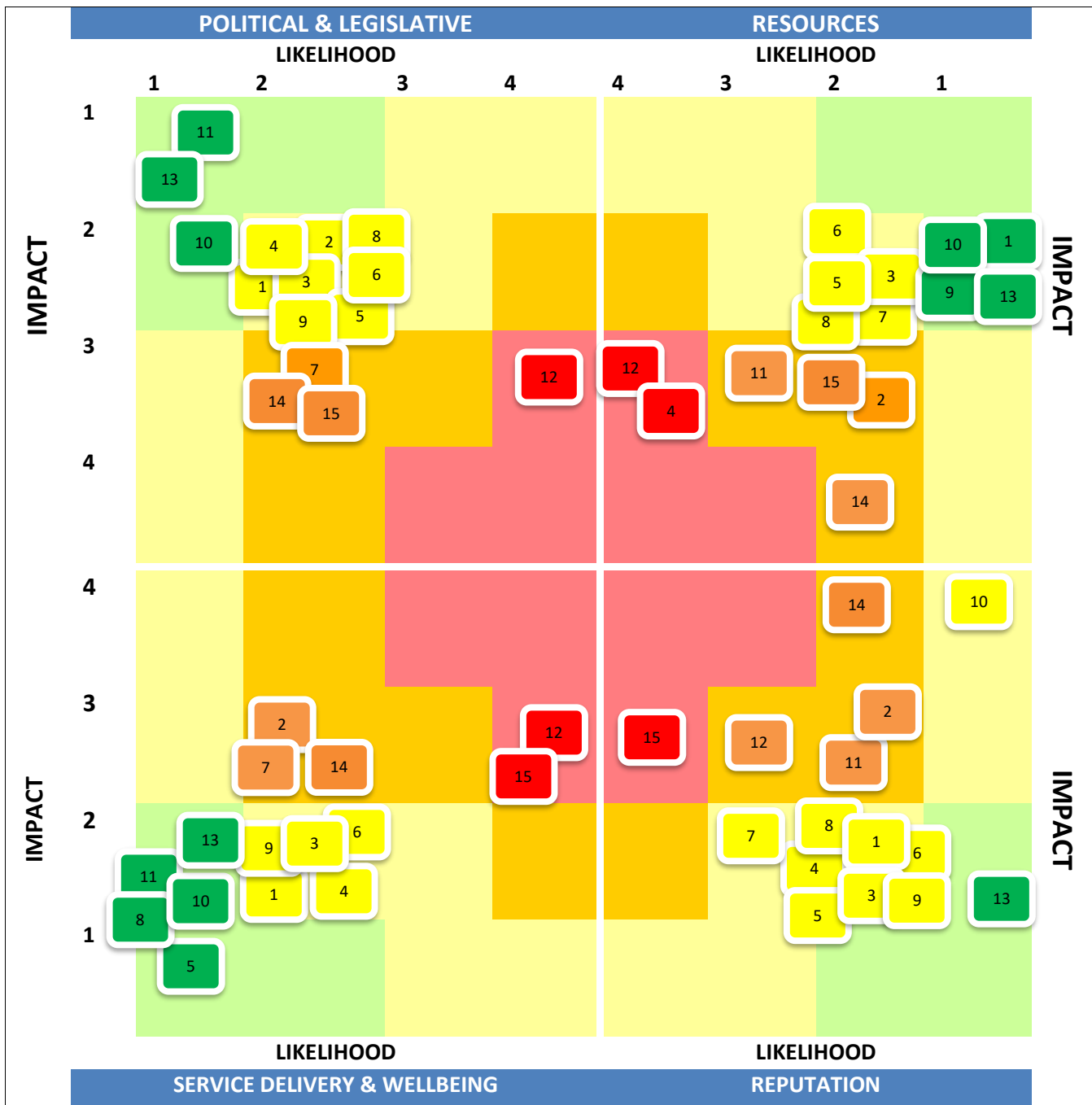
### Risk Reference Glossary

1	Reshaping Services	8	Welfare Reform
2	Legislative Change and Local Government	9	Public Buildings Compliance
3	School Reorganisation & Investment	10	Safeguarding
4	Waste	11	Integrated Health and Social Care
5	Workforce Needs	12	Unauthorised Deprivation of Liberty
6	Information Security	13	Contract Management
7	Environmental Sustainability	14	WCCIS
		15	Brexit

## SECTION 4: THEMATIC RISK HEAT MAP

The heat map below uses the risk matrix quadrant to plot the residual risk scores by risk category to provide an indication of the spread of the Corporate Risks across the thematic risk categories.

- The thematic heat map shows that the majority of risk congregate around medium across all risk categories.
- There is a greater concentration of amber status (medium/high) risk in relation to reputation and service delivery & well-being based risks.
- Deprivation of Liberty Safeguards sits in the high category of the quadrant (with a residual score of 12) across three of the four risk categories with the exception of reputation where it scored medium/high (9).
- The Brexit risk has been placed in the high category of the quadrant (with a residual score of 12) across two risk categories (Service Delivery & Well-being and Reputation).
- There is just one green status low risk (contract management) that is associated with the reputational risk category.



## SECTION 5: RISK MANAGEMENT PLAN- RAG STATUS OVERVIEW

The table below provides an overview of progress against the Risk Management Plans for each Corporate Risk.

- 84.1% (90) of actions were allocated a Green status, 20% (1) was given an Amber status and 15% (16) were allocated a red status at year end (Quarter 4).
- 100% of risk actions contained in the Risk Management Plans were completed in relation to CR4: Waste, CR10: Safeguarding, CR11: Integrated Health and Social Care, CR12: Deprivation of Liberty Safeguards and CR13: Contract Management risks.
- 66.7% (2) risk actions associated with WCCIS were allocated a red status and 43.8% (7) risk actions associated with the Environmental Sustainability risk were allocated with a red status at year end (Quarter 4).

Corporate Risk	RAG Status			Total number of Actions	Total number of actions where RAG is applicable.
	Completed (Green)	Amber (Minor Slippage)	Red (Slippage)		
CR1: Reshaping Services	87.5% (7)	N/A	12.5% (1)	8	8
CR2: Legislative Change & Local Government Reform	92.9% (13)	N/A	7.1% (1)	14	14
CR3: School Reorganisation & Investment	87.5% (7)	N/A	12.5% (1)	8	8
CR4: Waste	100% (7)	N/A	N/A	8	7
CR5: Workforce Needs	91.7% (11)	N/A	8.3% (1)	12	12
CR6: Information Security	71.4% (5)	N/A	28.6% (2)	7	7
CR7: Environmental Sustainability	56.3% (9)	N/A	43.8% (7)	16	16
CR8: Welfare Reform	100% (5)	N/A	N/A	5	5
CR9: Public Building Compliance	66.7% (2)	N/A	33.3% (1)	3	3
CR10: Safeguarding	100% (6)	N/A	N/A	7	6
CR11: Integrated Health & Social Care	100% (9)	N/A	N/A	9	9
CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs)	100% (2)	N/A	N/A	2	2
CR13: Contract Management	100% (2)	N/A	N/A	2	2
CR14: Welsh Community Care Information System (WCCIS)	33.3% (1)	N/A	66.7% (2)	3	3
CR15: Brexit	80% (4)	20% (1)	N/A	7	5
<b>Totals</b>	<b>84.1% (90)</b>	<b>0.9% (1)</b>	<b>15% (16)</b>	<b>111</b>	<b>107</b>



## SECTION 6: RISK ACTION EXCEPTIONS (RED STATUS)

Risk	Action Ref/Description	Commentary
<b>CR1: Reshaping Services</b>	PD/AM043/DS/F026: Explore and promote further opportunities for Community Asset Transfers in light of the revised Compact with the Voluntary Sector and the Strong Communities Grant Fund.	Democratic Services staff continue to provide input into the CAT working group which evaluates any expressions of interest and business cases for CAT. The review of the Community Asset Transfer (CAT) Guidance is progressing well and has been informed by the single use sports facilities work and as such, will now be completed during Q1 rather than Q4.
<b>CR2: Legislative Change and Local Government Reform.</b>	PD/A031: Continue to work with partners to improve self-service options to ensure that customers' enquiries are resolved as quickly as possible, complying with the Social Services and Well-being (Wales) Act 2014.  PD/A018: Work with Adult Service to improve processes at the Customer Contact Centre to support the provision of advice and assistance in line with requirements of the Social Services and Well-being (Wales) Act.	Authorisation has been granted to commence an engagement exercise with Customer Relations, Adult Services and Health staff on how to meet the objectives following on from the Parliamentary Review of Health and Social Care in Wales. Staff meeting where held in September to launch the engagement with recommendations on a way forward expected in January 2019. This work will include a review of options to make services available digitally.  A plan has been established to improve integrated working between Customer Relations, Telecare, Adult Services and Cardiff and Vale University Health Board (UHB) and create a unified service under the working title "Wellbeing Matters". This work will continue through 2019.
<b>CR3: School Reorganisation &amp; Investment.</b>	SL/A020: Complete the disposal of assets such as the Eagleswell school site (Ysgol Y Ddraig).	No further progress update to report with this issue. Alternative options for disposal will be considered.
<b>CR5: Workforce Needs.</b>	HR/W038: Continue to review and enhance the Council's succession Planning and Talent Management Scheme model and extend this Council-wide.	Whilst the competency frameworks are now complete and integrated into both iDev and the #itsaboutme process, this is the first stage of reviewing and enhancing the Succession Planning and Talent Management within the organisation. Now that the foundations of this are all in place, work will continue to completion throughout 2019/20.
<b>CR6: Information Security.</b>	FIT/F009: Conclude the evaluation of cloud-based computing and cloud-based storage for as a potential cost-effective solution for the Council to increase efficiency.	The migration to the new storage hardware project has slipped due to current workload and available resources. It is planned to have the new hardware in place by the end of Q1 2019/20.
	FIT/IT012: Continue working towards Payment Card Industry (PCI) Compliance.	Contract has been let and implementation has started. System is due to go live on 28th August 2019.
<b>CR7: Environmental Sustainability.</b>	NS/A004: Implement Integrated Network and Active Travel Maps and continue to improve Active Travel highway network.	S106 monies have been used to complete Phase 1 of Rhoose Active Travel improvements and Ogmere by Sea footway improvements. WG LTF bid submitted for 2019/20 funding for the active travel route from Weycock Cross to the Airport and we should hear whether or not we were successful during April 2019. Slippage has occurred due to a late start on the Dinas

Risk	Action Ref/Description	Commentary
		Powys to Barry active travel route. This can be recovered if the funding bid is successful in 2019/20.
<b>CR7: Environmental Sustainability.</b>	NS/A014: Continue to identify funding to improve the National Cycling Network route 88 as identified in the Active Travel Integrated Network Maps.	Both S106 and WG funding have been used to improve Active Travel routes throughout the Vale. The lack of consistent capital funding for Active Travel schemes, including competing with other areas for S106 and other Local Authorities for WG funding, means Active Travel is very much a piece meal process.
	NS/A001: Further the feasibility study to get buses over the Cardiff Bay Barrage, including further consideration of a Cosmeston Park and Ride facility.	WelTAG stage 1 stakeholder workshop held and WelTAG stage 1 public drop in session held in Penarth where the public were invited to comment on proposals to improve sustainable transport in the area. WelTAG stage 1 report received and work being undertaken on WelTAG Stage 2 with future funding sought to go forward with WelTAG stage Three. Funding of £600k has been requested for 2019/20 from WG to complete WelTAG stage three.
	NS/A002: Continue to deliver transport improvement schemes associated with the Cardiff Capital Region Metro including cycle infrastructure and bus stop improvements from Weycock Cross to Cardiff Airport.	Mid-year bid unsuccessful for Weycock Cross to Cardiff Airport Active Travel route so bid re-submitted for 2019/20. Cardiff - Vale coastal network - WelTAG stage 1 stakeholder workshop held and WelTAG stage 1 public drop in session held in Penarth where the public were invited to comment on proposals to improve sustainable transport in the area. WelTAG stage 1 report received and WelTAG stage 2 commenced (600k bid for 2019/20). 11 bus stops have been upgraded along the A48 corridor and 2 in Penarth with the remaining stops to be upgraded during 2019/20. Work continues with City Deal and the Regional Transport Authority to improve strategic transport corridors.
	NS/A003: Progress additional modelling requirements to assist with the feasibility study for bus, cycling and walking improvements at Cardiff and Barry Road, Dinas Powys.	WSP Consultants were engaged in Q4 to produce a final Dinas Powys transport network appraisal. They have submitted a preferred route for a footway/cycleway connecting Biglis roundabout, Barry to Dinas Powys. Funding of £580k has been requested for 2019/20. If this scheme progresses then the benefits to the communities of Barry and Dinas Powys will be vast.
	NS/A019: Continue to implement conversion of non LED lighting to LED lighting in residential areas.	The implementation of Phase 2 to convert the ornamental and bespoke street lighting lantern units to LED is delayed due to community concerns regarding removal / replacement of cast iron columns in Penarth area. A strategy has now been agreed whereby ornamental and bespoke columns will only be removed if they are deemed unsafe and / or the lanterns converted to LED if it is considered cost effective to do so. Phase 2 to recommence in new financial year.
	NS/A031: Complete the delivery of the Llanmaes Flood Alleviation Scheme.	All funding for the lower storage area, constructed in conjunction with the Northern Access Road, has now been approved with the culvert systems carrying the Llanmaes Brook under the Northern Access Road fully operational. The modelling of the catchment is completed and detailed design for the Llanmaes village scheme has now commenced. Construction works in the village are programmed to commence by Autumn 2019, subject to obtaining all necessary consents, permissions

Risk	Action Ref/Description	Commentary
		and approval of future grant application to fund scheme via Welsh Government. The installation of flood resilience measures at a number of properties throughout the village has recently been completed.
<b>CR9: Public Building Compliance.</b>	Create a Master List of all public buildings along with a 'weighting' formula for recharging compliance data management costs.	A Revenue Growth bid has been submitted that focuses on the development of a centralised fund rather than using a 'weighted formula approach'. We are awaiting the outcome of this bid before any further work can be progressed. As a consequence the nature of the action being progressed could be subject to change.
<b>CR14: Welsh Community Care Information System.</b>	RM/A009: Continue full implementation of the Welsh Community Care Information System (WCCIS) for the Directorate including a focus on developing the financial aspects of the system.	Further progress has been made to identify data issues within the system. Additional support has been secured via the Regional Project Team and training sessions for staff have commenced. However, due to initial issues experienced with the system that requires data cleansing the full implementation of the system will continue into 2019/20.

## RISK REGISTER ANNEX

Risk	Appendix
CR1: Reshaping Services	<a href="#">Appendix 1</a>
CR2: Legislative Change & Local Government Reform	<a href="#">Appendix 2</a>
CR3: School Reorganisation & Investment	<a href="#">Appendix 3</a>
CR4: Waste Management	<a href="#">Appendix 4</a>
CR5: Workforce Needs	<a href="#">Appendix 5</a>
CR6: Information Security	<a href="#">Appendix 6</a>
CR7: Environmental Sustainability	<a href="#">Appendix 7</a>
CR8: Welfare Reform	<a href="#">Appendix 8</a>
CR9: Public Buildings Compliance	<a href="#">Appendix 9</a>
CR10: Safeguarding	<a href="#">Appendix 10</a>
CR11: Integrated Health & Social Care	<a href="#">Appendix 11</a>
CR12: Unauthorised Deprivation of Liberty Safeguards (DoLS)	<a href="#">Appendix 12</a>
CR13: Contract Management	<a href="#">Appendix 13</a>
CR14: Welsh Community Care and Information System (WCCIS)	<a href="#">Appendix 14</a>
CR15: Brexit	<a href="#">Appendix 15</a>



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK REGISTER

QUARTER 4 APRIL 2018- MARCH 2019



## Appendix 1 Corporate Risk 1: Reshaping Services

### Return to Risk Summary Report

1 – Risk Overview						
1.1 Risk Description		Failure to deliver the Reshaping Services Programme				
<p>There is a risk that the Council fails to deliver the Reshaping Services Programme and therefore does not utilise alternative methods of service delivery and other approaches to mitigate the impact of budget reductions and demand challenges, thereby resulting in further cuts to services significantly impacting their availability and quality.</p> <p>There is the risk associated with pursuing the Reshaping Services agenda, namely the new skills and capacity required to manage significant change at a time of diminishing resources and using approaches that are relatively new concepts to the Council and its partners.</p> <p>There is also the risk of a judicial review particularly in relation to Reshaping Services agenda where new models of service delivery are developed. This could have both financial and reputational consequences if a judicial review finds our actions to be unlawful.</p>						
1.2 Risk Owner		OM of Policy & Performance (TB)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	Yes	No	No	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	Failure to continue to provide priority services. Failure to develop new approaches to service delivery which can be sustained in the long term and which are accessible and meet local needs, with clear and cohesive links made with the Wellbeing of Future Generations Act and the developing Local Government Reform agenda.
<b>Resources</b>	Yes	Projects fail to develop and deliver business cases which meet the Reshaping Services financial savings targets as outlined in the Council's medium term financial plan.

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Fail to develop and mobilise sufficient skills and capacity to develop and deliver the Programme and manage new ways of working.</p> <p>Failure to maximise the use of our existing assets and technology to deliver services in a cost effective and efficient way.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Fail to maximise opportunities to improve service delivery and mitigate the impact of budget reductions via alternative methods of service delivery.</p> <p>Failure to safeguard the well-being of individuals and communities and provide services which meet the diverse needs of the local community. Failure to continue to provide priority services and engage with customers in the provision of services.</p> <p>The programme fails to communicate and engage effectively with service users and partners to identify and deliver the alternative ways of working.</p>
<b>Reputation</b>	Yes	Failure to deliver the programme's aim and objectives impact on its reputation with citizens and regulators for the delivery of priority services.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Resources</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Service Delivery &amp; Well-being</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Reputation</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Overall Inherent Risk Score</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Challenge process in place to identify projects.</li> <li>Mixed economy model approach to Reshaping approved.</li> <li>Tranche 3 projects of corporate nature to lessen impact on front line services.</li> <li>Risk management processes embedded in project management to identify and mitigate impacts on service users.</li> <li>Programme documentation makes linkages with Well-being of Future Generations Act.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees.</li> <li>Programme board and manager in place, with project team resources considered for each project.</li> <li>Council's Financial Resilience considered good by WAO.</li> <li>Business cases developed for projects and guidance in place for</li> <li>The management development programme has concentrated on the introduction of the core competency and management competency frameworks.</li> <li>Tranche 3 projects have been identified, with savings included in the revenue proposals for the budgets of 2018/19 and 2019/20. Work is underway with the relevant project sponsors to put processes for delivery in place for 2018/19.</li> <li>The Digital Strategy 2017-2020 was considered by Cabinet at the meeting of 31st July 2017. The Digital Strategy sets out the strategic direction for the development of service and outlines new ways of working for our staff and how we work with partners that embraces new digital technologies to improve our service to customers whilst reducing costs.</li> <li>Website refresh - a new web design was launched in November 2018. Office 365 - the development team are moving towards</li> </ul>	3	2	6



2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>a technical solution for the implementation across the Organisation.</p> <ul style="list-style-type: none"> <li>• A broader review to improve online processes from a customer view has been started. This involves hosting of dedicated digital days with services to identify improvements and potential efficiencies. This work will continue forward into 2018/19.</li> <li>• As part of the Tranche 3 Procurement project, Third Party Spend targets have been established for service areas as part of the Council's Final Revenue Budget Proposals for 2018/19. Guidance will be provided during Q1 of the new year and monitoring arrangements are being put in place.</li> <li>• The income generation and commercial opportunities project team and project board continue to identify opportunities for income generation and work is underway on a range of proposals which include identifying resource implications, including training, capacity and support needs. For example, development of Catering services in the form of a Trading Company.</li> <li>• Delivery of Space project work for 2018/19 has been completed.</li> <li>• Our in-house Residential Care Services have been reshaped and all temporary posts have been changed to permanent peripatetic posts during December 2018.</li> <li>• The Environmental Information Request Policy was implemented this quarter as approved by Cabinet on 3rd October, 2018.</li> <li>• New fee structure for Registration Services was considered and approved by Cabinet.</li> <li>• Revised ceremony fees have been established for Registrar Services.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Business cases consider non-financial implications of any proposed changes.</li> <li>• Equality Impact Assessments embedded within the overall programme's management approach.</li> <li>• Communications and engagement activities inform project development.</li> <li>• A review of the bulky collections process and online booking solutions has been</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>undertaken; a new process is expected to be launched in 2018/19 with a significantly improved customer experience.</p> <ul style="list-style-type: none"> <li>CAT guidance has been produced and implemented. Support continues to be given to groups who approach the Council with applications for Community Asset Transfers (CATs). A review of the way in which the CAT process works has commenced with a view to streamlining this where possible for both applicants and the Council.</li> <li>Supported Accommodation provision at Rhoose Road has been established. One person moved in and plans for two further people are in place.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Risk management contained within project documentation.</li> <li>Regular updates to Cabinet and Programme Board on status of the programme.</li> <li>Consultation on the Council's budget annually includes questions relating to the approach being taken on Reshaping Services.</li> <li>Programme Board includes representatives of partners (Voluntary Sector and Town &amp; Community Councils)</li> <li>Communications campaign to support the Strong Communities Grant Fund where there is a sound business case for the Council to transfer assets to others.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	2	4	2	2	4	↔	↑
Resources	3	3	9	3	2	6	1	2	2	↔	↑
Service Delivery & Well-being	3	3	9	2	2	4	2	2	4	↔	↔
Reputation	3	3	9	2	2	4	2	2	4	↔	↔
<b>Average risk score/ direction of travel</b>	3	3	9	2	2	4	2	2	4 (Medium)	↔	↑

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CP1 PD/F021  (AS/F027/ AS/F029, AS/F030)  (SL/F024) (HS/A075) (AA/A017) (NS/F001) (RM/F001, CS/F016)	Progress proposals via the Reshaping Programme, seek Cabinet approval for Business Cases as required and implement approved projects where appropriate.	✓	✓	✓	✓	✓	✓	✓		✓	TB	March 2019	Green (Completed)
ACTION UPDATE:	Overall our projects associated with delivery of the Reshaping Services Programme have progressed well this quarter. Across Adult Services there has been additional investment via ICF to extend the reablement service has increased our capacity. Additional staff to support implementation of projects, performance manage and provide direct care have been accommodated through fixed term contracts. A successful pilot with Medical Emergency Assessment Unit at UHL (Llandough Hospital) has enabled us to extend the service, and has ring fenced funding to introduce a team around the individual for those living with dementia. Further enhanced the Integrated Discharge service through the implementation of the cake package approval process that was completed during quarter 4. We continuously review our arrangements to ensure that our mechanisms remain effective in supporting hospital discharge.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well- being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p><b>Strategy, Community Learning &amp; Resources</b>, all work planned for this financial year in relation to the roll out of the Local Authority Trading Company has been completed. Remaining tasks for completion regarding Pensions, Articles of Association, TUPE, Assets and final Cabinet Report will be in the work programme for the next financial year. The company is due to launch on 1 September 2019.</p> <p>Within <b>Achievement for All</b> - The EOTAS strategy and framework are established and have been recently reviewed. The EOTAS report has been submitted to WG and the establishment of provider contracts are in place. The PRU continues to improve and has recently been inspected by ESTYN and has received a positive report.</p> <p>Within Neighbourhood Services, the Draft Parking Strategy is due to be considered by Cabinet and Scrutiny Committee in Quarter 1 of 2019 - 2020. In addition the Cabinet approved full consultation on 18 February, 2019 for the removal of the Fare Paying School Transport potentially saving £180k per annum.</p>												
CP1 PD/F040 (Digital: FIT/IT005, (IT/IT019) FIT/IT007, FIT/F009, FIT/IT010 (IT/IT022), FIT/IT011, FIT/IT012)	Develop and deliver Tranche 3 projects for Digital Vale, Third Party Spend, Income Generation and Commercial Opportunities, Establishment Review and service projects for the Reshaping Services Programme and seek Cabinet approval for business cases as required.	✓	✓	✓	✓	✓	✓	✓	✓	✓	HI/TB (CL/NW)	July 2018	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well- being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
(Third Party: FIT/F006) Income: PD/F035) (DS/F028, DS/F029, DS/F030) (FIT/F008) (HS/A076) (RP/F018) Establishment: (SL/F026, SL/F039) (HS/W028)													
<b>ACTION PLAN:</b>	<p>Good progress has been made in relation to delivering Tranche 3 projects associated with Digital Vale, Income Generation, Third Party spend and Establishment Review work.</p> <p><b>Digital Vale:</b> Work around these project streams remains ongoing. Progress has been made in many areas, these include; website refresh - a new web design was launched in November 2018. Office 365 - the development team are moving towards a technical solution for the implementation across the Organisation. Mayrise/Yota has made progress and is being used in the Service on tablets. There will be further development once the Organisation has found a secure way to integrate with CRM. Meetings continue around software application consolidation, Oracle integration, Finance / online payments system and potential replacement options for the Oracle Enterprise Resource Planning (ERP) system. Progress with Oracle integration has stalled as the</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>search continues to find an integration partner. Finance / online payments system work has commenced decisions. Whilst new systems are being introduced to the organisation, existing legacy systems will be switched off as required. A number of opportunities to consolidate and make savings will be realised as part of the 365 roll out.</p> <p>Following the successful implementation of the Connect &amp; Serve module in quarter 1 e-Citizen remains actively online. E-citizen allows residents to view their council tax, benefits or business rates etc. online in a simple and convenient manner. Information on e-citizen is available on our website. The Digital Strategy team are continuing to discuss options for further promotion of the e-billing service.</p> <p><b>Third party spend:</b> Savings targets were identified and reflected in all directorate estimates for the year in line with the ongoing Reshaping Services Programme. Progress against these targets was monitored on a quarterly basis. Hitting these targets will contribute to the Council meeting its savings targets.</p> <p><b>Establishment Review:</b> Savings targets have been set for Establishment Savings in service areas and have been regularly monitored and reviewed as part of financial monitoring arrangements.</p> <p><b>Income:</b> During the quarter we have explored and implemented new ways of generating income. For example, within the Democratic Services division we have undertaken a review of our fees and our revised fee structure was approved by Cabinet during Quarter 4 which included our ceremony fees in relation to Registrars. During the year, a new charging policy for Environmental Information Requests was approved.</p> <p>Within Housing Services, the Business Development manager has been reviewing additional opportunities for income generation through the teams. Work has commenced on identifying work opportunities with other client groups and new tender opportunities have recently been identified to enable increased business turnover and viability.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Income generation with regard to both Planning Performance Agreement (PPA) and other professional services that can be offered by Planning and other departments and advertising opportunities continue to be developed and will form part of the Reshaping Tranche 4 agenda.												
CP1 PD/C041 (DS/F027)	Continue to develop and contribute to the corporate projects work streams including Town and Community Councils, Demand Management, Effectiveness of Spend and Digital Vale.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB (JR)	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register
ACTION UPDATE:	A revised draft Charter was considered by the Community Liaison Committee on 29th January 2019 all town and community councils have been asked to comment on the draft. This will be reported to the Committee and then on to Cabinet, resulting in a small delay but one that will provide further opportunities for involving stakeholders. Work has continued on the action plan associated with the voluntary sector compact. During the year arrangements were put in place to support the transfer of single use sports facilities and further CAT options.												
CP1 PD/W044	Contribute to the development of a programme of training to support managers in delivering the Reshaping Services Programme.		✓	✓	✓	✓	✓	✓		✓	TB (HR HoS)	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.



Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	During the final quarter of the year, the management development programme concentrated on the introduction of the core competency and management competency frameworks. These illustrate the behaviours all council staff need to exhibit in order to ensure the Council's vision and Reshaping Services programme are delivered successfully.												
CP1 PD/F042	Work with services to ensure appropriate resourcing for Reshaping Services projects in order to achieve the required transformational change.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register.
ACTION UPDATE:	Work to support services has continued, with regular discussions at the Programme Board on the level of resource available for projects. The Income Generation and Commercial Opportunities Programme Board have agreed to use external expertise to support the sponsorship of the summer event programme as a pilot to identify the best way to provide commercial expertise and capacity to the various projects which are being established.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well- being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CP1 PD/AM043 (DS/F026)	Explore and promote further opportunities for Community Asset Transfers in light of the revised Compact with the Voluntary Sector and the Strong Communities Grant Fund.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB (JR)	March 2019	Red (Slipped)
<b>ACTION UPDATE:</b>	Democratic Services staff continue to provide input into the CAT working group which evaluates any expressions of interest and business cases for CAT. The review of the Community Asset Transfer (CAT) Guidance is progressing well and has been informed by the single use sports facilities work and as such, will now be completed during Q1 rather than Q4.												
CP1 PD/AM047 (FIT/AM003, FIT/AM004)	Deliver the final phases of the Space Project to improve efficiency in the way services operate and deliver financial savings.		✓	✓		✓				✓	TB (CL)	March 2019	Green (Completed with ongoing development)  Action completed and will be reflected as a control in the Register.

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	<p>The work in 2018/19 has been completed. Welsh Government funding has been secured to support the Space project in 2019/20 and will enable occupancy study data to be gathered and evaluated electronically. As part of the Reshaping Services programme for future years, the use of office accommodation is being considered with future proposals for rationalisation being developed in due course.</p> <p>The tender exercise via sell2wales has been completed and the data capture devices and software licence has been acquired. The Council has taken delivery of the devices and a project board for the next phase of the space project has been set up and governance arrangements agreed. This action will be continued into 2019/20 and any implications reported to Cabinet at appropriate times.</p>												
CP1 (FIT/F002)(LS/C002)	Continue to support the Council’s Reshaping Services Agenda and its associated projects in relation to advice on financial matters, ICT, property assets, governance, risk and legal matters.	✓	✓	✓	✓	✓	✓	✓	✓	✓	CL/DM	March 2019	Green (Completed with ongoing development)  Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Finance continues to be represented on key project boards relating to the Reshaping Services agenda. This quarter includes the income generation and commercial opportunities board, the digital strategy board and car parking strategy board.												

## Appendix 2 Corporate Risk 2: Response to Legislative Change and Local Government Reform

### Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	<p>This risk focuses on how we respond to new and emerging legislative requirements, particularly where the nature of the legislation is cross-cutting in terms of the impact it has on a variety of service areas. There is the risk that there is a failure to be able to effectively co-ordinate the implementation of significant legislative change across the breadth of Council services/functions. This applies to key pieces of legislation such as the Well-being of Future Generations Act, the Social Services and Well-being Act and the emerging local government reform agenda.</p> <p>The Well-being of Future Generations Act came into force in April 2016. The primary aim of the Act is to ensure public bodies improve the economic, social, environmental and cultural well-being of Wales in accordance with the sustainable development principle. Following our experience as an early adopter, we introduced a new Corporate Plan 2016-2020. The new Corporate Plan has been designed around a set of four well-being outcomes and eight well-being objectives which will ensure consistency, across all Directorates, with the seven Well-being goals specified by the Act. The risk can be defined as the failure to meet requirements of the Act and embed the sustainable development principles and therefore fail to contribute towards meeting the Wellbeing Goals (and the associated five ways of working) into all aspects of our service delivery.</p> <p>The Social Services and Well-being Act also came into force in April 2016; it places an emphasis on:</p> <ul style="list-style-type: none"> <li>• <b>Voice and control</b>-putting the individual and their needs at the centre of their care and giving them a voice and control to define their outcomes and achieve wellbeing.</li> <li>• <b>Prevention and early intervention</b>-increasing preventative services within communities to reduce the need for more intensive intervention.</li> <li>• <b>Wellbeing</b>-is about supporting people to identify outcomes and supporting them to achieve their own wellbeing.</li> <li>• <b>Co-production</b>-involves encouraging people to become involved in the design and delivery of services with a focus on alternative delivery models and using social enterprises, co-operatives, user-led services and the voluntary sector.</li> </ul> <p>This work is being undertaken at both a local and regional level, driven through the Cardiff and Vale Integrated Health and Social Care Partnership Board. The risk can be defined as the non-compliance with requirements of the Act by failing to improve the wellbeing of people and their carers who</p>

need care and support as well as the failure to effectively transform service delivery across social services in line with the Act.

There continues to be a risk in relation to the proposed new Local Government Bill in terms of reforming Local Government. The emphasis has been on regional working/collaboration. The areas of regional working focus around economic development, strategic land use planning and strategic transport in relation to three larger regions; North Wales, Central and South West Wales and South East Wales with scope for sub-regional working. The key risk associated with this is the effectiveness of regional working arrangements and their ability to deliver localised services that best meet the needs of communities.

Whilst the Welsh Government has indicated that merger arrangements are not to be progressed for all local authorities, there is uncertainty relating to the reform agenda. A working group has been established by WG and are currently working on a number of key themes, including collaboration and shared services. This work is anticipated to be completed by the spring of 2019 and further information will be provided for consultation with councils thereafter.

The Additional Learning needs and Education Tribunal (Wales) Act 2018 looks to transform the system for supporting children and young people additional learning needs in Wales. Although the legislation and statutory guidance is just one part of the reforms that are being introduced it will have a fundamental impact on how ALN provision is delivered in the future. The encapsulates 11 main aims that is supported by a wider range of reforms, measures and sub-ordinate legislation as well as an Additional Learning Needs Code that will sit alongside this Act. The new legislation brings together a single legislative framework for children and young people from birth up to the age of 25 who have additional learning needs. This expands on our previous remit which was 3-19 years. The ALN Code will provide the detail of how assessments and decisions regarding provision are made. Section 9 sets out the same duty on governing bodies of both schools and Further Education Institutions (FEIs) to decide whether pupils/students have ALN 'where it is brought to [their] attention or otherwise appears to [them]' that they 'may have ALN'. Where a governing body of a school or FEI decides that a pupil/student does have ALN, section 10 of the Bill will require them to prepare and maintain an Individual Development Plan (IDP) for them (with statements, School Action and School Action Plus no longer existing). Therefore, all learners with ALN would have the same type of statutory plan irrespective of their age or whether they are in a school, a school sixth form or an FEI. The other significant change as part of the Act, is that it intends to improve transition by transferring the responsibility for post-16 provision from Welsh Ministers to Local Authorities. This will require local authorities to work with post-16 providers to work together to plan and provide services collaboratively. There is the concern that this legislation could lead to a dilution in support services for those who have the most severe and complex needs (i.e. those who previously had statements) especially if all learners will now require the same type of statutory plan. The

CR2: Legislative Change and Local Government Reform

	<p>Act also has a much greater focus on working collaboratively, particularly in relation to health bodies. The Act also allows for greater involvement and participation amongst children and young people and gives parents/carers and young people the right to appeal against decisions made regarding their ALN and/or IDP. Local Authorities will also be required to provide access to independent advocacy services. There is also the expectation that services will be available through the medium of Welsh to create parity of provision, which is likely to have an impact on our ability to meet Additional Learning Needs. To support the implementation of this transformation programme, the Minister for Lifelong Learning and Welsh Language announced a £20million funding package. The overall risk associated with this new legislation, relates to our capacity and capability to effectively meet the Additional Learning Needs of our learners from birth to 25. This is against a backdrop of growing demand for ALN provision due to increasing numbers of children and young people presenting with increasingly more complex needs. This is likely to impact on our ability to meet those needs in line with requirements of the legislation at a time when our budgets are already under pressure.</p>
--	--

1.2 Risk Owner	Corporate Management Team
----------------	---------------------------

1.3 Impact on our contribution to the Wellbeing Goals

A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	Yes	Yes	Yes	Yes	Yes	Yes

1.4 Risk Categories

Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	<p>Political and legislative repercussions of failing to meet the requirements of the Social Services Wellbeing Act, Wellbeing of Future Generations Act and the proposed new Local Government Bill and Additional Learning Needs and Education Tribunal Act could lead to litigation, fines and/or political instability.</p> <p>Failure to fully embrace and participate in discussions/collaborative opportunities as a result of the proposed new Local Government Bill could have detrimental impact on political leadership of the Council.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		Failure to represent the Vale of Glamorgan Council's position in relation to the Local Government Reform agenda, as a local authority in its own right providing services to our residents.
<b>Resources</b>	Yes	<p>Insufficient funding to ensure that we can meet our legislative requirements associated with the Social Services Wellbeing Act, Wellbeing of Future Generations Act, and the proposed new Local Government Bill.</p> <p>The financial management of responding to and resourcing legislative changes/Local Government Reform across a breadth of services and the impact of any reform will be a major undertaking, and developing adequate arrangements for managing these aspects will be key.</p> <p>Insufficient knowledge and expertise to fully meet the new requirements of the Additional Learning Needs Education Tribunal Act. This could have significant training and development implications for the local authority staff as well as school-based staff.</p> <p>Lack of capacity to meet extended requirements of ALN provision (from birth to 25 years) The legislation will require a significant amount of additional provision to be created without sufficient additional financial resources.</p> <p>Insufficient funding to deliver our additional duties under the Additional Learning Needs Educational Tribunal Act. The discharge of new responsibilities/duties under the Act (in relation ALN provision from birth to 25) could present a significant financial risk to the Council where there is already a growing need for ALN provision. Only a finite amount of funding will be transferred from the Welsh Government to fulfil the duties, which is likely to be insufficient to fully meet needs.</p> <p>Loss of EU funding impacting on our ability to sustain delivery of these programmes.</p> <p>Inability to access vital supplies (e.g. food, water fuel, medicines, materials, goods etc) from EU countries and increased costs associated with imported goods due to the potential imposition of tariffs.</p> <p>Loss of EU staff from business critical/hard to recruit positions. Applies to staff directly employed by the Council as well as indirect Agency staff/Contractors.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		Reduction in income from fees/charges due to increased bad debts as a result of any economic downturn/austerity.
<b>Service Delivery and Wellbeing</b>	Yes	<p>There is a risk that in failing to deliver the requirements of the Wellbeing of Future Generations Act, the Additional Learning Needs Education Tribunal Act and the Social Services Wellbeing Act, that the wellbeing of our residents/service users will be negatively impacted and that our services do not meet the basic needs of our communities.</p> <p>Given the duty placed on the Local Authority for increased citizen engagement within the Well-being of Future Generations Act and the Social Services and Well-being Act, there is a risk if this work is not joined up then citizens will be repeatedly surveyed and consultation exercises may lose their value through survey/consultation fatigue.</p> <p>Risk in delivering major change associated with legislative change/Local Government Reform, service delivery as 'business as usual' is not prioritised, negatively impacting on our residents.</p> <p>Inability to deliver a fully bilingual service in terms of Additional Learning Needs creating a lack of parity of provision across the service and a failure to meet both the requirements of the legislation and the needs of our learners.</p> <p>Risk that this legislation could lead to a dilution in support services for those who have the most severe and complex needs (i.e. those who previously had statements) especially if all learners will now require the same type of statutory plan.</p> <p>Failure to engage partners to meet their commitments/requirements as part of the Additional Learning Needs Education Tribunal Act. There is the risk that the expectations of partners are at odds with each other in terms of their responsibilities and duties under the Act.</p> <p>Capacity to put in place increased checks at our Port and Airport.</p>
<b>Reputation</b>	Yes	<p>Effective communication with staff and with our customers will be essential during a time of significant organisational change.</p> <p>Failure to communicate effectively could undermine the trust of employees, external stakeholders and our customers and poorly orchestrated delivery of organisational reform and changes associated with legislative change.</p>



1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity. Lack of credibility and potential criticism from our external regulators.</p> <p>Reputational damage associated with non-compliance with the Additional Learning Needs Education Tribunal Act and the negative criticism this could attract from our Regulators (Estyn).</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Resources</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Service Delivery &amp; Well-being</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Reputation</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Overall Inherent Risk Score</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments relating to legislative change.</li> <li>Council Leader and Managing Director are members of key national bodies such as the WLGA, SOLACE Wales and the City Deal arrangements.</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Insight Group oversees the coordination of integrated planning activity for the Council in terms of delivering against the sustainable development principle.</li> <li>The Public Service Board has adopted the plans and structures of the former LSB and will continue to deliver the identified priorities until the Wellbeing Plan is published.</li> <li>Work stream groups for the implementation of the Social Services Wellbeing Act are fully operational.</li> <li>Work closely with the Consortium with regular progress updates and reports. There are four Consortium Transformation Leads across the region that meet monthly. The local lead for the Vale of Glamorgan reports back to the Director of Education who is accountable for delivery of the ALN implementation plan.</li> <li>In relation to ALN, the Transformational project Board meetings are attended regularly and monitoring of the overall plan is on target.</li> <li>Production of the Regional Partnership Board Annual Plan.</li> <li>Publication of Annual Report that incorporated requirements of the Annual Well-being Assessment as part of the Well-being of Future Generations (Wales) Act.</li> <li>A WAO Assessment Framework to help inform the national framework for auditing councils' implementation of the Well-being of Future Generation (Wales) Act has been piloted and findings reported at a national conference.</li> </ul>			
<b>Resources</b>	<ul style="list-style-type: none"> <li>Worked with the PSB to develop a Wellbeing Assessment that has identified community needs alongside community assets in the form of a Well-being Plan.</li> <li>Raised awareness amongst staff regarding the requirements and implementation of the Social Services</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Wellbeing Act and identify opportunities to up skill staff across the social care sector to ensure they are able to meet the demands of the Act. A training programme is in place that appropriately responds to the Division's training needs identified in relation to the Act.</p> <ul style="list-style-type: none"> <li>Continue to support the ongoing development of the DEWIS information portal.</li> <li>Budget setting process includes considerations of cost pressures arising from legislative change.</li> <li>Worked with the Regional Partnership board to produce a Population Needs Assessment. In response to the Needs Assessment an Area Plan has been developed and consulted on.</li> <li>The Vale of Glamorgan has successfully implemented transition services underpinned by a Transition Protocol, which supports best practice across agencies. This protocol is being updated to reflect the changes required as part of the Additional Learning Needs Act.</li> <li>Reflecting on the positive overview of the Vale approach, Cardiff has developed a CS 'CHAD transition team' which aligns with transition arrangements for children in the Vale, which is moving us towards a more equitable and regional approach to supporting young people through transition.</li> <li>Research work in relation to the Accommodation with Care Strategy has been completed and a housing survey and consultation with service users has also been undertaken.</li> <li>Agreement for a pooled budget for older person's care home placements across the three statutory partners has been put in place and is operational.</li> <li>In preparation for the implications of the ALN Act a review of the workforce has been undertaken. This review evaluated the expertise of staff and</li> </ul>			

**2.2 Controlling Inherent Risk**

Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>has helped to identify new ways of working to better meet requirements of the Act. A readiness survey has been completed to further identify areas of development. A PCP audit has been undertaken and results have been analysed in clusters and regionally.</p> <ul style="list-style-type: none"> <li>Central staff and Council Members have been trained on the upcoming changes in the Bill.</li> <li>A Training Plan and a programme of training has been delivered to staff and school-based staff to reflect the new requirements in relation to the ALN Act.</li> <li>Funding for a number of small 3rd sector community groups funded via Delivering Transformation Grant has been approved in relation to the Social Services and Well-being (Wales) Act.</li> <li>Regional Commissioning Board continues to meet on a monthly basis to discuss fee setting and to identify areas of joint working.</li> <li>The Regional Coordinator for Sustainable Social Services continues to represent the region on the Quantitative Writing group, providing technical expertise and developing new requirements for the quantitative data and accompanying guidance. The Regional Coordinator has also been invited to sit on the Welsh Government's qualitative writing group to inform the consultation aspects associated with the Social Services and Well-being Act's delivery.</li> <li>Successful recruitment of a Marketing and Recruitment Officer in the Placements Team which will help with securing placements to meet need.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Implementation of the Social Services Wellbeing (Wales) Act Action Plan.</li> <li>Continue to pursue collaborative opportunities with partners in neighbouring organisations.</li> <li>Worked with the PSB to develop a Wellbeing Assessment that has</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>identified community needs alongside community assets.</p> <ul style="list-style-type: none"> <li>The Well-being Plan has been approved by the Public Service Board (PSB) and by the relevant boards of the statutory partners. The Plan was informed by the detailed Well-being Assessment published in 2017 and sets out how partners will work together to improve well-being across the Vale.</li> <li>We have reviewed our Well-being objectives as part of the Council's annual self-assessment process to ensure the well-being objectives remain relevant in contributing to the Council delivering our corporate priorities and contributing to the national well-being goals.</li> <li>At each Public Services Board (PSB) meeting there is a focus on one of the four objectives with key officers attending to provide updates and discuss issues.</li> <li>Continue to promote Dewis at local events and key access points in the community, and are also using social media to advertise it to the general public, with 'Wellbeing Wednesday' tweets going out via Cardiff and the Vale Twitter platforms, targeted Facebook Ads being trialled, and Dewis adverts now on a number of GP screens across the region.</li> <li>Implemented new assessment processes to ensure compliance with the requirements of the Social Services Wellbeing Act.</li> <li>Processes at the Customer Contact Centre to support the provision of an Advice and Assistance Line have been reviewed and updated. There is also ongoing review of our Quality Assurance and Performance Management procedures that is now business as usual.</li> <li>The Welsh Community Care and Information System was launched in November 2017 to enable the safe</li> </ul>			

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>sharing of information and deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act.</p> <ul style="list-style-type: none"> <li>We have successfully implemented transition services underpinned by a Transition Protocol, which supports best practice across agencies.</li> <li>The Social Value Forum is in place and being supported through the Integrated Health and Social Care Partnership. This Forum will develop in maturity and is expected to shape future service delivery through working with statutory partners to meet the needs of the Citizens of the Region.</li> <li>The Council's Duty to Report Safeguarding Concerns procedure is in place to provide employees with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V.</li> <li>We have commissioned a Direct Family Support service to provide contact and support for children with additional needs and their families.</li> <li>A three year ALN Implementation Plan for the Central South Consortium Region was agreed in August 2018. Delivery of the Implementation Plan is monitored by the transformational lead for the Vale of Glamorgan with progress reported back to the Director of Education.</li> <li>In relation to ALN, all schools are now organised in Secondary school feeder clusters. Cluster leads are meeting regularly with the transformational Lead, working on priorities for the ALN Bill. IDP format has been trialled within the special school cluster and within mainstream cluster groups.</li> <li>For the tracking and monitoring of ALN pupils, all staff are able to access the system called ONE. Process maps for</li> </ul>			

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>ONE have been developed to ensure that procedures are used consistently.</p> <ul style="list-style-type: none"> <li>Early Years meetings continue to be attended, regionally and with Cardiff. Two different teams of Early Year Meetings have been attended - transformational Additional Learning Needs (ALN) Bill meetings and Disability Future meetings. Through attendance at the Early Year (EY) meetings a core set of staff have been identified to develop an action plan of early identification for the Vale, ensuring that information is shared with the correct staff and schools.</li> <li>Strengthened our approach to Citizen Engagement in relation to the Challenge Process associated with the Director of Social Services Annual Report.</li> <li>A Continuing Health Care Draft Policy has been endorsed by all key partners to improve transparency of the process as it relates to children and young people.</li> <li>An action plan has been developed to improve the clarity definitions and terminology used by Contact Centre staff and professionals in relation the IAA model. This action plan will be monitored by the 'Wellbeing Matters' Steering group.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Comprehensive consultation and engagement via the 'Let's Talk' campaign with citizens in order to inform the production of a Population Needs Assessment in relation to the Social Services Wellbeing Act and the development of the Wellbeing Assessment/Well-being Plan as part of the Wellbeing of Future Generations Act.</li> <li>A communication strategy in relation to the ALN Act has been developed and agreed.</li> </ul>	2	1	2
<b>Overall Effectiveness of Controls Score</b>		<b>2</b>	<b>1</b>	<b>2</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	2	4	2	2	4	↔	↑
Resources	4	3	12	2	1	2	2	3	6	↔	↔
Service Delivery & Well-being	3	3	9	2	1	2	2	3	6	↔	↔
Reputation	4	3	12	2	1	2	2	3	6	↔	↔
<b>Average risk score/ direction of travel</b>	4	3	12	2	1	2	2	3	6 (Medium)	↔	↔



3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH7 RM/A004	Review and amend our processes for Adults at Risk to ensure we remain compliant with the Social Services and Well-being (Wales) Act.	✓	✓	✓	✓	✓		✓	✓	✓	NJ	March 2019	Green (Completed)
<b>ACTION UPDATE:</b>	Initial process mapping work has started in relation to this area of work. This will dovetail with the new Wales Safeguarding Procedures due to be launched later this year and all relevant staff will be encouraged to attend and engage with the training programme developed in line with the new procedures.												
AH7 RM/A006	Deliver the Citizen's Panel work stream and establish a Citizen's Panel that complies with requirements of the Social Services and Well-being (Wales) Act.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register.
<b>ACTION UPDATE:</b>	During the year the work stream has completed a mapping exercise that identified 177 groups across the region who we engage with and a high level infographic was produced to demonstrate the engagement possibilities across the region. We also commissioned a number of digital stories to promote the care and support services. Plans are in place to for the "Strengthening Citizen Engagement Challenge Process", although the numbers expressing an interest were lower than anticipated, and we are currently working with officers to consider alternative options to engage individuals in the process. This has resulted in a delay in the first meeting that was originally scheduled for January, and is now being planned for the first quarter.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH7 RM/A026	Continue to identify opportunities for joint commissioning where it can be evidenced to be of benefit in line with duties set out in Part 9 of the Social Services and Well-being (Wales) Act.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GJ	March 2019	<b>Green (Completed with ongoing development)</b>  Action completed and will be reflected as a control in the Register.
<b>ACTION UPDATE:</b>	The Regional Commissioning Board continues to meet on a monthly basis to discuss fee setting and to identify areas of joint working. The draft joint Care Home specification is out for consultation, with a view to the final document being launched in October 2019. A working group has been established and met on two occasions so far to agree on a toolkit for determining care home fees in 2020/21.  This work will continue in to next financial year.												

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH7 RM/A007	Continue the work of the Regional Steering Group and the long term commitment of the previous 'Delivering Transformation Grant' associated with delivery of the Social Services legislation.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AP	March 2019	Green (Completed with ongoing development)
<b>ACTION UPDATE:</b>	The Regional Steering Group and its work streams has worked well during the year. A significant change in membership has established new relationships and a continued commitment to regional working. Colleagues from across the region have worked together to deliver on key service improvement actions in the RSG Development Plan in areas such as: IAA; Social Value; Dewis Cymru; Carers; Citizen Engagement; Advocacy; Eligibility, Assessment and Meeting Needs.												
AH7 RM/A008	Support the Welsh Government review and further implementation of the National Performance Measurement Framework in line with the new requirements of the Social Services and Well-being (Wales) Act going forward.	✓	✓	✓	✓		✓	✓		✓	AP	March 2019	Green (Completed with ongoing development)
<b>ACTION UPDATE:</b>	The region continues to support Welsh Government in the development of a new Performance and Review Framework. The Regional Coordinator for Sustainable Social Services continues to represent the region on the Quantitative Writing group, providing technical expertise and developing new requirements for the quantitative data and accompanying guidance. Regional consultation events are now being planned to share the work with managers and practitioners from across the region. The Regional Coordinator, together with the Policy and Assurance Officer in the Vale have also been invited to join the Qualitative Writing Group which will be focusing on the consultation side of the framework.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH7 CS/A024	Continue to work with Cardiff Council and Cardiff and Vale University Health Board to increase the transparency of the continuing health care process, as it relates to children and young people and seek local authority membership of the panel.	✓	✓	✓	✓	✓	✓	✓	✓	✓	RE	March 2019	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register.
<b>ACTION UPDATE:</b>	The draft policy has been considered by all partner agencies with endorsement to proceed to finalisation. Implementation will take place as planned in 2019/20.												
AH7 CS/A025	Utilising the frameworks offered by the Children's Commissioning Consortium Cymru (4Cs) and the National Fostering Framework, address the challenges associated with the shortfall of children's placements.	✓	✓	✓	✓	✓	✓	✓	✓	✓	RE	March 2019	<b>Green (Completed with ongoing development)</b> Action completed and will be reflected as a control in the Register.

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Challenges remain locally, regionally and nationally in securing sufficient placements to meet need. Efforts however continue in moving forward with local, regional and national work streams. The 4Cs residential contract is on track for launch in April, with the intention of increasing capacity and choice. The Vale has been successful in recruiting a Marketing and Recruitment Officer in its Placements Team and the post holder is expected to commence in post shortly.												
AH7 AS/A009	Review and amend processes at the Customer Contact Centre to support the provision of advice and assistance (IAA model) in line with requirements of the Act.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2019	Green (Completed with ongoing development)  Action completed and will be reflected as a control in the Register.
ACTION UPDATE:	CIW undertook a focused activity at the Customer Contact Centre in February. They identified that there was some confusion between professionals as to the interpretation of what is meant by advice and what is meant by assistance. As a consequence of this feedback an action plan has been developed and an audit regarding training completed by CSRs and other Contact Centre staff to ensure that there is clarity in relation to the definitions and corresponding actions going forward. This action plan will be monitored by the ‘Wellbeing Matters’ Steering group. Positive steps have been introduced regarding advocacy for all service users and provision of information and advice as a preventative and signposting function, the support of the Third Sector broker has been significant in helping achievement in this key area.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH7 AS/A022	Promote the use of Dewis Cymru for the provision of information, advice and assistance for preventative services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2019	<b>Green</b> <b>(Completed with ongoing development)</b>  Action completed and will be reflected as a control in the Register.
<b>ACTION UPDATE:</b>	The new Dewis Project Manager and Dewis Project Support Assistants have made great progress since their appointment. They have a plan in place to establish Dewis as the resource directory to be used by all service areas across the region. They have promoted Dewis at local events and key access points in the community, and are also using social media to advertise it to the general public, with 'Wellbeing Wednesday' tweets going out via Cardiff and the Vale Twitter platforms, targeted Facebook Ads being trialled, and Dewis adverts now on a number of GP screens across the region. They have trained a number of new users and are establishing Dewis resource leads in other Directorates. The outcome of their work is that Dewis is increasingly seen and used as the resource for information provision, advice and access to preventative services. In the past year in our region, we have seen an increase in the total number												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	of registered users from 805, to 1,291, and in the total number of published resources from 973, to 1,799. In February 2019, 8,459 resource pages were viewed.												
AH7/8 PD/A031	Continue to work with partners to improve self-service options to ensure that customers’ enquiries are resolved as quickly as possible, complying with the Social Services and Well-being (Wales) Act 2014.	✓	✓	✓	✓	✓		✓	✓	✓	TC	March 2019	Red (Slipped)
AH7/8 PD/A018	Work with Adult Service to improve processes at the Customer Contact Centre to support the provision of advice and assistance in line with requirements of the Social Services and Well-being (Wales) Act												
ACTION UPDATE:	Authorisation has been granted to commence an engagement exercise with Customer Relations, Adult Services and Health staff on how to meet the objectives following on from the Parliamentary Review of Health and Social Care in Wales. Staff meeting where held in September to launch the engagement with recommendations on a way forward expected in January 2019. This work will include a review of options to make services available digitally.  A plan has been established to improve integrated working between Customer Relations, Telecare, Adult Services and Cardiff and Vale University Health Board (UHB) and create a unified service under the working title "Wellbeing Matters". This work will continue through 2019.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CP4 PD/A052	Work with partners to deliver the four Well-being Objectives in 'Our Vale Our Future' the Public Service Board's Well-being Plan for 2018-23.	✓	✓	✓	✓	✓	✓	✓	✓	✓	HI	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register.
<b>ACTION UPDATE:</b>	Work has been undertaken to agree relevant measures and an approach to the Annual Report. At each Public Services Board (PSB) meeting there is a focus on one of the four objectives with key officers attending to provide updates and discuss issues. Progress is being made across all four objectives with different actions being at varying stages which reflects the long term nature of the plan. The Implementation Group has agreed to meet regularly and this will assist in building momentum into the delivery of the plan.												



3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AC7 AA/A011	Deliver the Welsh Government's priorities for 2018/19 in relation to the Additional Learning Needs Act and monitor the impact.(Central South Regional Implementation Plan)	✓	✓	✓	✓	✓	✓	✓	✓	✓	SR	March 2019	<b>Green (Completed with ongoing development)</b>  Action completed and will be reflected as a control in the Register.
<b>ACTION UPDATE:</b>	All schools are now organised in Secondary school feeder clusters. They have completed the Readiness surveys and PCP audit and analysed the audits in clusters and regionally. Cluster leads are meeting regularly with the transformational Lead, working on priorities for the ALN Bill. IDP format has been trialled within the special school cluster and within mainstream cluster groups. Results are being collated. Code consultation has been completed. Central staff and Council Members have been trained on the upcoming changes in the Bill. Transformational project Board meetings are attended regularly and monitoring of the overall plan is on target.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AC7 AA/A012	Further develop tracking systems for pupils with ALN and monitor impact.	✓	✓	✓	✓	✓			✓	✓	SR	March 2019	<b>Green</b> <b>(Completed with ongoing development)</b>  Action completed and will be reflected as a control in the Register.
<b>ACTION UPDATE:</b>	All staff are able to access ONE. Outreach staff are waiting for the Windows 10 roll out and ICT support. Process maps for ONE have been developed to ensure that procedures are used consistently. Reports need to be developed in order to retrieve the tracking information that will be useful to monitor caseload, progress and achievement.												

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AC7 AA/A013	Establish a system to identify early opportunities for intervention and to identify progress of individual pupils throughout their engagement with the ALN service.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SR	March 2019	<b>Green (Completed with ongoing development)</b>  Action completed and will be reflected as a control in the Register.
<b>ACTION UPDATE:</b>	Early Years meetings continue to be attended, regionally and with Cardiff. Two different teams of Early Year Meetings have been attended - transformational Additional Learning Needs (ALN) Bill meetings and Disability Future meetings. Through attendance at the Early Year (EY) meetings a core set of staff have been identified to develop an action plan of early identification for the Vale, ensuring that information is shared with the correct staff and schools. A job description is being developed for an Early Years Coordinator role, as set out in the ALN Bill. Multi-disciplinary pathways for early identification are being developed with Cardiff to ensure consistency of approach.												

1 – Risk Overview							
1.1 Risk Description		<p>This risk encompasses funding key priorities set out in the 21<sup>st</sup> Century Schools Investment Programme as well as smaller scale asset renewal schemes. It also includes school reorganisation as the reduction of surplus places and condition of school buildings are the primary criteria for securing 21<sup>st</sup> Century Schools grant funding. We anticipate further demand for school places emerging as a result of new and expanding housing developments. Whilst the requirement for increased capacity in certain areas has been identified, in many cases there will be insufficient s106 funding to cover costs placing increased pressure on available funding.</p> <p>There is a risk associated with securing the necessary capital required to fund major investment projects as well as addressing building conditions across all Vale schools. The lack of available funding to address all requirements will result in buildings deteriorating further giving rise to risks associated with health and safety, DDA, business continuity and sustainability.</p> <p>Failure to establish sufficient Welsh medium places in both the primary and secondary sector would impact on the Vale’s ability in contributing to the Welsh Governments plan of one million Welsh speakers by 2050, and commitments required as part of the Council’s Welsh in Education Strategic Plan, and could directly impact on the Vale’s ability to secure 21<sup>st</sup> century schools funding in the future.</p>					
1.2 Risk Owner		Head of Strategy, Community Learning and Resources (TB)					
1.3 Impact on our contribution to the Wellbeing Goals							
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language	
No	Yes	No	No	Yes	No	Yes	
1.4 Risk Categories							
Categories	Yes/No	Definition					
Political & Legislative	Yes	<p>Inability to meet Welsh Government guidance by failing to retain no more than 10% surplus places. Failure to improve the quality of buildings to make them safer and more accessible, resulting in a breach of our duties under the Health and Safety Act Disability Discrimination Act.</p> <p>The Council could fail to meet the statutory requirement to meet the demand for Welsh medium school places and the need to meet the Welsh Government commitment for one million Welsh speakers by 2050.</p>					

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Resources</b>	Yes	<p>Failure to deliver the programme in line with plans approved by Welsh Government could impact on the Council's success in securing grant funding in future bands of the 21<sup>st</sup> Century Schools Programme.</p> <p>There is the risk that insufficient s106 money will impact on our ability to secure sufficient places in schools where there is the highest demand for places.</p> <p>The Council's success in securing capital receipts is critical to the delivery of the programme. Failure to generate capital receipts would result in increased prudential borrowing, the cost of which would fall to be met from the education revenue account at a time when services will be required to identify substantial savings as a result of reductions to the Council's aggregate external financing.</p> <p>Failing to reduce surplus places through investment impacts on effective resource management in schools.</p> <p>Insufficient funds to carry out prioritised asset renewal schemes impacts on health and safety.</p> <p>A requirement of 21<sup>st</sup> Century Schools is that all grant funded schemes should meet BREEAM Excellent which addresses wide-ranging environmental and sustainability issues. Failure to deliver schemes would impact adversely on a range of factors including energy efficiency, carbon emissions, minimising waste and improvements to community involvement and social inclusion.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to implement an appropriate school reorganisation programme as a result of not achieving our surplus place target. Impact of new housing developments is likely to place a significant pressure on school place planning. Insufficient capital funding for building works could lead to further deterioration resulting in implications for health and safety. Funding for adaptations to schools under Disability Discrimination Act is limited and could result in a pupil not being able to attend the school of choice or not being able to access facilities used by other pupils.</p> <p>Failure to meet demand for Welsh medium education.</p> <p>Impact of a poor learning environment on a pupil's learning experience if we fail to meet the 21<sup>st</sup> Century Schools standards.</p>
<b>Reputation</b>	Yes	<p>Failing to provide the right type and number of school places in the right areas could result in the Council being in breach of statutory requirements which would impact on its reputation. Similarly, closure of schools as a result of building failure would attract negative publicity and criticism from the community and regulators.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	3 (Probable)	4 (Catastrophic)	<b>12 (High)</b>
<b>Resources</b>	3 (Probable)	4 (Catastrophic)	<b>12 (High)</b>
<b>Service Delivery &amp; Well-being</b>	3 (Probable)	4(Catastrophic)	<b>12 (High)</b>
<b>Reputation</b>	3 (Probable)	4 (Catastrophic)	<b>12 (High)</b>
<b>Overall Inherent Risk Score</b>	3 (Probable)	4(Catastrophic)	<b>12 (High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Awareness raising session held with members, Insight board and CMT on the issues associated with the 21<sup>st</sup> Century Schools Programme with the need to release funding through the rationalisation of places and the need to generate capital receipts.</li> <li>Comprehensive governance structures in place to effectively monitor and manage delivery of the programme such as Programme Officers and a Programme Board including the Strategic Investment Programme Chief Officers Group (strategic), the Strategic Investment Project Board (operational) and engagement with Welsh Governments Gateway Review programme to identify opportunities and risks with key stakeholders .</li> <li>Strategy to support Welsh medium education, Welsh language promotion and contribute to Welsh Governments target of one million Welsh speakers by 2050 through the Council's Welsh in Education Strategic Plan (WESP).</li> </ul>	2	2	4











2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Resources</b>	<ul style="list-style-type: none"> <li>Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme.</li> <li>Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects.</li> <li>We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements.</li> <li>A revised programme of SIP projects for Band B projects has been approved by Cabinet and Strategic Outline Programme submitted to Welsh Government. All business cases for 2018/19 have been undertaken for approved Band B projects.</li> <li>The new staffing structures and their implementation for both new schools have now been completed and all arrangements are firmly on track for a successful opening in Quarter 2.</li> <li>Data relating to new housing developments is now available and being used to modelling options for school place planning.</li> <li>A preferred alternative site for Pupil Referral Unit (PRU) has been identified subject to consultation.</li> <li>Welsh Government approved the Vale WESP Action Tracker</li> </ul>	2	2	4
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Actively participate in the Council's Carbon Management Group.</li> <li>Work closely with the Planning Officers to identify potential educational demand as a result of new housing developments in order to maximise S106 funding.</li> <li>Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school).</li> <li>Colcot Primary School Barry – Refurbishment (fully funded by Local Authority)</li> <li>Romilly Primary School, Barry – new foundation phase block. (Band A)</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>New 60 place part-time Fairfield Nursery opened.</li> <li>Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now open and operating successfully.</li> <li>School Development needs assessments will continue to inform the new school modernisation programme. This work will require liaison between School Organisation and the newly established 21st Century Schools team looking at need as it relates to place planning up to 2026.</li> <li>New admission arrangements for 2020/21 has now been concluded and approved by Cabinet.</li> <li>Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Survey demand for school places in line with the Council's Welsh Education Strategic Plan.</li> <li>Periodic review rolling 25 year plan for schools asset renewal.</li> <li>Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity.</li> <li>Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>



## School Reorganisation

### 2.3 Residual Risk Scoring & Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	4	12	2	2	4	2	2	4		
Resources	3	4	12	2	2	4	2	2	4		
Service Delivery & Well-being	3	4	12	2	2	4	2	2	4		
Reputation	3	4	12	2	2	4	2	2	4		
<b>Average risk score/ direction of travel</b>	3	4	12	2	2	4	2	2	4 (Medium)		

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AC8 SL/A020	Complete the disposal of assets such as the Eagleswell school site (Ysgol Y Ddraig).		✓			✓	✓	✓		✓	LL	March 2019	Red (Slipped)
<b>ACTION UPDATE:</b>	No further progress update to report with this issue. Alternative options for disposal will be considered.												
AC10 SL/A023	Review current methodology of school place planning		✓	✓	✓	✓	✓	✓	✓	✓	TB/LL	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	The School Organisation data project is continuing to make progress. Data relating to new housing developments is now in place and modelling options are being considered. This is an ongoing project for the Directorate												
AC8 SL/A030	Prepare for all SIP projects identified for Band B of the 21 <sup>st</sup> Century Schools Programme.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register
ACTION UPDATE:	All SIP projects for Band B have been identified. Welsh Government changed the intervention rate in November and as a result the programme was revised. Cabinet approved the revised programme in January and the revised SOP has been issued to Welsh Government. Individual projects will now be progressed through the different stages.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AC8 SL/A031	Investigate alternative learning environments for the Pupil Referral Unit (PRU)	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB/LL/JS	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	A preferred site location has been identified and feasibility work has been undertaken. Work will now begin to develop the consultation on transforming ALN education across the Vale of Glamorgan.												
AC9 SL/A032	Progress the outline business cases and full business cases for all approved schemes in the Band B for Welsh Government.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	March 2019	<b>Green (Completed)</b>  Action completed and will be

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
													reflected as a control in the Register
<b>ACTION UPDATE:</b>	All business cases for 2018/19 have been undertaken. There will be further business cases in the 2019/20 year including - Whitmore High School (FBC), Ysgol Gymraeg Bro Morgannwg (FBC), Pencoedtre High School (FBC), Barry Waterfront (OBC/FBC), St David's (BJC), St Nicholas (BJC) & Western Vale (BJC).												
AC12 SL/A033	Implement changes to the WESP in line with forthcoming legislation from Welsh Government.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB/LL/S G	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Welsh Government approved the Vale WESP Action Tracker which outlines progress made against the actions in the plan over the last 12 months. Welsh Government are currently reviewing the existing WESP regulations with a view to publishing new regulations by December 2019.												
SL/C057	Consult with key stakeholders on school admission arrangements for the academic year.	✓	✓	✓	✓		✓	✓		✓	TB	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The consultation on admission arrangements for 2020/21 has now been concluded and approved by Cabinet.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SL/C058	Consult with key stakeholders on various large scale school organisation projects as part of Band B of the 21 <sup>st</sup> Century Schools Programme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report. Ysgol Sant Baruc consultation has been completed with the consultation report being considered by Cabinet in 2019/20. St David's VA consultation being undertaken by GB. Consultation ended and GB considering responses. St Nicholas CIW - Cabinet agreed to consult on the proposal to expand St Nicholas CIW - consultation underway from 18 March 19.												

## Appendix 4 Corporate Risk 4: Waste

### Return to Risk Summary Report

1 – Risk Overview						
1.1 Risk Description		This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive. There is a Statutory Target for Recycling based on the Welsh Government’s ‘Towards Zero Waste’ Waste Strategy. Aligned to this are national statutory landfill reduction/ diversionary targets. Failure to meet the national waste agenda and meet its associated targets increases the likelihood of incurring significant fines and could have detrimental impact on the Council’s reputation.				
1.2 Risk Owner		Head of Neighbourhood Services and Transport (ER)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	Yes	No	Yes	No	No	No

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	Failure of contract agreements associated with our waste collaborations. Failure to comply with statutory waste targets and the associated Welsh Government guidance.
<b>Resources</b>	Yes	<p>Inability to streamline our approach to optimise productivity as consequence of budgetary cuts and/or staff shortages that will impact on our performance against waste reduction targets.</p> <p>Inability to effectively monitor and manage our contract agreements resulting in poor contractual compliance and performance.</p> <p>Council incurs fines as a result of failing to meet statutory waste reduction targets.</p> <p>National Welsh Government grants are withdrawn as a result of failing to meet statutory waste reduction targets.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including:</p> <p>i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales);</p> <p>ii. pollution of the local environment (e.g. contamination of groundwater; soil contamination).</p>



1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates.</p> <p>Poor engagement with the hard to reach section of our community resulting in lower recycling and composting take up rates.</p> <p>Poor communication following any change in collection methodology resulting in poor take up of recycling and composting services.</p> <p>Increasing waste budget pressures as a result of new developments and an inability to deliver savings in waste management services.</p>
<b>Reputation</b>	Yes	Failure to meet the statutory waste targets and comply with the Welsh Government's waste strategy would have a detrimental impact on the resident's perception of Council services and would attract criticism from our external regulators and Welsh Government.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	4 (Almost Certain)	3 (High)	<b>12 (High)</b>
<b>Resources</b>	4 (Almost Certain)	3 (High)	<b>12 (High)</b>
<b>Service Delivery &amp; Well-being</b>	4 (Almost Certain)	3 (High)	<b>12 (High)</b>
<b>Reputation</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Overall Inherent Risk Score</b>	4 (Almost Certain)	3 (High)	<b>12 (High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running</li> <li>Waste Resource Action Programme (WRAP) is completed. Cabinet agreed a black bag restriction for</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	2018/19 (starting September 2018), to move on a phased basis to the Welsh Government Blue Print.			
<b>Resources</b>	<ul style="list-style-type: none"> <li>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</li> <li>The 25 year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place.</li> <li>Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council.</li> <li>Household Waste Recycling contract operated by the company FCC.</li> <li>A revised waste strategy will be presented to Cabinet during 2019/20 that will take into account the targets up and including 70% recycling 2024/25. In line with this Strategy, Capital funding has been received to implement the service changes for kerbside collections and to construct a Waste Transfer Station during 2018/19 and 2019/20. Mapping of all the new rounds are completed for Residual, Recycling &amp; Food, in preparation for September 2019.</li> <li>Full review of our Enforcement Policy for littering and fly tipping has been completed with an update presented to Scrutiny Members and Cabinet Members noting the progress that has been made and lessons learnt since the contract with the 3GS (environmental enforcement officers) commenced on the 7th October 2016. The 3GS contract has been extended to October 2019. Cabinet agreed this quarter on a revised Enforcement and Inspection Strategy which has agreed to bring this service back in-house.</li> <li>Annually bid for Welsh Government Environment Grant to deliver improvements to the waste management infrastructure.</li> <li>Waste Vehicle savings for 2018/19 have been met.</li> </ul>	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>The route mapping of all the new rounds are completed for Residual, Recycling &amp; Food, in preparation for September 2019.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Increased waste awareness initiatives including a litter summit.</li> <li>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</li> <li>Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery.</li> <li>Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced.</li> <li>Appointed an Environmental Enforcement Partner (3GS) in October 2016 issue fines for dog fouling/littering offences.</li> <li>Council has continued to undertake its normal approach to recycling awareness which has allowed us to ensure we remain on track. This is updating the web site, undertaking letter drops to residential areas where there is poor participation, roadshows with the event trailer and a school education programme.</li> <li>The interim Waste Transfer Station (WTS) at Cowbridge is now operational and further work has been assigned to future proof the site to accommodate the proposed service changes (source separated recycling collections).</li> </ul>	2	2	4
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Regularly implement high profile campaigns in the community to raise awareness of the importance of recycling, composting. Consultation regarding possible changes to waste service including a series of engagement events through throughout the Vale of Glamorgan area.</li> <li>Maximise the use of Social Media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	to raise awareness of dog fouling/littering issues.			
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	3	12	2	2	4	2	2	4	↔	↔
Resources	4	3	12	1	1	2	4	3	12	↑	↑
Service Delivery & Well-being	4	3	12	2	2	4	2	2	4	↔	↑
Reputation	3	3	9	2	2	4	2	2	4	↔	↑
<b>Average risk score/ direction of travel</b>	4	3	12	2	2	4	3	2	6 (Medium)	↔	↑

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ER16 NS/A050	Implement vehicle savings associated with waste management collection rounds.	✓	✓			✓		✓		✓	CS	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	The two vehicle savings identified have been achieved.												
ER16 NS/A022	Continue to exceed the national recycling target (58% for 2019).	✓	✓	✓	✓	✓	✓	✓		✓	CS	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	We are awaiting figures but we anticipate that the recycling target for 2018/19 will exceed the statutory recycling target. The Recycling Target was exceeded in quarter 4.												

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ER16 NS/A026	Bid for the annual Welsh Government Environment Grant.		✓			✓				✓	ER/CS/MS	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Capital funding has been received to implement the service changes for kerbside collections and to construct a Waste Transfer Station during 2018/19 and 2019/20.												
ER16 NS/A029	Progress the development of a waste transfer station and rationalisation of existing operational depots. (Subject to WG CCP funding)		✓	✓	✓	✓	✓	✓		✓	CS	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	The proposed development of a Waste Transfer Station is complete and funding has been secured from Welsh Government to construct the proposed WTS. The proposal will now be presented to Cabinet in the first quarter of 2019/20 to seek permission to build the station as part of the proposed service changes in line with the Collaborative Change Programme.												
ER16 NS/A023	Develop/implement a Waste Reduction Strategy.	✓	✓	✓	✓	✓	✓	✓	✓	✓	CS	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The Waste Strategy has been defined for the Council and the necessary service changes planned for 2019/20. The revised waste strategy will be documented and presented to Cabinet during 2019/20 that will take into account the targets up and including 70% recycling 2024/25.												
ER16 NS/A025	Develop a 7 year Waste Management Plan (2018-25)	✓	✓	✓	✓	✓	✓	✓	✓	✓	ER/CS	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register



3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	The Waste Strategy taken to achieve 64% recycling during 2019/20 and 70% by 2024/25 is complete. This will involve moving to the collections blueprint from 2019 and the necessary infrastructure agreed. This will now be reflected in a waste strategy document and presented to Cabinet in 2019/20.												
NS/IT016	Implement efficient route planning for delivery of waste and other services.	✓	✓	✓		✓				✓	CS	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The mapping of all the new rounds are completed for Residual, Recycling & Food, in preparation for September 2019. Source segregation of recycled products due to be rolled out on a phased basis. During this phased process, two types of vehicle will be operating leading to potentially higher costs during this period.												
NEW ACTION	Review of current waste services standards.	✓	✓	✓	✓				✓	✓	CS	March 2019	N/A
ACTION UPDATE:	RAG not applicable. Service standard review will commence in quarter 1.												

## Appendix 5 Corporate Risk 5: Workforce Needs

### Return to Risk Summary Report

1 – Risk Overview						
1.1 Risk Description		As the Council continues to go through significant change over the next few years it is imperative that we are able to anticipate the human resources implications of such change and ensure that we have a number of people with the right skills and experience to deliver the services of the future. In managing the risk it is important to consider the particular challenges presented by the current financial pressures within the public sector, the need to ensure the engagement of staff throughout the change process and the need to plan for and respond to issues of anticipated skills shortages. The risk needs to be considered alongside the Council’s reshaping services agenda and the potential impact the proposed model of local government reform could have on our workforce. Therefore, the innate risk is the inability to anticipate and plan for the workforce needs of the future in order to meet the changing service requirements.				
1.2 Risk Owner		TBC				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	Yes	Yes	Yes	Yes	Yes

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	Political and legislative repercussions of failing to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.
<b>Resources</b>	Yes	<p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on a range of factors including the commitments to increase the number of apprenticeships within the Council (and wider community), the increase of younger employees (as a percentage of the wider workforce) and the aims within the Council's Equalities Strategy.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan (and specifically in relation to change management) would impact adversely on the Council's ability to respond to financial challenges over the next four years.</p> <p>The realisation of the risk would lead to an inability to recruit and retain suitably qualified staff with appropriate skills in the right areas to deliver services effectively. E.g. Inability to recruit and</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>retain staff in business critical posts due to the impact of market forces and/or skill shortages.</p> <p>It would also lead to an inability of leadership to respond to the changing policy landscape and the challenges this presents, impacting on our ability to deliver good quality services to meet the needs of our citizens. Loss of leadership impacting on our ability to continue to drive forward organisational change.</p> <p>There would be a potential failure to effectively engage and mobilise our resources to deliver our workforce priorities and have the appropriate skills in place, in the right areas to deliver services effectively.</p> <p>Failure to maintain momentum regarding staff engagement.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to properly anticipate and respond to future workforce needs could pose a threat to the effectiveness and viability of sustainable service delivery and its ability to meet achieve the outcomes and priorities set out in our Corporate Plan.</p> <p>There would be a potential inability to anticipate and plan for workforce needs of the future in order to meet changing service requirements.</p> <p>There would also be an inability to manage and support organisational change impacting on our ability to deliver sustainable services both now and in the future.</p>
<b>Reputation</b>	Yes	<p>Negative perception of the Council amongst citizens as an employer impacting on recruitment and retention rates across the organisation.</p> <p>Failure to put in place succession pathways in place to address our ageing workforce in specific service areas.</p> <p>A key aspect of the workforce plan (section 6/theme viii) is the need to ensure the Council have a workforce that reflects the wider community. Within this are specific aspects to ensure that measures are taken to ensure representation from protected groups under the Equalities Act 2010. A particular feature of this includes strategies to deal with occupational segregation and address the gender pay gap that exists nationally and locally. A failure to implement actions within the workforce plan would impact adversely on such equalities commitments and our reputation as an employer.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Resources</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>

## CR5: Workforce Needs

<b>Service Delivery &amp; Well-being</b>	2 (Possible)	2 (Medium)	<b>4 (Medium)</b>
<b>Reputation</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Overall Inherent Risk Score</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>

<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
<b><i>Political &amp; Legislative</i></b>	<ul style="list-style-type: none"> <li>CMT/Cabinet, Joint Consultative Forum and Change Management Board receives regular reports on a range of HR issues and developments.</li> <li>Robust performance management arrangements in place across all service areas.</li> </ul>	2	2	4
<b><i>Resources</i></b>	<ul style="list-style-type: none"> <li>Managers are supported through the management of change through training and ongoing advice from HR Officers and supported by Organisational Development.</li> <li>The Workforce Plan is aligned to the Corporate Plan in relation to workforce needs. A review of corporate workforce priorities has been undertaken as part of the senior management development session and will now form the basis of a refresh of the Corporate Workforce Plan.</li> <li>The HR team has been restructured to increase the information, planning and performance capacity of the team and to increase the focus on business and organisational development issues.</li> <li>The Leadership Café is an effective mechanism to support succession planning and leadership development across the Council. The Café will be rebranded during the first quarter of 2019/20 to the 'Learning Café' to broaden its focus and appeal to a wider section of the workforce.</li> <li>The Management Competency Framework continues to be used to enhance skills and expertise at our Team Manager level. The competency frameworks are now complete and integrated into both iDev and the #itsaboutme process.</li> <li>Management Competency Framework is live and is used with the #itsaboutme</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>process. 'Staff Charter' is fully embedded within the organisation. Some commitments within the Staff Charter relate to celebrating success and staff recognition. The establishment of the 'Going the Extra Mile' scheme (GEM), provides an opportunity to put forward members of staff in recognition for their work. These stories are then celebrated and shared with staff on the internal Staffnet. In addition to this the Council has established a Team Awards event to recognise the good work of both individuals and team across the Council.</p> <ul style="list-style-type: none"> <li>• The Staff Engagement Strategy has now been embedded with mechanisms to evaluate ongoing engagement. There are quarterly joint CMT engagement meetings. The Vale Induction Programme contributes to our ability to build a resilient workforce, strengthen staff knowledge and understanding of the Council's vision, values and contribution to the achievement of our corporate priorities.</li> <li>• HR Business Partners and Assistant Business partners continue to support managers in Change Management Reviews. Support was successfully provided in relation to the extension of the Shared Audit Service.</li> <li>• Chief Officer briefing sessions and management development sessions were held support reshaping and discuss the staff results.</li> <li>• Apprenticeship pathway is in place to enable direct recruitment of apprentices and enables us to better support succession planning.</li> <li>• Regional Training and Workforce Development Unit has been established to ensure that we invest in training of social care professionals and support secondments and placements.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Workforce planning processes delivered with a focus on alternative service delivery and workforce implications.</li> <li>• The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data.</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>We continue to move towards a HR Self-Service model.</li> <li>Organisational Development support provided to the Reshaping Services Programme continues to influence how we deliver alternative models of service delivery.</li> <li>#itsaboutme staff appraisal process has been reviewed to ensure it remains relevant year on year to staff to connect staff activity to corporate priorities and ensures it continues to contribute to the Staff Charter and Reshaping Services Agenda. The appraisal process has been launched on i Dev.</li> <li>The Council is a Stonewall Champion committed to ensuring we have an inclusive work place for all lesbian, gay, bi and trans-sexual staff. We have developed an action plan to further evidence that we have an inclusive work place. The Council has contributed to the Stonewall 2018/19 Employment Index Survey and increased the number of respondents to the survey and improved our Index position. During the year we contributed to the development of GLAM, a new brand for the Council's network for LGBT colleagues and allies.</li> <li>The NJC Single Status 2019 pay award has been assimilated into a new pay and grading structure which has been agreed. This will meet our national and local reward strategy obligations and place the council lowest pay rate for employees above the Foundation Living Wage rate.</li> <li>The Management Competency Framework is in place. Several management development sessions continue to be held with managers focusing on managing the future, the Digital Strategy and commercialisation. Chief Officer briefing sessions and a management development sessions have been held in accordance with the new Management Competency Framework. This work has helped ensure managers are up skilled to fulfil their roles effectively to meet the challenges facing the Council and the new ways of working as part of the Reshaping Service programme.</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>We have procured an E Bulk solution to provide a significant reduction administration and the time in accessing Disclosure and Barring Services (DBS) certificates. The E Bulk system service is now operational.</li> <li>The new HR Structure has been embedded and all posts within the Business Partnership, Organisational Development and Employee Services teams have now been filled. Transition arrangements are nearing completion along with a programme of streamlining processes and exploring digitalisation opportunities. The new HR model helps to streamline the delivery of HR services to provide a framework for up skilling staff and sharing skills.</li> <li>Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process is under development.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>All recruitment adverts promote the Council as an equal opportunities employer.</li> <li>The 'Staff Charter' continues to be embedded following consultation and refinement. The majority of objectives in the Charter have now been achieved and will be further developed following the feedback from the Big Conversation 2.</li> <li>The Council's Staff Engagement Strategy continues to be strengthened alongside an effective method of continuing evaluation. The profile of the Council as an attractive employer has been raised Contribution to the wider HR network across Wales as a promoter of innovative workforce practice.</li> <li>Developed good relationships with local education establishments (Cardiff University &amp; Cardiff and Vale College) as well as independent Apprenticeship providers.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	2	4	2	2	4	↔	↔
Resources	3	3	9	2	2	4	2	2	4	↔	↔
Service Delivery & Well-being	2	2	4	2	2	4	1	1	1	↔	↔
Reputation	3	3	9	2	2	4	2	2	4	↔	↔
<b>Average risk score/ direction of travel</b>	3	3	<b>9</b>	2	2	<b>4</b>	2	2	<b>4 (Medium)</b>	↔	↔



3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ER2</b> HR/A008 RP/W034 HS/W029 HS/C048 RM/W010 RM/W011 HR/A009 NS/W005 AS/W032 CS/W017	Work with service departments and our partners to increase the number of 16-24 year old employees as a proportion of the workforce. This also includes working with Department of Work and pensions to provide a range of work placement/work experience opportunities in the Council for volunteers in receipt of state benefits.		✓	✓	✓	✓	✓	✓	✓	✓	AU/GW	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	We continue to develop good relationships with local education establishments (Cardiff University & Cardiff and Vale College) as well as independent Apprenticeship providers.  There is a need for continued focus on Apprenticeship recruitment to ensure that the 16-24 agenda is continually at the forefront of recruitment, and this has been prompted via all events that the OD & Learning Team take part in. During the year we have recruited apprentices to a range of roles across the Council including: Housing and Building Services, Regeneration and Planning, Neighbourhood Services.  We are working with stakeholders to increase work experience opportunities, and are also working to develop graduate opportunities within the organisation. Work will continue on this in Q1.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>Within Social Services, good progress made by the Regional Training Team to revise the Social Services Induction Programme and ensure linkages to the Corporate Induction Programme. We have continued to work with the Regional Training and Workforce Development Unit to ensure that we invest in training of social care professionals and support secondments and placements.</p> <p>A work placements scheme remains in place and we continue to receive details of potential candidates and two placement opportunities. A Department of Work and Pensions (DWP) candidates continue to be engaged in HR under a temporary part time agency contract to undertake data input. As part of strengthening our Corporate Parenting role we will continue to provide ring fenced works placement and apprentice opportunities for children who are looked after. During the year, two children looked after were given placement opportunities. It is further anticipated that a new placement route will be put in place within the Council's C1V operation.</p>												
CP1 HR/W035	Continue to strengthen our approach to staff engagement and consultation and learn from the 2018/19 Staff Survey outcomes, to ensure that employees have a voice in shaping services in line with our commitments in the Staff Charter.		✓		✓	✓		✓		✓	TBC	March 2019	Green (Completed)
ACTION UPDATE:	<p>The 2019 survey results were collated and reported during Q4 to CMT, Cabinet, Joint Consultative Forum and the Trade Union Joint Forum along with the outcome of the Big Conversation 2 engagement exercise.</p> <p>Successfully delivered the second annual awards ceremony that was held in May. Nominations opened in January which has attracted a significant response to the increased categories that were made available. The Big Conversation 2019 took place in February, and the action plan is being considered in each Service during Q4 to developed service specific response.</p>												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CP1 HR/W033	Strengthen and promote the Council’s Leadership Café to support leadership development and the Reshaping Services Strategy.		✓	✓	✓	✓		✓	✓	✓	TBC	March 2019	Green (Completed)
ACTION UPDATE:	The Leadership Café will now relaunch in Q1 of 2019/20 to be rebranded as a ‘Learning Café’ so that it is more accessible to all staff members, with contributors from both inside and outside to organisation. A drive has also been initiated to recruit volunteers onto the committee, to replace those colleagues who have either left the authority or are unable to commit to some of the duties.												
CP2 HR/W039	Continue to support all directorates and service areas to review and strengthen their arrangements in relation to attendance management to minimise absence levels and increase resilience.		✓	✓	✓	✓		✓	✓	✓	TBC	March 2019	Green (Completed)
ACTION UPDATE:	The focus on attendance management has continued throughout quarter 4 and in accordance with the corporate action plan and as considered and approved by Cabinet. The 2018/19 performance outcome for quarter 4 is 9.1 days lost per FTE which is under the target of 9.3 days per FTE. This figure is lower than last year’s performance in the same period of 10.14 days per FTE. Case management and support to Managers has continued to be provided by HR along with supporting arrangements to assist the early intervention and assistance to managers and staff to mitigate absence.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CP2 HR/W045 AS/W033 PD/W044 PD/W050 HR/W048 HR/W042	Continue to refine the training and development ‘offer’ to support the Management Competency Framework. This includes Reframing the Council’s Employee Learning and Development Strategy and undertaking a Skills Audit across all service areas to increase capacity across the Council.		✓	✓	✓	✓		✓		✓	GW	March 2019	Green (Completed)
ACTION UPDATE:	The Management Competency Framework is now live and will be used for the first time in earnest with the #itsaboutme process between May and June 2019. The Management training offer is linked to the framework and is undergoing review to ensure that it is as beneficial as possible to managers. The management Development Sessions ran successfully at the end of Q4 and included demonstrations and experiential learning opportunities for managers on some of the elements of the Framework. During the final quarter of the year, the Management Development Programme concentrated on the introduction of the core competency and management competency frameworks. These illustrate the behaviours all council staff need to exhibit in order to ensure the Council's vision and Reshaping Services programme are delivered successfully.												
CP2 HR/W038	Continue to review and enhance the Council’s succession Planning and Talent Management Scheme model and extend this Council-wide.		✓	✓	✓	✓		✓	✓	✓	TBC	March 2019	Red (Slipped)
ACTION UPDATE:	Whilst the competency frameworks are now complete and integrated into both iDev and the #itsaboutme process, this is the first stage of reviewing and enhancing the Succession Planning and Talent Management within the organisation. Now that the foundations of this are all in place, work will continue to completion throughout 2019/20.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CP2 NS/W004 AS/W034 CS/W019 RP/W032 RM/W009	Identify business critical posts/recruitment issues (especially where market forces apply) in key service areas and explore options to better target recruitment.										ER SC RE	March 2019	Green (Completed)
ACTION UPDATE:	<p>In relation to the Neighbourhood Services Division, a number of specialist technical posts have recently been filled to assist with the ongoing skills and resource issues within the department. Further work is required in subsequent years to ensure that other unfilled posts and service areas are able to attract and recruit appropriate staff. The current strategy is now focusing on attracting suitably qualified individuals into various unfilled positions and developing those staff so that they have the necessary skills and competencies to deliver the technical services required as well as pursuing apprentice route, as appropriate. It is anticipated that recruitment and retention of technical posts will continue to be challenging in future years given the general shortage of suitably qualified and experienced individuals and pay difference between public sector and private consultants.</p> <p>Within Social Services, - Social media campaign work commenced with Corporate Communications. Video completed for a number of service areas to use a varied of media to present good news stories. Within Children and Young People Services, a further Social Worker recruitment campaign was undertaken during Quarter 4 which has reduced the number of vacancies. Vacancies remain in CPP and IFST, which will be subject to further recruitment processes. Within Regeneration and Planning, critical posts have been identified and succession planning issues have been considered and where possible addressed through targeted advertising/contact particularly the use of CCR (City Deal) network. This also includes obtaining market forces supplements for some senior building control posts in order to retain qualified staff.</p>												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CP2 NS/W005 AS/W032 CS/W017	Develop and implement strategies to address aging workforce profile in key service areas.										ER SC RE	March 2019	Green (Completed)
ACTION UPDATE:	Within Neighbourhood Services Several graduate/ trainee posts have been filled.  Within the Adult Services Division of Social Services options have been considered to refresh and invigorate our qualified workforce this year, with success in many teams. We have seen increased levels of turnover in the final quarter for our Mental Health workforce and a bespoke action plan to ensure adequate cover and training is in place to support our workforce is in place. Additionally, we have continued to work with the Regional Training and Workforce Development Unit to ensure that we invest in training of social care professionals and support secondments and placements.												
CP2 NS/W007 FIT/W017 CS/W020 FIT/W020 RP/W029 RP/W031 RP/W033 DS/W014 RM/W008 AA/W020	Build resilience within teams/service areas by focusing on up skilling and developing flexibility in skill sets and encouraging self-development and where possible build on collaborative working arrangements. This includes building fluidity/flexibility within roles and across teams to support a culture where staff are supported through change.										ER CL		Green (Completed)

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
LS/W005 SL/W044													
<b>ACTION UPDATE:</b>	<p>Within Neighbourhood Services, a further 3 members of staff gained their LGV licence in the last quarter and this completes the programme for 2018/19. We have completed a service development work stream within Children and Young People Services that has helped to inform a revised structure. This structure adds resilience to the 'front door' and creates dedicated teams for children looked after and care planning and proceedings, that adds capacity and resilience into the service. Across the Resource Management and Safeguarding Division of Social Services, a number of service reviews have taken place in Direct Payments, Finance, DoLs and WCCIS to assist in identifying those areas which require improved resilience. A management action plan has been developed for Direct Payments, Finance, DoLs and IRO service which is closely monitored by RMS Management Team.</p> <p>The new Head of the Regional Internal Audit Shared Service started in February 2019. The legal agreements have been finalised between the four member authorities. Team building events have taken place with the full team. All the work re TUPE has been completed.</p> <p>Within Regeneration and Planning, options continue to be explored and where possible exploited. This has included the use of professional networks and regional partners to provide resilience in areas of specialism. Support has been offered to neighbouring authorities in respect of plan preparation and specialist skills continue to be developed across the department.</p> <p>Within Democratic Services, additional Relief Registrars have been appointed and are in place.</p> <p>In Learning and Skills (Achievement for All), we continue to work regionally to address the many issues raised by the implementation of the ALN Bill. E.g. Welsh provision, Sensory work, Early Years. Joint projects continue with Cardiff and Vale Health Board and Social Services around transition and speech and language. Joint training has been successful with the Vale and Cardiff for dispute resolution and PCP. Initial meetings with CAVC have taken place, to consider options for joint working, transition arrangements and ensuring access for pupils with ALN.</p>												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Within our Library Services the Shared administration of bibliography across the region is currently being planned that will add greater resilience. The Vale Library Service is actively engaged in the planning of this initiative.												
NS/W006	Review all out of hours arrangements to ensure adequate availability of resources and operational needs of service and public are being adequately met.										ER		Green (Completed)
ACTION UPDATE:	Out of hours have been reviewed. Additional reviews will take place during any corporate implementation of the flexi time system.												
HS/W046 AA/W025 PD/W049	Undertake/implement service restructures in line with Reshaping Agenda.										MI AP	March 2019	Green (Completed)
ACTION UPDATE:	<p>Within Housing and Building Services, the restructure has been completed. A new Supporting People Coordinator and Strategy Coordinator in post and the Supporting People Gateway system has now gone 'live' to ensure the clients with the highest needs are prioritised and referred to the most appropriate services.</p> <p>The restructure of the Policy &amp; Performance department will further build on the work that has been completed in this area and took effect from 1st January 2019. Two associate (trainee posts) are included in the new structure to further develop succession planning arrangements and to provide opportunities for career progression. Work has commenced to develop the approach to refreshing the Corporate Plan ahead of April 2020 and is drawing together expertise and capacity from across the service to deliver an engaging and innovative approach.</p> <p>The restructure of the Youth Service has been completed and is now operational.</p>												



3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SL/W045 AA/W021 FIT/W019	Ensure that employees understand how their work fits into the wider work of the Council and how they can effectively contribute to change.												Green (Completed)
ACTION UPDATE:	All staff were actively encouraged to attend the Big Conversation with a good take up/attendance. In Learning and Skills (Achievement for All), a service development day took place which set out how the roles of teams contributed to the overall work of the Council.												

## Appendix 6 Corporate Risk 6: Information Security

### Return to Risk Summary Report

1 – Risk Overview						
1.1 Risk Description		Information Security involves the practise of preventing the unauthorised use, access, disclosure, disruption, modification, inspection, recording or destruction of information. This definition applies regardless of the form data/information may take i.e. electronic or physical.				
		Local authorities have a duty to safeguard the data/information in line with requirements of legislation such as Data Protection Act 1998 and Computer Misuse Act 1990. In addition to legislative requirements there are also identified standards that public bodies can work towards to further enhance and strengthen their approach to information security such as compliance with the Public Services Network, Payment Card Industry and ISO27001 that governs information security management.				
		The General Data Protection Regulation is a regulation that has been made by the European Parliament, The Council of the European Union and European Commission which is intended to strengthen and further unify the approach to data protection across the EU. Despite the Brexit decision, the UK Government confirmed its intent to still adopt this as a legislative framework. This new regulation has applied in the UK since 25 <sup>th</sup> May 2018. The principles of the GDPR are similar to the those set out in the Data Protection Act, but with additional details regarding accountability and governance requirements and specifically requires organisations to show how they comply with the principles by documenting decisions the organisation takes in relation to processing activities. The Regulations have been designed to further minimise the risk of data breaches and uphold the protection of personal data, which is likely to result ensuring robust policies and procedures to ensure good governance measures are in place. The key risk associated with this is that we fail to meet the requirements of this regulation and safeguard our information and data.				
		The key risk associated with this is the failure to implement adequate information security management systems across the Council.				
1.2 Risk Owner		Head of Finance/SIRO (CL)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	No	Yes	No	No	No	No
1.4 Risk Categories						
Categories	Yes/No	Definition				
Political & Legislative	Yes	Political and legislative repercussions of failing to meet the requirements of key legislation including Data Protection Act 1998, Computer Misuse Act 1990 and the new General Data Protection Regulations (GDPR).could lead to litigation and/or political instability.				

1.4 Risk Categories		
Categories	Yes/No	Definition
		Failure to put effective information security safeguards in place resulting in personal/sensitive and confidential information being leaked/revealed in the public domain could cause political instability and loss of credibility.
<b>Resources</b>	Yes	<p>Council incurs fines as a result of failing to comply with legislative and Information Commissioner requirements associated with the GDPR.</p> <p>Financial impact of correcting/resolving data breaches and/or cyber attacks.</p> <p>Failure to implement adequate ICT management systems across the Council.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Loss of data could impact of the delivery of key services and projects across the Council.</p> <p>Impact on service users due to a loss of personal data and a breach of confidentiality and the effect this has on being able to access services readily.</p>
<b>Reputation</b>	Yes	<p>Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity.</p> <p>Lack of credibility and potential criticism from our external regulators and the Information Commissioner.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Resources</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Service Delivery &amp; Well-being</b>	4 (Almost certain)	4 (Catastrophic)	<b>16 (High)</b>
<b>Reputation</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Overall Inherent Risk Score</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>DPA/ICT Codes of Conduct in place together with Access to Information Procedures that is signed for by all staff and members.</li> <li>On-line training available for DPA and introduction of Employees Information Security Responsibilities. DPA training available to all members via their induction.</li> <li>Information Security &amp; Governance Framework arrangements are in place.</li> <li>Completed gap analysis to work towards adherence to ISO27001 and work towards adoption of good practice where applicable.</li> <li>Audit of Payment Card Systems completed and working towards compliance.</li> <li>We are Public Service Network compliant. The Public Services Network (PSN) Cabinet Office issued the Vale of Glamorgan Council with PSN compliance certificate that will expire January 2019. This compliance provides assurance and confidence in the Council's ICT security arrangements.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Building and Office security/access arrangements in place to control access to Council buildings for authorised staff, members and visitors.</li> <li>Secure network including Firewall and ICT Security Team.</li> <li>Use of encrypted laptops and memory sticks where a business case has been approved.</li> <li>Nominated systems administrators and system audit trails/admin logs maintained.</li> <li>Specialist Computer Auditor in post on the establishment.</li> <li>Penetration testing regularly undertaken</li> <li>Corporate document retention system in place (TRIM) and FOI/Records Management Unit established.</li> <li>ICT compliance team developed following ICT restructure with three FTE compliance resources.</li> <li>Secure e-mail solution in place</li> <li>Reviewed use of fax machines and now have a Rightfax system in place.</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Security software (Veronis and Clear Swift) gives us improved data security.</li> <li>Review of ICT systems as part of Reshaping Services Agenda has been completed to ensure systems are fit for purpose and support the new services going forward. This work is also closely aligned to the Digital Strategy. The Digital Programme Board has now approved the Digital programme of works and systems will be consolidated going forward as individual projects are implemented.</li> <li>A Microsoft Office 365 cloud productivity suite pilot has been completed and this has informed the strategic direction in terms of Microsoft Office products for the next 3 years.</li> <li>Data Protection refresher training delivered to all relevant staff that incorporates the GDPR requirements.</li> <li>Second internet connection has been installed at the Civic Offices.</li> <li>Review of WASPI documentation remains ongoing.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Information Security &amp; Governance Framework arrangements in place.</li> <li>Revised the Information Management Strategy to reflect how plans to use technology will support the delivery of the Council's Corporate Plan and the expected outcomes as well as how we will manage and safeguard information that we exchange between organisations and our partners.</li> <li>Implementation Plan aligned to the Strategy is in place and is being delivered.</li> <li>ICT Strategy has been signed off and ICT continue to support ICT projects that fall within the Digital programme of works associated with the Digital Strategy.</li> <li>Protocol to enable us to reuse information under the Open Government licence has been developed and published on our website.</li> </ul>	2	2	4
<b>Reputation</b>	<ul style="list-style-type: none"> <li>We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	3	12	2	2	4	2	2	4	↔	↔
Resources	4	3	12	2	2	4	2	2	4	↔	↔
Service Delivery & Well-being	4	4	16	2	2	4	2	2	4	↔	↔
Reputation	4	3	12	2	2	4	2	2	4	↔	↔
<b>Average risk score/ direction of travel</b>	4	3	12	2	2	4	2	2	4 (Medium)	↔	↔

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CP1 FIT/IT005	Support the implementation of the Council's Digital Strategy.	✓	✓	✓	✓	✓	✓	✓		✓	NW	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	ICT continue to support ICT projects that fall within the Digital programme of works. Whilst the Digital Strategy will continue beyond 2019/20, and will no doubt carry on for a number of years. In terms of this our planned support has been completed and will be picked up again in 2019/20 and beyond.												
CP1 FIT/IT007	Conclude the review of ICT systems and software across the Council to ensure it is fit for purpose.	✓	✓	✓	✓	✓	✓	✓		✓	NW	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	The formal phase of this review has been completed and has moved on to business as usual. While new systems are being introduced to the organisation, existing legacy systems will be reviewed and switched off as required. A number of opportunities for consolidation / savings in this area will be realised as Office 365 is rolled out, and there are a number of major projects in the planning that will see further consolidation of legacy systems specifically in Building												

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	and Housing, and more widely across Visible Services. Social Services and SRS have already implemented cloud systems which has enabled some legacy systems to be replaced.												
CP1 FIT/F0009	Conclude the evaluation of cloud-based computing and cloud-based storage for as a potential cost-effective solution for the Council to increase efficiency.		✓	✓	✓	✓	✓	✓		✓	EW	March 2019	Red (Slippage)
ACTION UPDATE:	The migration to the new storage hardware project has slipped due to current workload and available resources. It is planned to have the new hardware in place by the end of Q1 2019/20.												
FIT/IT012	Continue working towards Payment Card Industry (PCI) Compliance.	✓	✓	✓	✓	✓			✓	✓	CM/NW	March 2019	Red (Slipped)
ACTION UPDATE:	Contract has been let and implementation has started. System is due to go live on 28th August 2019.												
DS/IT037	Undertake a review of our existing Information Sharing Protocol Framework and associated templates to raise awareness amongst staff.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TC	March 2019	Green (Completed) Action completed and will be



## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
													reflected as a control in the Register
<b>ACTION UPDATE:</b>	Work on the review of WASPI documentation remains ongoing and has been planned around existing workload commitments. During the quarter WASPI have updated their templates and we are now awaiting the ICO's updated statutory code.												
DS/IT038	Identify and develop new Information Sharing Protocols for all required arrangements.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TC	March 2019	<b>Green (Completed)</b>
<b>ACTION UPDATE:</b>	All Departments have been contacted with regard to their Data Sharing arrangements, and the Information Sharing Protocols are currently being finalised subject to a few outstanding responses which are actively being pursued.												
FIT/W021	Support the development of appropriate corporate systems including training in order to ensure the Council complies with the General Data Protection Regulation.	✓	✓	✓	✓	✓		✓	✓	✓	CL	May 2019	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Training has been made available to staff via the iddev system and via face-to-face briefing sessions. All elected members have received training as part of the implementation of the new legislation. Corporate Management team considered an update report in December 2018 which has been circulated to all elected members for information.												

## Appendix 7 Corporate Risk 7: Environmental Sustainability

### Return to Risk Summary Report

1 – Risk Overview						
1.1 Risk Description		<p>Action on climate change covers two areas: mitigation and adaptation. Mitigation relates to action taken to tackle the causes of climate change i.e. by reducing greenhouse gas emissions. Adaptation relates to action taken to adapt to the unavoidable effects of climate change caused by increased concentrations of greenhouse gases from human activities. Locally the immediate impact of climate change include hotter temperatures, warmer, wetter winters, hotter, drier summers, increased summer time thunder storms and intense rainfall and the reduction of some animal and plant species, more severe flooding of coastal and river areas and also flash flooding throughout the authority.</p> <p>The Vale of Glamorgan must act as a responsible authority and in 2006 signed the “Welsh Commitment to Address Climate Change”. The commitment outlines the council’s contribution to the delivery of the national climate change programme, working with the local community to address the causes and effects of climate change, reduce the council’s own emissions, encourage all sectors of the local community to reduce their own emissions, work with key providers to adapt to changes, and provide opportunities for renewable energy generation within the area.</p> <p>The key risk relates to our failure to mitigate against the impact of climate change.</p>				
1.2 Risk Owner		Head of Neighbourhood Services and Transport (ER)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	Yes	Yes	Yes	No	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
<b><i>Political &amp; Legislative</i></b>	Yes	<p>Failure to meet legal duties in relation to the Flood and Water Management Act.</p> <p>Inability to meet Welsh Government requirements for Statutory Transport Guidance as it relates the Active Travel and Learner Travel Wales.</p> <p>Failure to define our vision, ownership and responsibility for addressing climate change issues.</p> <p>Inability and capacity of key partners to work effectively together to commit and contribute to the climate change agenda locally.</p> <p>Failure to fully utilise our land use planning framework and other policy levers to become more resilient to climate change and its effects.</p>
<b><i>Resources</i></b>	Yes	<p>Limited asset renewal funding could result in the Council not being able to meet its CO<sub>2</sub> reduction target set out in the Carbon Management Strategy and Implementation Plan.</p> <p>Increased pressure on limited resources as a consequence of increased areas of maintenance.</p> <p>Insufficient funding availability to fully implement programmes/initiatives to reduce our carbon footprint.</p> <p>Annually shrinking budgets will impact negatively on consistently achieving high standards of cleanliness of the local environment.</p> <p>Impact of our failure to meet our commitments under the CRC Energy Efficiency Scheme and its associated financial benefits.</p> <p>Council incurs fines as a result of failing to meet statutory waste reduction targets.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Failure to deliver key flood alleviation schemes across the Vale and exposing flood prone areas to a greater risk of flooding.</p> <p>Failure to implement the Shoreline Management Plan impacting on our ability to monitor and manage coastal erosion.</p> <p>Failure to reduce our carbon foot print by not reducing our CO<sub>2</sub> emissions and improving our energy efficiency.</p> <p>Disruption and financial cost of flooding to homes and businesses.</p> <p>Failure to engage and encourage residents to participate in Active Travel (use alternative forms of transport to the car).</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates.</p> <p>The impact new developments places on putting in place a sufficient public transport infrastructure.</p> <p>Failure to fully deliver the Carbon Management Plan.</p> <p>Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including: i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales) and pollution of the local environment (e.g. contamination of groundwater; soil contamination).</p>
<b>Reputation</b>	Yes	Failure comply with the legal duties and it associated targets would have a detrimental impact on resident's perception of Council ability to tackle climate change and would attract criticism from our external regulators and Welsh Government.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Resources</b>	3 (Probable)	4 (Catastrophic)	<b>12 (High)</b>
<b>Service Delivery &amp; Well-being</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Reputation</b>	3 (Probable)	4 (Catastrophic)	<b>12 (High)</b>
<b>Overall Inherent Risk Score</b>	3 (Probable)	4 (Catastrophic)	<b>12 (High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>• Supplementary planning guidance on sustainable development in new builds is in place.</li> <li>• Development Management – ensuring decisions on new development proposals have regard to sustainability.</li> <li>• The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment)</li> <li>• Insight Board</li> <li>• Submit bids to Welsh Government for any Environment Grants to implement environmental and countryside programmes locally.</li> <li>• The Corporate Plan 2016-20 sets out our priorities relevant to promoting and enhancing sustainability.</li> <li>• Implementation of the requirements of the Environment Act 2016.</li> <li>• A Regional Transport Authority to govern and promote transport matters including Active Travel.</li> </ul>	2	1	2
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Development of updated Carbon Management plan (CMP)</li> <li>• Space Programme and Asset Management Strategy</li> <li>• Insight Board</li> <li>• Automatic meter readings for utilities for all Vale owned buildings.</li> <li>• We completed the implementation of LED lighting in residential areas during summer 2018. We have been awarded a Salix Grant to update LED main road (highway) lighting. A review will be undertaken during quarter ¾ on carbon money savings as a result of this project.</li> <li>• Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel.</li> <li>• Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally.</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>• Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally.</li> <li>• Opportunities to seek S106 funding have been carried out as and when funding becomes available throughout the year, these have included S106 Barry Waterfront funding to carry out the signage scheme.</li> <li>• Council owned &amp; leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term.</li> <li>• Vehicle &amp; plant applications are being reviewed at the time of purchase; in-line with the needs of the department.</li> <li>• New vehicles have been purchased in-line with current environmental and health &amp; Safety legislation. We continue to analyse vehicle utilisation via the vehicle management system and where possible vehicles are being replaced with a more suitable alternative or not being replaced at all.</li> <li>• Data to monitor coastal waters and erosion in this area is undertaken via in-situ equipment on site in Penarth to measure wind and tide data.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Prioritise maintenance in all council services – including gritting, drainage, etc.</li> <li>• Sustainable procurement outlined in procurement guideline documents</li> <li>• Green travel plan established and publicised to all staff</li> <li>• Active Travel – ensuring walking and cycling routes are provided</li> <li>• Internal and external publicity for individuals and organisations on how to reduce gas emissions</li> <li>• Minimise the risk and impact of flooding and coastal erosion via an effective Flood Risk Management Plan, flood reduction measures and a Shoreline Management Plan. We effectively</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>monitor changes in coastal waters and coastal erosion.</p> <ul style="list-style-type: none"> <li>• BREEAM standard for major projects e.g. schools/Extracare</li> <li>• Local Biodiversity Plan</li> <li>• Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation.</li> <li>• Work underway on the delivery of a Flood Alleviation Scheme at Boverton and Llanmaes.</li> <li>• The Vale of Glamorgan Local Development Plan (LDP) 2011-2026 was adopted by full Council on 28/06/2017. The LDP will be the basis for decisions on land use planning in the Vale of Glamorgan and will be used by the Council to guide and manage new development proposals.</li> <li>• The Residential Development and Householder Design Guide, Conversion of Rural Buildings, Minerals Safeguarding and Biodiversity Supplementary Planning Guidance (SPG) and Renewable Energy SPG and the Tourism and Leisure Development SPG have been approved for use alongside the LDP to support planning decisions.</li> <li>• All Active Travel maps have been completed and published. The Council is seeking finance to implement routes where opportunities arise.</li> <li>• The feasibility works have been completed for the bus, cycle and walking routes from Weycock Cross to Cardiff Airport. The development of a more detail design is subject to the outcome of a transport grant bid for 2019/20.</li> <li>• Successful delivery of grant funded biodiversity programme. Projects have included; the re-introduction of water voles at Cosmeston, woodland improvement works at Porthkerry and Cosmeston, Badger survey at Porthkerry and the Heritage Coast, Environmental education delivered at all sites, new</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>leaflet designed for the Heritage Coast, community projects with Vale ways, Wick and Graig Penllyn, pollination project at Porthkerry and Heritage Coast plus a hedgerow connectivity project at Cosmeston.</p> <ul style="list-style-type: none"> <li>• Eight urban parks and two Country Parks have been awarded Green Flag Status. Penarth Marina, Southerndown and Whitmore Bay have maintained their Blue Flag status. We have successfully maintained our Seaside Awards for Jackson Bay and Cold Knap.</li> <li>• The Greenlinks scheme provides transport to residents in the Vale of Glamorgan. The scheme runs five days a week and provides those unable to access regular public transport with a suitable alternative.</li> <li>• Council promotes the 'All Wales Concessionary Travel Scheme' and the 'My Travel Pass' on digital platforms.</li> <li>• Investment of S106 monies have improved walking and cycling access.</li> <li>• Delivered a programme of Biodiversity Projects funded by the Welsh Government's Single Environment Grant.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns.</li> <li>• Provision of child pedestrian and cycling training in Vale schools.</li> <li>• Promotion of Active travel.</li> <li>• Work with our Environmental Enforcement Partner (3GS), who supports us in raising awareness of keeping our local communities clean and litter free.</li> <li>• Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision making processes.</li> </ul>	1	2	2
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>



## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	1	2	2	3	6	↔	↔
Resources	3	4	12	2	2	4	2	2	4	↔	↔
Service Delivery & Well-being	3	3	9	2	1	2	2	3	6	↔	↔
Reputation	3	4	12	1	2	2	3	2	6	↔	↔
<b>Average risk score/ direction of travel</b>	3	4	12	2	2	4	2	3	6 (Medium)	↔	↔

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ER5 NS/A004	Implement Integrated Network and Active Travel Maps and continue to improve Active Travel highway network.	✓	✓	✓	✓	✓	✓	✓	✓	✓	ER/KP	March 2019	Red (Slipped)
<b>ACTION UPDATE:</b>	S106 monies have been used to complete Phase 1 of Rhose Active Travel improvements and Ogmore by Sea footway improvements. WG LTF bid submitted for 2019/20 funding for the active travel route from Weycock Cross to the Airport and we should hear whether or not we were successful during April 2019. Slippage has occurred due to a late start on the Dinas Powys to Barry active travel route. This can be recovered if the funding bid is successful in 2019/20.												
ER12 NS/A014	Continue to identify funding to improve the National Cycling Network route 88 as identified in the Active Travel Integrated Network Maps.	✓	✓	✓	✓	✓	✓	✓	✓	✓	KP/MC	March 2019	Red (Slipped)
<b>ACTION UPDATE:</b>	Both S106 and WG funding have been used to improve Active Travel routes throughout the Vale. The lack of consistent capital funding for Active Travel schemes, including competing with other areas for S106 and other Local Authorities for WG funding, means Active Travel is very much a piece meal process.												
ER3 NS/A001	Further the feasibility study to get buses over the Cardiff Bay Barrage, including further consideration of a Cosmeston Park and Ride facility.	✓	✓	✓	✓	✓	✓	✓	✓	✓	ER/KP	March 2019	Red (Slipped)

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	WelTAG stage 1 stakeholder workshop held and WelTAG stage 1 public drop in session held in Penarth where the public were invited to comment on proposals to improve sustainable transport in the area. WelTAG stage 1 report received and work being undertaken on WelTAG Stage 2 with future funding sought to go forward with WelTAG stage Three. Funding of £600k has been requested for 2019/20 from WG to complete WelTAG stage three.												
ER4 NS/A002	Continue to deliver transport improvement schemes associated with the Cardiff Capital Region Metro including cycle infrastructure and bus stop improvements from Weycock Cross to Cardiff Airport.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MC/CH/KP	March 2019	Red (Slipped)
ACTION UPDATE:	Mid-year bid unsuccessful for Weycock Cross to Cardiff Airport Active Travel route so bid re-submitted for 2019/20. Cardiff - Vale coastal network - WelTAG stage 1 stakeholder workshop held and WelTAG stage 1 public drop in session held in Penarth where the public were invited to comment on proposals to improve sustainable transport in the area. WelTAG stage 1 report received and WelTAG stage 2 commenced (600k bid for 2019/20). 11 bus stops have been upgraded along the A48 corridor and 2 in Penarth with the remaining stops to be upgraded during 2019/20. Work continues with City Deal and the Regional Transport Authority to improve strategic transport corridors.												
ER4 NS/A003	Progress additional modelling requirements to assist with the feasibility study for bus, cycling and walking improvements at Cardiff and Barry Road, Dinas Powys.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MC/KP	March 2019	Red (Slipped)
ACTION UPDATE:	WSP Consultants were engaged in Q4 to produce a final Dinas Powys transport network appraisal. They have submitted a preferred route for a footway/cycleway connecting Biglis roundabout, Barry to Dinas Powys. Funding of £580k has been requested for 2019/20. If this scheme progresses then the benefits to the communities of Barry and Dinas Powys will be vast.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ER9 NS/A008	Continue to extend the Greenlinks Community Transport Service.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KP	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	The Greenlinks scheme continues to provide transport to residents in the Vale of Glamorgan. There has been a slight increase in service delivery due to the recruitment of an additional driver. The scheme continues to run five days a week and provides those unable to access regular public transport with a suitable alternative.												
ER12 NS/A015	Continue to proactively promote the take up of Welsh Government Concessionary Travel Schemes.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>					<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KP	March 2019	<b>Green (Completed)</b>  Action completed and

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
													will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	The Council continues to promote the 'All Wales Concessionary Travel Scheme' and the 'My Travel Pass' on digital platforms. All local bus services throughout the Vale of Glamorgan (including Greenlinks Community Transport run by the Council) accept Welsh Concessionary and My Travel passes. Officers are currently working with Welsh Government on the concessionary card renewal and new guidance that will form the scheme post 2019.												
ER9 NS/A009	Seek further opportunities to recruit volunteers for transportation initiatives.		✓	✓			✓	✓	✓	✓	KP	March 2019	<b>Green (Completed)</b>  Action completed
<b>ACTION UPDATE:</b>	The Community Transport Officer attended a number of Fayres in the 4th Quarter and has had some success in recruiting volunteers. 1 volunteer has been recruited and is active, 3 are currently at training stage and a further 4 expressions of interest have been received. This in turn should allow the service to be able to meet the current demand and have the potential to grow. Working on recruiting volunteers has only been considered in the last 6 months.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ER15 NS/A019	Continue to implement conversion of non LED lighting to LED lighting in residential areas.		✓	✓		✓		✓	✓	✓	MC/CS	March 2019	Red (Slipped)
ACTION UPDATE:	The implementation of Phase 2 to convert the ornamental and bespoke street lighting lantern units to LED is delayed due to community concerns regarding removal / replacement of cast iron columns in Penarth area. A strategy has now been agreed whereby ornamental and bespoke columns will only be removed if they are deemed unsafe and / or the lanterns converted to LED if it is considered cost effective to do so. Phase 2 to recommence in new financial year.												
ER15 NS/A020	Purchase new vehicles from the Neighbourhood Replacement Fund in line with current EU Environmental Standards including the ability to operate on biofuel.		✓	✓	✓	✓		✓	✓	✓	KP/GG	March 2018	Green (Completed)  Action completed and will be reflected as a control in the Register
ACTION UPDATE:	We have purchased new vehicles in-line with the department’s requirement. All vehicles that have been purchased meet current environmental and health & Safety legislation.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ER15 NS/A021	Continue to explore the need for fleet and options for better usage.		✓	✓	✓	✓		✓	✓	✓	KP/GG	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register
ACTION UPDATE:	We continue to support services to analyse vehicle utilisation via the vehicle management system and where possible vehicles are being replaced with a more suitable alternative or not being replaced at all. It is anticipated that a second phase of vehicle utilisation will be undertaken in 2019/20												
ER18 NS/A030	Monitor the changes in coastal waters and coastal erosion at Penarth in accordance with the Shoreline Management Plc.		✓	✓	✓	✓		✓	✓	✓	MC/CM	March 2019	Green (Completed)  Action completed and will be reflected

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
													as a control in the Register
<b>ACTION UPDATE:</b>	The collection of wind, wave and tide data at Penarth is an ongoing activity with equipment in-situ on site. The data gathered is available for public download from the Channel Coastal Observatory in Southampton who host this data via website link <a href="http://www.channelcoast.org">www.channelcoast.org</a> . A topographical survey of the Penarth shoreline was undertaken in March 2019 with more detailed scanner survey planned within the next 6 months. Data to monitor coastal waters and erosion in this area will continue to be gathered in future years to maintain contemporary records.												
ER18 NS/A031	Complete the delivery of the Llanmaes Flood Alleviation Scheme	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MC/CM	December 2018	Red (Slippage)
<b>ACTION UPDATE:</b>	All funding for the lower storage area, constructed in conjunction with the Northern Access Road, has now been approved with the culvert systems carrying the Llanmaes Brook under the Northern Access Road fully operational. The modelling of the catchment is completed and detailed design for the Llanmaes village scheme has now commenced. Construction works in the village are programmed to commence by Autumn 2019, subject to obtaining all necessary consents, permissions and approval of future grant application to fund scheme via Welsh Government. The installation of flood resilience measures at a number of properties throughout the village has recently been completed.												
AH1 NS/A037	Seek S106 and other funding to deliver improved walking and cycling access to parks and other leisure facilities.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER/DK/KP	March 2019	Green (Completed)



3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
													Action completed and will be reflected as a control in the Register
ACTION UPDATE:	After discussions with St. Brides School, St Bride’s Bus Stop is due to be constructed during Easter 2019 and designs are awaiting approval for the Fferm Goch walkway to the community centre. Phase 1 has been completed in Rhoose at a cost of £100k with a further £600k allocated for phase 2. At Ogmore by Sea, dropped kerbs have been installed throughout the village and a new bus stop was installed (60k expenditure). Designs have been completed for Active Travel improvements in St Athan (12k WG funding) and installation of a new bus stop in Ystradowen.												
ER7 RP/A091	To prepare and consult on the following Supplementary Planning Guidance (SPG) Renewable Energy , Parking and Travel Plan, Tourism, Public Art, Trees and Development.	✓	✓	✓	✓	✓		✓	✓	✓	VR	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	The Renewable Energy SPG and the Tourism and Leisure Development SPG were adopted by Cabinet on 18 March 2019.												
ER17 RP/A034	Deliver a programme of Biodiversity Projects funded by the new Welsh Government’s Single Environment Grant		✓	✓	✓	✓	✓	✓	✓	✓	BG	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register
ACTION UPDATE:	All works have be completed, the final elements of the grant were completed by the end of February 2019. Projects included High Brown Fritillary habitat improvement project, community conservation works with Graig Penllyn and Wick community and works to create open water habitats at the Country Parks.												

## Appendix 8 Corporate Risk 8: Welfare Reform

### Return to Risk Summary Report

1 – Risk Overview						
1.1 Risk Description		The UK Government’s Welfare Reform will introduce the greatest change in the administration of welfare benefits for a generation. In addition to significant change in the way in which the council will run the housing and council tax benefits service, the changes will affect Social Services and Housing Services and will have an impact on the overall finances of the authority.				
		Significant changes have been implemented, including changes to the Housing Benefit scheme and the introduction of the Council Tax Reduction Scheme to replace Council Tax Benefit. The Welsh Government implemented the Discretionary Assistance Fund from April 2013 and the DWP started the roll out of the Personal Independence Payment in Wales from July 2013.				
		Universal Credit which will replace Housing Benefit, Job Seeker's Allowance (Income Based), Employment and Support Allowance (Income Related), Income Support, Working Tax Credit and Child Tax Credit was introduced in the Vale of Glamorgan in February 2016. However, this was originally limited to new claimants within specific geographical areas in the UK. Full roll out of the Universal Credit programme and its full impact has not yet been full realised in the Vale of Glamorgan. Full implementation is now to commence in the Vale of Glamorgan from October 2018.				
		Universal Support Delivered Locally has been implemented since February 2016 in line with the introduction of Universal Credit in the Vale of Glamorgan. The risk associated with Welfare Reform can be defined as the roll out of the Welfare Reform programme has a detrimental financial and social impact on residents.				
1.2 Risk Owner		Head of Finance (CL)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	Yes	Yes	Yes	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	Failure to ensure service continuity during the transitional period due to poor project planning resulting in political and legislative repercussions.
<b>Resources</b>	Yes	<p>Failure to mobilise our resources effectively and work collaboratively across Council departments and organisational boundaries in order to implement welfare reform in a seamless manner.</p> <p>Changes in welfare reform are likely to impact on the resourcing and workforce needs/requirements for delivery of the programme.</p> <p>Failure to implement information management systems effectively or the systems are not fit for purpose impacting on the ability to process and accurately administer timely benefits to clients.</p> <p>Failure to effectively administer welfare benefits resulting in inaccurate payments.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to safeguard principles of social inclusion as a result of welfare reform.</p> <p>Welfare reform could have a detrimental impact on service user's finances and affect their ability to sustain tenancies and pay bills.</p> <p>Social impact of welfare reform could impact on tenant's health, their ability to heat their homes, live in good quality housing and feed themselves.</p> <p>Poor communication of the welfare reform changes to clients could result in them getting into debt.</p>
<b>Reputation</b>	Yes	<p>Poor implementation of welfare reform measures having an adverse impact on equalities commitments and our reputation as a Council.</p> <p>Failure to effectively communicate and manage delivery of welfare reform changes could damage the client's relationship and trust of the Council and ultimately its reputation.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Resources</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Service Delivery &amp; Well-being</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>

## CR8: Welfare Reform

<b>Reputation</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Overall Inherent Risk Score</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>

<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
<b><i>Political &amp; Legislative</i></b>	<ul style="list-style-type: none"> <li>• Identification and prioritisation of key risks associated with welfare reform.</li> <li>• Progress reports are monitored by Scrutiny Corporate Performance and Resources.</li> <li>• Public Services Board has oversight of the issues/developments in relation to Welfare Reform as it is linked to the Well-being Plan Objective to reduce poverty and tackle inequalities linked to deprivation.</li> <li>• DWP Partnership Group and Overarching Housing Forum monitors the implementation of UC and address any issues.</li> </ul>	2	2	4
<b><i>Resources</i></b>	<ul style="list-style-type: none"> <li>• Budgets have been allocated to deal with expected impact of homelessness and rent arrears.</li> <li>• Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes.</li> <li>• Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed.</li> <li>• Impact of the Council Tax Reduction Scheme and future WG funding reviewed.</li> <li>• Strengthened how welfare-reform risks are managed by developing a more corporate-level approach that co-ordinates activity across the council (where one report is now presented to Corporate Performance and Resources Scrutiny Committee)</li> <li>• Impact of the introduction of the benefits cap reviewed and reported.</li> <li>• The Council has access to the Department of Work and Pensions' (DWP's) landlord portal and is able to check the status of claims and confirm rents and to process claims quickly. A system of managed payments (APA's) has been established so that housing costs for vulnerable tenants can be paid directly to the landlord to minimise arrears.</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Improved the management and access to and use of Discretionary Housing Payments.</li> <li>Improved engagement with tenants affected by the removal of the spare-room subsidy through: the provision of regular advice and information on the options open to them to address the financial impact of the change in their circumstances; the promotion of the 'Your benefits are changing' helpline; and the provision of support to tenants specifically affected by the removal of the spare-room subsidy to participate in regional/national employment schemes.</li> <li>Continue to support the effective roll out of Universal Credit across the Vale of Glamorgan. Benefit Section within Financial Services continues to liaise with the Department of Work and Pensions (DWP) and the Jobcentre using Universal Support Delivered Locally (USDL) to support roll out of Universal Credit (UC) across the Vale of Glamorgan. USDL is a partnership approach between the Council and the Job Centre Plus to provide local support for universal credit claimants.</li> <li>There are various initiatives/support mechanisms in place families who are experiencing financial hardships such as the Sofa scheme, provision of advice and sustaining our partnership with the Food Bank.</li> <li>The Multi-Agency Landlord group meets regularly to discuss and identify how we mitigate the adverse impacts of welfare reform on tenants. For example working on a joint communication campaign to raise awareness of welfare reform.</li> <li>Community Investment Team works with tenants to support them through accessing employment, promoting digital inclusion and working with tenants to participate in Time banking schemes.</li> <li>Universal Credit went live on the 10 October 2018. Staff had been carrying out Personal Budgeting appointments with customers identified as needing some help and also providing assisted digital support. This work has now transferred to the CAB</li> <li>The website was updated for Universal Credit full service going live on the 10 October 2018. The website now provides advice on this service with links to Gov.uk</li> </ul>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>along with other places to get further information and help.</p> <ul style="list-style-type: none"> <li>Grant funding has been made available to CAB to provide support to applicants with regards to digital applications and the Council officers are working with CAB to ensure applicants are correctly signposted for advice.</li> <li>Worked with the Department of Work and Pensions to provide a range of work placement/work experience opportunities in the Council for volunteers in receipt of state benefits.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Council's website is updated with information guides on Welfare Reform for Vale residents.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	3	12	2	2	4	2	2	4	↔	↔
Resources	4	3	12	2	2	4	2	2	4	↔	↔
Service Delivery & Well-being	4	3	12	3	2	6	1	2	2	↔	↔
Reputation	4	3	12	2	2	4	2	2	4	↔	↔
<b>Average risk score/ direction of travel</b>	4	3	12	2	2	4	2	2	4 (Medium)	↔	↔



3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
IS003 FIT/A002	Update Elected Members on the progress made in implementing Welfare Reform changes.	✓	✓	✓	✓			✓	✓	✓	CL	March 2019	Green (Completed)
<b>ACTION UPDATE:</b>	An update report was shared with the Voluntary Sector Joint Liaison Committee. Elected members are aware of the services being provided by the Council, and its partners to address the roll out of Universal Credit.												
IS003 HS/A051	Continue to work with partners to deliver the objectives stated within the Financial Inclusion Strategy, including the Multi-agency landlords group to mitigate the effects of Welfare Reform on all social tenants living in the Vale.		✓	✓	✓	✓	✓	✓	✓	✓	MI	March 2019	Green (Completed)
<b>ACTION UPDATE:</b>	<p>We have continued to support delivery of the objectives outlined within the Financial Inclusion Strategy. Over the last year the three Money advisors made 1,306 home visits to clients (an increase of 23% on last year) which resulted in £308,673 in additional money to tenants. Demands on the service continue to grow as people find themselves in financial hardship. A campaign to move tenants onto a subsidised water tariff (HelpU) was also been undertaken. In total, 500 successful applications were made, resulting in £174,000 additional income for tenants.</p> <p>Information has been provided to tenants about practical steps they can take to be ready for Universal Credit.</p> <p>A number of other operational changes are being made in order for the team to work smarter and cope with the increased workload that Universal Credit will bring. We have also assisted tenants to set up direct debits to pay their rent, improved liaison with the DWP to facilitate the prompt processing of claims and changes to the tenancy agreements to highlight the current rent and service charges to assist the claim process.</p>												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
IS002 HS/A027	Work with partners to increase the range of projects and initiatives which support employment, healthy living, financial and digital inclusion and deliver the objectives within the Community Investment Strategy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PT	March 2019	Green (Completed)
<b>ACTION UPDATE:</b>	<p>During 2018/19, the Community Engagement Team has engaged with 2,577 tenants. For 2019/20 the Team plan to focus activities in rural Vale including areas such as Llantwit, Rhoose and St Athan alongside Penarth as our previous work has been Barry centric.</p> <p>In March 2019, the Team ran the first Vale Time banking and Sports Fayre to encourage tenants to not only get more active but also to volunteer for local sports clubs. Time banking projects continue to grow and the scheme has been extended for a further 12 months in order to look at how it can be rolled out further to benefit the Vale. During the last quarter, 51 tenants signed up to the scheme and the total number of young people enrolled to is now 239 which exceeds initial targets. The 'Kicks' Football sessions continue to attract excellent levels of engagement from young people living in Barry, with 572 young people attending in quarter 4. The project has expanded to include a new session in Llantwit Major.</p> <p>Employment and training activities continue to support some of those furthest away from the job market. The Community Investment Team have supported 31 tenants into employment this year. During Q4, staff have been working with Pendragon and Jehu to plan the rollout of our Target Training and Recruitment commitment attached to new build developments.</p> <p>The Community Investment team continue to run a number of digital inclusion schemes throughout the Vale in partnership with Newydd and Adult Learning; during the year, 763 tenants have engaged in digital inclusion with 707 of these aged 55+.</p>												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
IS003 HS/A053	Continue to provide information and support to residents affected by Welfare Reform/Universal Credit and raise awareness of staff and partners about the impact of the changes.			✓	✓			✓	✓	✓	MI	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register.
<b>ACTION UPDATE:</b>	The roll out of UC continues to gather pace in the Vale and there are now over 220 tenants in receipt of the benefit. These tenants continue to have higher arrears (than HB tenants) and this is having an impact on the overall arrears figure which is £30,000 (15%) higher than the same time the previous year. There are ongoing conversations with the DWP regarding the information available in respect of housing payments. The UC Partnership Group continues to meet regularly to review the impacts and discuss day to day issues. The Overarching Housing Forum with RSLs in the Vale continues to monitor the impacts. This action has been marked as 'complete' because all of the identified actions are being carried out, however the work will continue over the next two years as more people migrate over.												
ER2 HR/A009	Work with the Department of Work and Pensions to provide a range of work placement/work experience opportunities in the Council for volunteers in receipt of state benefits.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AU	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register.

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	The scheme remains in place and we have and continue to receive details of potential candidates and placement opportunities. A Department of Work and Pensions (DWP) candidate continues to be engaged in HR under a temporary part time agency contract to undertake data input. In addition a further candidate started in HR Employee Services in December and we are exploring opportunities to enhance the number and variety of work placements through our Communities for Work team. It is further anticipated that a new placement route will be put in place within the Council's C1V operation.												

## Appendix 9 Corporate Risk 9: Public Buildings Compliance

### Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	<p>Public Buildings Compliance relates to our responsibilities and duties as a public organisation for ensuring that all our assets are satisfactorily compliant with all current legislative building requirements. The primary risk associated with public buildings compliance is that we fail to comply with our statutory responsibilities for ensuring the health, safety and welfare of both staff and the public when using our premises.</p> <p>The Health and Safety at Work Act 1974 places specific duties on managers in the control of buildings to ensure; employees, building users and other members of the general public do not come into harm whilst using the building. Over the years, this act has been supplemented by a number of supporting regulations to ensure the safe management of; electricity, gas, asbestos, legionella, fire, lifts, etc. These duties cannot be discharged to third parties and it is the premises manager/duty-holder that is ultimately responsible for managing the risks and discharging the requirements of all the regulations associated with the building.</p> <p>Whilst the legal duty to manage a building's compliance does not in all cases sit directly with the Council, for example: for Schools where the duty holder would be the Head teacher, the Council has a vicarious responsibility to ensure the protection of all users of its corporate buildings. There will also be cases where as a Council we externally commission out services to be delivered by a Third Party. Although we are not the responsible Premises Manager/Owner of these sites, we do hold a reputational stake in ensuring that our reputation is protected. Therefore, we need to assure that there are suitable processes and procedures in place to both establish the extent of the risks that the Council is exposed to and how those risks are being effectively managed. Equally issues around leasehold and service agreements also need to be considered in terms of any potential risk implications this has the Council where we have a vested interest in the building where services are being operated from. E.g. Community Libraries.</p> <p>During September 2017 a report was tabled at the Council's Corporate Management Team and it was agreed a major review would be undertaken of the Council's current management of compliance arrangements, led by the Director of Environment and Housing.</p> <p>The arrangements for the management of compliance and specifically the 'compliance data' for the Council's Corporate Building Stock has significantly improved and work continues to control identified gaps in compliance. Data on compliance of our corporate buildings was not previously held centrally, and this has been a matter of concern raised by the Wales Audit Office in a recent review and was subsequently identified as a proposal for improvement in the Council's Corporate Assessment. In response to these concerns it was agreed to manage corporate compliance through a central team.</p>

1.2 Risk Owner		Director of Environment and Housing (MP)				
1.3 Alignment with Well-being Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	No	Yes	Yes	No	No	No

<b>1.3 Risk Categories</b>		
<b>Categories</b>	<b>Yes/No</b>	<b>Definition</b>
<b><i>Political &amp; Legislative</i></b>	Yes	Political and legislative repercussions of failing to ensure the Council owned corporate buildings are not compliant with current duties/requirements as part of the Health and Safety at Work Act 1974.
<b><i>Resources</i></b>	Yes	<p>Limited availability of accurate and up to date compliance data in relation to both Council-owned assets and Third Party provision results in the Council not being able to meet its building compliance obligations.</p> <p>Budgetary pressures impacting on the availability of asset renewal funding will impact on how the Council prioritises and meets its building compliance obligations.</p> <p>Failure to adopt a strategic approach to the management of building compliance in relation to our existing Council-owned assets.</p> <p>Insufficient resources available to effectively, monitor, prioritise and project manage completion of building compliance work.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Failure to fully deliver our building compliance responsibilities.</p> <p>Failure to put in place adequate quality assurance mechanisms to assure the Council the Third Party providers and Schools are effectively managing any building compliance issues and associated risks.</p> <p>Failure to safeguard the wellbeing of our service users/residents/pupils in Council-owned assets and other associated public buildings as a result of an incident arising from non-compliance.</p> <p>Inability to sustain service delivery/business continuity from premises as a result of an incident associated with non-compliance.</p>
<b><i>Reputation</i></b>	Yes	<p>Erosion of public confidence and trust in the Council as a result of a compliance failure which would damage its reputation and attract negative criticism from Welsh Government our regulators.</p> <p>Reputational risk of failing to address/monitor compliance in any buildings where the Council has a vested interest/stake in the premises and/or the services that are being delivered.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	3 (Probable)	3 (High)	9 (Medium/High)
<b>Resources</b>	3 (Probable)	3 (High)	9 (Medium/High)
<b>Service Delivery &amp; Well-being</b>	3 (Probable)	4 (Catastrophic)	12 (High)
<b>Reputation</b>	3 (Probable)	3 (High)	9 (Medium/High)
<b>Overall Inherent Risk Score</b>	<b>3 (Probable)</b>	<b>3 (High)</b>	<b>9 (Medium/High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Regular reporting of progress/updates via Insight Board, CMT and Schools Operational Investment Board.</li> <li>Regular operational meetings with project team.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Successful appointment of a Compliance Officer and two trainee positions.</li> <li>Effective mechanism for the collection of compliance data from schools.</li> <li>Process/mechanism established for the collection/reporting of data from Schools.</li> <li>Discussions regarding cost mechanisms for service are ongoing.</li> <li>IPF database is being populated and relevant paperwork scanned onto the system.</li> <li>A report has been developed to identify the status of each site and provide alerts where certificates are about to expire. Individual directorates are now receiving updates on the compliance status of their service area. Service Managers are now working well with the team to provide timely certification and reports to support their individual compliance actions.</li> <li>Schools who have signed up to an agreement with us are charged a 'minder's</li> </ul>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
	fee' for compliance. Any school not signed up to this are subject to regular monitoring visits.			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Site visits are conducted on all school sites and corporate (Council owned) assets where Corporate Compliance team have been engaged.</li> <li>• IPF database is fully populated and documentation is entered onto the system to capture compliance evidence/information with service dates being updated at the same time. Individual site managers are provided regular updates on compliance position with advance notification of certificate expiry.</li> <li>• Officers are working with individual sites to address any issues which have been identified during the visits.</li> <li>• Regular reminders sent to duty holders of premises for up and coming services/inspections.</li> <li>• Inventory for Social Services assets has now been completed to provide full picture of compliance in relation to Social Services.</li> </ul>	2	2	4
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• The response from schools and other sites has been very well received and better than expected.</li> </ul>	2	2	4
<b>Overall Effectiveness of controls</b>		<b>2</b>	<b>2</b>	<b>4</b>



## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	2	4	2	2	4	↓	↔
Resources	3	3	9	3	2	6	1	2	2	↓	↔
Service Delivery & Well-being	3	4	12	2	2	4	2	2	4	↓	↔
Reputation	3	3	9	2	2	4	2	2	4	↓	↔
<b>Average risk score/ direction of travel</b>	3	3	9	2	2	4	2	2	<b>4 (Medium)</b>	↓	↔

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Create a Master List of all public buildings along with a ‘weighting’ formula for recharging compliance data management costs.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT/MS	March 2019	Red (Slipped)
ACTION UPDATE:	A Revenue Growth bid has been submitted that focuses on the development of a centralised fund rather than using a ‘weighted formula approach’. We are awaiting the outcome of this bid before any further work can be progressed. As a consequence the nature of the action being progressed could be subject to change.												
	Roll out new corporate building compliance approach to non-school premises.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT/GT	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	All site visits have been conducted. This work remains ongoing through annual visits to premises.												
AM1 HS/AM03 1	Review the management of compliance and in particular, 'compliance data' in relation to the Council's Corporate Building stock.	✓	✓	✓	✓	✓		✓	✓	✓	AT	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register.
ACTION UPDATE:	A significant amount of data has now been collated on the corporate compliance status of public buildings and this has now been loaded onto the corporate asset database, IPF. A report has been developed to identify the status of each site and provide alerts where certificates are about to expire. Individual directorates are now receiving updates on the compliance status of their service area. Service Managers are now working well with the team to provide timely certification and reports to support their individual compliance actions.												

## Appendix 10 Corporate Risk 10: Safeguarding

### Return to Risk Summary Report

1 – Risk Overview						
1.1 Risk Description		<p>The Council has produced Corporate Safeguarding procedures including the Safer Recruitment Policy, the Staff Supervision Policy and the Referral of Safeguarding Concerns procedure. These policies and procedures are in place to ensure the Council meets its safeguarding responsibilities in relation to the protection of children, young people and adults at risk by ensuring that recruiting managers comply with pre-employment DBS and reference checks and once in post, employees are supervised in terms of their practice with people considered to be ‘at risk’. The Council also has a responsibility to comply with the All-Wales Child Protection procedures and the All Wales Protection of Vulnerable Adults Procedures and their associated protocols.</p> <p>The Provider Performance Protocol provides a framework for escalating concerns about safeguarding issues and the impact on vulnerable people arising within care homes and other relevant commissioned services.</p> <p>Should these procedures not be followed there could a risk of injury or harm to individuals. Injury or harm could lead to financial loss to the council in terms of compensation claims and reputational damage to the council, leading to a loss of public confidence in key services. The likelihood of this risk occurring increases if policies and procedures are not frequently reviewed and updated, or if compliance with these policies is not fully mainstreamed across the council. Therefore, the overarching risk is that corporate safeguarding procedures are insufficient, not followed or are ineffective.</p>				
1.2 Risk Owner		Head of Resource Management and Safeguarding				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	No	No	Yes	Yes	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
<b><i>Political &amp; Legislative</i></b>	Yes	<p>The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse. Other organisations are unable to meet their responsibilities for responding effectively to situations where people are at risk of neglect or abuse.</p> <p>Political and legislative repercussions of failing to meet the requirements of key legislation and national procedures relating to safeguarding could lead to litigation and/or political instability.</p> <p>Inability to implement safeguarding requirements of the Social Services and Well-being (Wales) Act 2014.</p> <p>Our Corporate Safeguarding procedures are insufficient, not followed or are ineffective.</p> <p>Risk of judicial review as a result of insufficient capacity in care settings to deliver services that effectively meet the identified care and support needs of service users.</p>
<b><i>Resources</i></b>	Yes	<p>Recruiting managers are not sufficiently trained to apply the relevant safeguarding procedures resulting in these procedures being breached.</p> <p>Inability to provide levels of training for staff or independent sector to ensure quality of care for citizens provided by Council.</p> <p>Failure to safeguard vulnerable groups as a result of recruiting unsuitable staff.</p> <p>Failure to have suitable information sharing mechanisms in place to ensure safeguarding concerns are reported to the right people at the right time.</p> <p>Insufficient operational staff capacity to ensure timely assessments and risk management plans are completed.</p> <p>Increase in numbers and complexity of care proceedings in the context of reduced court timescales impacting on court costs, Social Worker caseloads and ensuring that other cases receive the attention they require.</p> <p>Availability of other partners to support the preventative services agenda.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Care homes are embargoed or closed down due to concerns which have not been resolved through the Provider Performance process, resulting in disruption to the living arrangements of vulnerable adults.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Domiciliary care providers are unable to provide a high quality standard of service to our residents.</p> <p>Failure to put in place appropriate safeguards for children, young people and adults at risk resulting in potential harm/injury.</p>
<b>Reputation</b>	Yes	The erosion of public confidence and trust in the Council as a result of a safeguarding incident would damage the reputation of the Council and attract negative criticism from our regulators.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	2 (Possible)	3 (High)	<b>6 (Medium)</b>
<b>Resources</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Service Delivery &amp; Well-being</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Reputation</b>	2 (Possible)	4 (Catastrophic)	<b>8 (Medium/High)</b>
<b>Overall Inherent Risk Score</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>The All Wales Procedures and associated Protocols are embedded in Social Services and are reviewed and updated nationally. The new All Wales Procedures /Protocols will be embedded next financial year.</li> <li>Contribute to the national ongoing, cyclical review of the All Wales Protection procedures.</li> <li>Attend meetings of the All Wales Safeguarding Management Group and contribute to national developments.</li> <li>Build and develop on the Regional Safeguarding Boards model.</li> <li>Work with the Regional Safeguarding Boards, the Council's Corporate Safeguarding Steering Group and schools to deliver our safeguarding responsibilities.</li> <li>Established a corporate-wide policy on safeguarding covering all council services that provides a clear strategic direction and clear lines of accountability across the council.</li> <li>Six monthly reporting to Cabinet of application of the safer recruitment policy and corporate safeguarding arrangements.</li> <li>The Corporate Safeguarding Group (CSG) meet quarterly and they have developed a work plan to help monitor the implementation of the Corporate Safeguarding Policy. A designated safeguarding page has been designed which will hold all the details of the CSG policy, personnel with links to relevant policy/procedures and other guidance to support safeguarding practice and awareness.</li> </ul>	3	2	6
<b>Resources</b>	<ul style="list-style-type: none"> <li>Safer Recruitment Policy is in place to ensure safeguarding checks are carried out on staff working with the public and vulnerable people. All schools in the Vale of Glamorgan have also adopted the policy.</li> </ul>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>• The Council's Duty to Report Safeguarding Concerns procedure is in place to provide employees with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V.</li> <li>• Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable people.</li> <li>• All elected members and staff who come into contact with children on a regular basis receive training on safeguarding and child protection issues and the Council's corporate policy on safeguarding. For staff there is mandatory safeguarding training on Regional Safeguarding Board training, safer recruitment training given through mandatory recruitment and selection course; e-learning module in relation to safeguarding children.</li> <li>• Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy.</li> <li>• The application of the Safer Recruitment policy continues to be promoted within Service areas and is monitored on an ongoing basis, with reports to Cabinet and the relevant Scrutiny Committee on a six-monthly basis. The Safer Recruitment policy has been adopted in all schools within the Vale of Glamorgan.</li> <li>• We have a Local Authority Designated Officer who is accountable for safeguarding and the protection of children and young people and adults in accordance with safeguarding requirements.</li> <li>• Launched a new Safeguarding hotline to support staff to have a single point of contact to report any concerns they have regarding the wellbeing of an adult or a child and fulfil the Duty to Report.</li> </ul>			



2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Staff continue to be supported via training sessions to ensure all staff are trained in the four core modules of the new Act.</li> <li>The Regional safeguarding board has facilitated the opportunity to attend updated APSO training for nominated adult services staff. This training has enabled designated personnel to maintain their requirement for annual training. The Welsh Community Care Information System (WCCIS) has streamlined the adult safeguarding process in terms of recording enquiries and decision making within 7 days.</li> <li>The i-Dev mandatory module for Safeguarding was rolled out to all Vale of Glamorgan employees in November 2017.</li> <li>Data linked to CSE is collated on a monthly basis and is reported through annual reporting. The Regional Safeguarding Children's Board has recently piloted a 'deep dive' case audit using the CEF tool and findings from this audit will be considered and how to implement within the local authority. Recommendations from this audit have been presented to the Business Planning Group of the Regional Safeguarding Board.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Provider Performance Protocol procedures are embedded in relation to the managing of commissioned services.</li> <li>Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely and appropriate action.</li> <li>Obtain the views of children and vulnerable adults/their families and implement protocols in respect of neglect and child sexual exploitation.</li> <li>A Child Sexual Exploitation Strategy has been developed and a Sexual Exploitation Risk Assessment Framework referral process is in place.</li> <li>Information sharing protocols are in place and used appropriately.</li> </ul>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>• Ongoing implementation of the actions arising from Operation Jasmine with a particular emphasis on bringing together policies and processes and reviewing the escalating Concerns Policy.</li> <li>• The application of the Safer Recruitment policy continues to be promoted within Service areas and is monitored on an ongoing basis, with reports to Cabinet and the relevant Scrutiny Committee on a six-monthly basis. All Schools are compliant with the Safer Recruitment Policy. The process is now fully established and operational, but will be subject to continual monitoring and review to ensure full compliance remains showing our commitment to the protection, welfare and safeguarding of children and vulnerable adults.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Obtain the views of children and vulnerable adults/their families and implement protocols in respect of neglect and child sexual exploitation.</li> <li>• Information sharing protocols are in place and used appropriately.</li> </ul>	3	1	3
<b>Overall Effectiveness of Controls</b>		<b>3</b>	<b>2</b>	<b>6</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	2	3	6	3	2	6	1	2	2	↔	↔
Resources	3	3	9	3	2	6	1	2	2	↔	↔
Service Delivery & Well-being	3	3	9	3	2	6	1	2	2	↔	↔
Reputation	2	4	8	3	1	3	1	4	4	↔	↔
<b>Average risk score/ direction of travel</b>	3	3	<b>9</b>	3	2	<b>6</b>	1	3	<b>3 (Medium /Low)</b>	↔	↔

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH7 RM/A004	Review and amend our processes for Adults at Risk to ensure we remain compliant with the Social Services and Well-being (Wales) Act.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ	October 2019	Green (On track with ongoing development)
<b>ACTION UPDATE:</b>	Review of the Wales Safeguarding Procedures is underway led by the Vale of Glamorgan's Director of Social Services. The publication date for the procedures will be in October 2019.												
AH11 RM/A010	Enable the Corporate Safeguarding Group to continue to focus on delivery of Corporate Safeguarding Action Plan and put in place appropriate mechanisms to monitor compliance of the Policy across the Council for all relevant staff, contractors and volunteers.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ (All Council Director ates)	March 2019	Green (Completed with ongoing development)
<b>ACTION UPDATE:</b>	Review of Corporate Safeguarding Policy is on-going. The review will consider the implementation of a training framework/matrix to include the levels of safeguarding training required at all levels. Following this introduction consideration of annual self-assessment to be considered.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH11 RM/A011	Develop and implement training workshops for staff in respect of safeguarding enquiries relating to Adults at risk.	✓	✓	✓	✓			✓	✓	✓	NJ	March 2019	Not applicable  Action not due
<b>ACTION UPDATE:</b>	These will take place in conjunction with the launch of the All Wales Safeguarding Procedures later this year. Training sessions will be established for staff to attend that will be aligned to the roll out of the new All Wales Safeguarding Procedures later this year (2019).												
AH11 RM/A012	Support the completion of the review of the Wales Child and Adult Protection Procedures.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ	October 2019	Green (Completed with ongoing development)
<b>ACTION UPDATE:</b>	Work is underway regarding the All Wales Safeguarding procedures led by the Cardiff and Vale Regional Safeguarding Board. This work is on track to be completed by October 2019.												
AH11 RM/A013	Implement agreed recommendations arising from the 2018/19 Safeguarding Internal Audit work.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	The i-Dev mandatory module for Safeguarding was rolled out to all Vale of Glamorgan employees in November 2017. Completion and compliance will be monitored through the Corporate Safeguarding Group.												
AH14 RM/A015	Collate and review a data set linked to Child Sexual Exploitation to enable the authority to analyse the safeguarding activity and outcomes in this area.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ	March 2019	Green (Completed with ongoing development)  Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Data linked to CSE is collated on a monthly basis and is reported through annual reporting. The Regional Safeguarding Children's Board has recently piloted a 'deep dive' case audit using the CEF tool and findings from this audit will be considered and how to implement within the local authority. Regional Exploitation Strategy encompassing regional responses to Exploitation including CSE is currently being developed and there is representation from the Vale on the subgroup developing this strategy.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH11 HR/A002	Continue to support and monitor the application of the Council's Safer Recruitment Policy.	✓	✓	✓	✓	✓	✓	✓	✓	✓	LB	March 2018	Green (Completed with ongoing development)
<b>ACTION UPDATE:</b>	Regular reports and updates are provided regarding the application of the safer recruitment policy particularly in relation to schools. Compliance is as follows for Quarter 4 - January (Schools - 97%, Corporate - 100%, Total (Corporate and Schools) - 98%), February (Schools - 80%, Corporate - 100%, Total - 94%), March (Schools - 82%, Corporate - 100%, Total - 92%). Overall compliance for schools for 2018/19 was 93% (this compares to 93% in 2017/2018). Overall compliance for corporate in 2018/19 was 100% (this compares to 99% in 2017/2018). Overall compliance for both Corporate and Schools was 96% (this compares to 95% in 2017/2018). This is consistent with previous years. During Q4 the current escalation process is currently being consulted upon with schools to implement in Q1 2019/20 a process for Headteacher and Safeguarding governor to meet with the Director where there is a breach in compliance. In addition, the overuse of risk assessments within schools is being reviewed with a suggestion that it should only be used in exceptional circumstances where proven. An audit was undertaken during Q4 by the Wales Audit Office (WAO) to review the implementation of safer recruitment practices in the Council. Results of the audit should be available during Q1 of 2019/20.												

## Appendix 11 Corporate Risk 11: Integrated Health and Social Care

### Return to Risk Summary Report

1 – Risk Overview							
1.1 Risk Description		<p>Adult Services are becoming increasingly integrated with health services in order to provide service users and patients with seamless care arrangements. There is also an emphasis as part of the Social Services Wellbeing Act to focus on looking at integrated ways of working through collaboration. The recommendations arising from the recent Parliamentary Review of Health and Social Care has further cemented the need for further developing our approach to integrating health and social care services. The Parliamentary review identified that the focus needs to be on 'empowering individuals to take decisions, tailoring care to the individual's expressed needs, whilst being more proactive and preventative. The review also emphasised the need for care provision to be 'seamless', of high quality and as close to home as possible.</p> <p>Although, significant strides have been made by the Vale of Glamorgan in relation to integrated health and social care services, there continue to be risks and challenges associated with its delivery. For example, developing a more integrated approach to service provision is likely to propose further challenges with technology, information sharing, staffing structures and governance re policies and financial management. Financial scrutiny will be required to ensure that any risks associated with mandated pooled funding are properly considered. There are also risks associated with the overall sustainability of these new ways of working, given that a significant amount of investment in new ways of working is via Grant funding and therefore short term and finite.</p> <p>Existing HR and IT arrangements may need to be reviewed as organisations work more closely together. The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&amp;V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by ABMU. Integration with C&amp;V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services. The focus continues to be on accessing funding such as Integrated Care Fund and Transformation Fund in order to further expand and develop our integrated service models. For example, Regional Partners recently submitted a bid to access Transformation Funding to support implementation of the Parliamentary Review. As a result, the region was awarded £7million to deliver 7 projects across the Cardiff and Vale region with the vision of developing more 'seamless care' for our citizens. £1.3million of this Transformation funding was secured by the Vale of Glamorgan in partnership with the Health Board to lead on piloting a new GP triaging scheme using the Council's Customer Contact Centre (C1V). There are also opportunities arising to bid for additional new ICF monies for 2019/20.</p>					
		1.2 Risk Owner					
		1.3 Impact on our contribution to the Wellbeing Goals					
		Head of Adult Services (SC)					
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language	
No	No	No	Yes	Yes	Yes	No	



1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	<p>Inability and capacity of key partners to work effectively together to deliver integrated health and social care services across the region.</p> <p>Failure to put in place effective governance structures to ensure accountability and transparency in decision making which could have a detrimental impact on the ability to integrate health and social care services.</p>
<b>Resources</b>	Yes	<p>Failure to effectively project plan, manage and communicate changes to models of service delivery resulting in delays and/or compromising the quality and delivery of integrated health and social care services.</p> <p>Inability of staff to work effectively across organisational boundaries to deliver the integrated health and social care programme, as a result of poor staffing levels and/or a lack of training.</p> <p>Failure to implement a fully integrated IT information system that is accessible to staff across the health and social care organisational boundaries.</p> <p>Failure to agree pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny.</p> <p>Ineffective scrutiny of the utilisation and expenditure of pooled budgets.</p> <p>Sustainability of projects into the longer term is uncertain due to the short-term and time-limited nature of funding e.g. ICF and Transformation funding.</p> <p>Capacity to deliver fully integrated service models with existing assets and infrastructure and in line with the University Health Board's 'Shaping our Future Well-being' agenda that will see the development of Well-being Hubs/Health Centres.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to maintain business continuity and strengthen service resilience as a result of changes made to service delivery models during the transitional period.</p> <p>Risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics.</p> <p>Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services.</p> <p>Disproportionate funding split in relation to partners spending/commissioning of care arrangements impacting on the</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>ability to deliver integrated health and social care services that meet the diverse needs of the community.</p> <p>Poor communication with staff and service users regarding changes to how services will be delivered could impact on the quality and consistency of service delivery and on the awareness/take up of services.</p> <p>Failure to adequately resource the Customer Contact Centre for dealing with health and social care queries impacting on access to services and waiting times.</p>
<b>Reputation</b>	Yes	Failure to manage expectations of service delivery as part of the new delivery models impacting on the Council's reputation.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	2 (Possible)	3 (High)	<b>6 (Medium)</b>
<b>Resources</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Service Delivery &amp; Well-being</b>	2 (Possible)	3 (High)	<b>6 (Medium)</b>
<b>Reputation</b>	2 (Possible)	3 (High)	<b>6 (Medium)</b>
<b>Overall Inherent Risk Score</b>	2 (Possible)	3 (High)	<b>6 (Medium)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Information Sharing Protocols developed and operational.</li> <li>Integration of Health and Social Care is considered at all levels of the organisation through the leadership group and the strategic implementation group.</li> <li>Arrangements are reviewed through regular reports to Scrutiny Committee Healthy Living and Social Care Committee.</li> </ul>	3	3	9

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Significant changes to structure and staff arrangements are considered by Cabinet.</li> <li>Cabinet Member and Managing Director are members of the Regional Partnership Board that oversees integration and the work of the Integrated Health and Social Care Partnership, including access to resources for the Integrated Care Fund (ICF) and Transformation Fund.</li> <li>Senior managers are linked into the Dementia Action Groups as appropriate. Head of Adults Services attends the Welsh Government Steering Group - Dementia Oversight and Implementation Group on behalf of all Heads of Adults Services across Wales.</li> </ul>			
<b>Resources</b>	<ul style="list-style-type: none"> <li>Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board.</li> <li>Developed the ability to view both database systems via Vale IT.</li> <li>Implemented WCCIS within the Vale of Glamorgan Council whilst awaiting regional implementation by partner organisations.</li> <li>IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development.</li> <li>Joint Commissioning Board meets regularly to progress work for pooled arrangements.</li> <li>Contact Centre Development meetings are held fortnightly to review and monitor functions and future business streams. To further improve integrated services at our 'front door', we have commenced engagement work across the Contact Centre in relation to C1V Call Handlers, Customer Service Representatives for Adult Social Care and Call Handlers in relation to Health Services in order to further develop and enhance a more 'seamless' model of service provision in line with the recommendations arising from the Parliamentary Review.</li> <li>Regular quarterly data from Paris on the number of Health to Health transfers is being received.</li> <li>Joint transition meetings booked in across Cardiff and Vale on a monthly basis to develop a joint transition protocol</li> </ul>	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>which will include responsibilities of all partners (including mental health) within the transition process. This work will help develop a streamlined transition process enabling a smoother transition for young people to adult mental health services.</p> <ul style="list-style-type: none"> <li>Grant funding was awarded during 2018 to continue the development of the Single Point of Access Services to meet the recommendation of the Parliamentary Review of health and Social Care .We have established a Joint Staff Forum and work plan with a joint induction and training programme planned.</li> <li>We have welcomed additional health staff into the Ty Jenner Hub and the Locality team and links with the PCIC Clinical Board are extended.</li> <li>We monitor implementation of the ICF Revenue, Capital and Slippage Schemes and work positively with partners including Cardiff Council, Cardiff and Vale UHB and Third Sector Organisations to deliver good quality services for the residents of our Region.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>DEWIS Cymru Portal is providing more effective signposting for service users to adult services.</li> <li>Continued to develop the Customer Contact Centre as a single point of access for community health and social care services through expanding the range of services that are available.</li> <li>Reviewed and put in place new assessment processes and IT infrastructure to ensure compliance with the Social Services Wellbeing Act.</li> <li>Effectively use funding including the Integrated Care Fund and Transformation Fund to explore new models/ways of working to further enhance integrated service delivery. Integrated Community Resource Teams and wellbeing co-ordinators that are linked to GP practices which has increased the capacity to support people to become more independent. The ICF has also been used to develop a commissioning strategy for accommodations with care and the creation of 6 intermediate care beds at the Ty Dyfan reablement unit to support older people following hospital discharge to regain their independence.</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>The Welsh Community Care and Information System was launched in November 2017 to enable the safe sharing of information to deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act. There is also ongoing developed in relation to</li> <li>The financial functionality of the system. We continue to support the implementation on a Regional basis and feed into the National team.</li> <li>Joint Care Package approval process has been agreed with Cardiff and Vale University Health Board (UHB) for use on complex hospital discharges. This work is aimed to reduce the numbers of delayed transfers of care for social care reasons.</li> <li>Delivered a successful Outcome Focused Case Management Pilot called 'Your Choice'. This approach has received significant attention from external organisations interested in replicating the model to demonstrate the measurement of outcomes for service users and we won a Social Care Wales award.</li> <li>All Community Mental Health Teams have now moved to Barry Hospital to form the Integrated Mental Health team. The Vale's Locality Mental Health Team has been established and is now operational.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Senior Officer and Councillor representation on the Regional Partnership Board.</li> </ul>	1	1	1
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	2	3	6	3	3	9	1	1	1	↔	↔
Resources	3	3	9	1	1	1	3	3	9	↔	↑
Service Delivery & Well-being	2	3	6	2	2	4	1	2	2	↔	↔
Reputation	2	3	6	1	1	1	2	3	6	↔	↔
<b>Average risk score/ direction of travel</b>	2	3	6	2	2	4	2	2	4 (Medium)	↔	↔

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH8 AS/A005	Continue to develop C1V (Customer Contact Centre) single point of access for community health and social care services expanding the range of services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC/TC	March 2018	Green (Completed but with ongoing development)  Action completed and will be reflected as a control in the Register
AH8 PD/A032	Continue to strengthen and extend shared working between C1V and the Health Board to provide a more integrated service for the public.												
ACTION UPDATE:	During Qtr 4 we have continued to progress the work plan regarding development of the CCC. There is now an established joint staff forum, a work plan to look at familiarisation and induction within the team and a training programme planned. In addition, a re-branding exercise is being considered. Monthly steering group meetings are established and well attended. CIW attended and completed a focused activity in relation to the Single Point of Access Services during February. CIW reported back to senior managers with primarily positive observations. Grant funding has been secured to continue this development via ICF and Transformation monies.												
AS/A009 PD/A018 AH7	Review and amend processes at the Customer Contact Centre to support provision of advice and assistance in line with requirements of the Act.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TC	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	CIW undertook a focused activity at the Customer Contact Centre during February. They identified that there was some confusion between professionals as to the interpretation of what advice and assistance means. As a consequence of this feedback an action plan is in development and an audit regarding training has been completed by CSRs and other Contact Centre staff to ensure that there is clarity regarding definitions and corresponding actions going forward. This action plan will be monitored by the Wellbeing Matters Steering group. Positive steps have been introduced regarding advocacy for all service users and provision of information and advice as a preventative and signposting function, the support of the third sector broker has been significant in helping achievement in this key area.												
AH9 AS/A024	Maximise access to and use of grant funding streams such as the Integrated Care Funding to support development of further integrated services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2019	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Confirmation that ICF monies will continue for another two years and hence the Directorate has secured funding to continue to provide services and develop some new opportunities through further Welsh Government investment in the Region. The Division continues to monitor implementation of the ICF Revenue, Capital and Slippage Schemes and works positively with partners including Cardiff Council, Cardiff and Vale UHB and Third Sector Organisations to deliver good quality services for the residents of our Region.												



3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH9 AS/A025	Improve communications with Mental Health Service in order to support effective transition for young people to move into Adult Mental Health Services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2019	Green (Completed with ongoing development)
<b>ACTION UPDATE:</b>	Transition protocol discussions on-going. Formal discussion of young people with MH problems have taken place at Disability Futures Programme Board to look at how we ensure equity in application of the transition process across teams. Regular quarterly data from Paris on the number of Health to Health transfers is being received – nine this quarter. Cardiff and Vale UHB Locality Lead Nurse has been provided dates of the next TRIG meeting to attend alongside MH Social Work manager and CPN to assess how MH can use this meeting more proactively. 3 people in Q4 with Mental Health needs came through TRIG												
AH9 AS/A028	Work with partners to launch the 10 year Dementia Strategy to better integrate the service via a multi-agency service model.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AC	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Senior managers are linked into the Dementia Action Groups as appropriate. Head of Adults Services attends the Welsh Government Steering Group - Dementia Oversight and Implementation Group on behalf of all Heads of Adults Services across Wales. The ICF Dementia project continues to progress with roll out as planned. We have inputted in the priority areas for 2019/20 and rolled out the 'Read About Me' scheme to all care homes in the Vale of Glamorgan to ensure a consistent approach to person centred care in care homes and when transferring between care settings.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH9 AS/A026	Work with partners to develop locality models in response to the recommendations of the parliamentary review.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2019	<b>Green (Completed with ongoing development)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	The anticipated actions under the Transformation monies Tranche One have been completed in Qtr 4 that have commenced project planning and preparation as per the implementation programmes. Work with the Locality team (PCIC) and the Council social Care management team to develop a revised Vale Locality Service Plan looking at combined assets is well underway and a vision for the locality and its assets across health and social care is currently being developed taking account of the Council and UHB's strategic vision for the assessed population health needs. Opportunities to integrate services in line with the Parliamentary review are at the forefront of our planning to deliver on the recommendations outlined in the report.												
AH9 AS/A029	Further develop and enhance the Integrated Autism Service with a specific focus on enhancing links with other services, service users and their carers and the provision of training for professionals.	✓	✓	✓	✓	✓	✓	✓	✓	✓	KI	March 2019	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register.
<b>ACTION UPDATE:</b>	The Integrated Autism Service (IAS) continues to consolidate its work across Cardiff and Vale. The Integrated Autism Service (IAS) continues with an ongoing program of training sessions for professionals providing specialist training and creating links with approximately 450 staff across a variety of												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	professions in health and social care. As well as adults who have received a diagnosis being enrolled on a post diagnostic course their parents are also invited to attend a course specifically designed for their needs.												
AS/AM04 1	Review the quality of our existing assets to ensure they are ‘fit for purpose’ both now and in the future, which includes identifying options for the way forward in relation to delivery of integrated health and social care services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2019	Green (Completed with ongoing development)
ACTION UPDATE:	Actively engaged in conversations with partners to maximise opportunities across the sector and included in plans regarding the management of assets.												
AS/AM02 3	Continue to develop Ty Jenner as a Health and Social Care Hub.		✓	✓		✓	✓	✓	✓	✓	SC	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register
ACTION UPDATE:	During Qtr 4 we welcomed additional health staff into the Ty Jenner Hub and the Locality team and links with the PCIC Clinical Board are extended. Ty Jenner now accommodates project staff funded through ICF and Transformation monies and have increased the capacity of the Vale Locality Team.												

## Appendix 12 Corporate Risk 12: Unauthorised Deprivation of Liberty Safeguards

[Return to Risk Summary Report](#)

1 – Risk Overview	
1.1 Risk Description	<p><b>Deprivation of Liberty Safeguards</b></p> <p>The Deprivation of Liberty Safeguards (DoLS) (2009) introduced a legal mechanism to protect people who do not have the mental capacity to consent to their care and support in registered care homes and hospital wards. Specifically, the DoLS safeguards aim to prevent breaches of Article 5 of European Convention of Human Rights – <i>The Right to Liberty and Security</i>. They acknowledge that care and support arrangements sometimes are required to deprive a person of their liberty to ensure the person's best interests and safety, but that any deprivation of liberty must be in accordance with a prescribed legal procedure (Art 5(1)) and shall entitle the deprived person to take legal proceedings to determine lawfulness of the deprivation ((Art 5 (4)).</p> <p>The Safeguards place a duty on the local authority to perform to a prescribed legal procedure when informed by a Care Home (described as Managing Authorities under the Safeguards) that a resident may be being deprived of their liberty in the care home. The local authority (known in the Safeguards as the Supervisory Body) has 7 days for Urgent Authorisation requests and 21 days for Standard Authorisation requests to coordinate a suite of 8 assessments to determine if the care arrangement is in the persons best interest and to legally 'Authorise' the deprivation of liberty. In March 2014, the Supreme Court (P v Cheshire West and Chester Council and P &amp; Q v Surrey County Council) made a ruling, effectively setting a new and much lower threshold for determining a deprivation of liberty which has led to a substantial increase in the number of requests for DoLS Authorisations. In the Vale of Glamorgan, this has meant an increase from 6 requests in 2013/14 to an average of over 500 in each of the last three years.</p> <p>Adult Services have invested into the DoLS team to go some way to meet this increased demand, but the team is not able to coordinate DoLS assessments and Authorisation within the statutory timescales which places the local authority at risk of legal challenge in the Court of Protection.</p> <p><b>Deprivation of Liberty in 'Domestic Settings'</b></p> <p>The Cheshire West Supreme Court ruling in March 2014 made it clear that the local authority must seek Authorisation from the Court of Protection whenever it knows or ought to know that a person who does not have mental capacity to consent is living with care and support that deprives them of their liberty within their own home. It is difficult to be certain but current estimates would indicate that between 50 and 100 people living in the Vale of Glamorgan potentially fall into this category which includes people with learning disabilities or mental health problems and older people with mental health problems.</p> <p>Without Court of Protection Authorisation, the local authority is at risk of legal challenge for care and support that potentially breaches a person Article 5 right to liberty and security.</p>
1.2 Risk Owner	<b>Head of Resource Management and Safeguarding (AP)</b>

1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	No	No	Yes	Yes	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
<b><i>Political &amp; Legislative</i></b>	Yes	<p>Risk of legal challenge as a result of a failure to adhere to the Deprivation of Liberty Safeguards for relevant care home residents or for those living in their own homes (where authorisation from the Court of Protection has not been sought) and for young people lacking capacity.</p> <p>Political repercussions as a consequence of failing to adhere to the Deprivation of Liberty Safeguards.</p>
<b><i>Resources</i></b>	Yes	<p>Inability and capacity of key partners to effectively work together to safeguard adults who are at risk of deprivation of liberty.</p> <p>Financial repercussions as a result of court proceedings where there has been a failure to safeguard clients and there has been an unauthorised deprivation of liberty.</p> <p>Lack of suitably qualified staff to undertake best interest assessments within designated timescales.</p> <p>Increased demand for best interest assessments as a result of changes in law impacting on staff capacity and putting pressure on budget thresholds.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Failure to undertake assessments resulting in unauthorised deprivation of liberty that could have detrimental impact on the health and wellbeing of the individual.</p> <p>The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.</p> <p>Implications arising from the Court of Protection associated with Deprivation of Liberty of people living in domestic settings.</p> <p>Failure to appropriately identify individuals living in domestic settings where authorisation from the Court of Protection should be sought.</p> <p>Excessive waiting times for an assessment impacting on unlawful deprivation of liberty.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Reputation</b>	Yes	A failure to adhere to the Deprivation of Liberty Safeguards for relevant people living in a care home or to seek authorisation from the Court of Protection for relevant people living in their own homes is unlawful and unequal. This would have a detrimental impact on reputation of the Council and would draw criticism by our regulators.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Resources</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Service Delivery &amp; Well-being</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Reputation</b>	3 (Almost certain)	3 (High)	<b>9 (High)</b>
<b>Overall Inherent Risk Score</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	Regular scrutiny and CMT reports to highlight the key issues affecting DOLs.  The DOLs Management Board oversees DOLs development.	1	1	1
<b>Resources</b>	Additional Best Interest Assessors have been recruited to meet the increased demand for additional assessments.  Efficient use and co-ordination of resources on a regional basis via a collaborative arrangement with Cardiff Council and Cardiff and Vale University Health Board.  Light touch review of systems and processes undertaken to put in place more robust processes to support the timely completion of assessments.  Financial contributions by partners are reviewed at every DOLs Board with ongoing discussion.	1	1	1
<b>Service Delivery &amp; Well-being</b>	Effective case management processes in place  The CMHT for Older People has relocated from Ty Jenner to Llanfair Unit at Llandough Hospital.  Advocacy Gateway provider has been identified through market analysis with plan to go live with Gateway in June 2018. Existing providers are to continue to provide advocacy and Independent Professional Advocacy as accessed through the Gateway.  Gateway provider will monitor demand for advocacy and Independent Advocacy to inform future commissioning intentions. This work will lead to the Cost effective commissioning of advocacy Services that meets the needs of service users.	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Reputation</b>	We have formed good relationship with Welsh Government, Regulators and Key Partners and feed into the Association of Directors of Social Services (ADSS).	1	1	1
<b>Overall Effectiveness of Controls</b>		<b>1</b>	<b>1</b>	<b>1</b>



## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	3	12	1	1	1	4	3	12	↔	↔
Resources	4	3	12	1	1	1	4	3	12	↔	↔
Service Delivery & Well-being	4	3	12	1	1	1	4	3	12	↔	↔
Reputation	3	3	9	1	1	1	3	3	9	↔	↔
<b>Average risk score/ direction of travel</b>	4	3	12	1	1	1	4	3	12 (High)	↔	↔

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Review contributions from each partner organisation for DOLs budget.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AP	March 2019	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	The proportion of funding remains a challenge. We continue to have ongoing discussions with the Health Board.												
	Undertake review of the business functions of the DOLs Team.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AP	March 2019	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Review work has been completed and recommendations have been approved/signed off. Additional legal support for DoLS has been sourced that will enable us to further mitigate this risk and will give us capacity whilst making the transition to a new framework.												

## Appendix 13 Corporate Risk 13: Contract Management

### Return to Risk Summary Report

1 – Risk Overview						
1.1 Risk Description		Work undertaken by the Internal Audit service during 2016 highlighted significant shortcomings in the way in which large scale services were procured. The issues highlighted : <ul style="list-style-type: none"><li>• Poor planning with regard to the completion of tendering processes so that a full procurement exercise could not be completed before an existing contract came to an end;</li><li>• Services starting without final contracts having being agreed and signed by the Council and the supplying organisation.</li></ul>				
		The audit work highlighted that these shortcomings were evident in a number of instances and across different service areas.				
		The shortcomings exposed the Council to the following risk : <ul style="list-style-type: none"><li>• Break in crucial services if the current supplier was unable to continue to provide a service whilst a tendering process was completed ;</li><li>• Additional cost as current suppliers increased their costs during the interim period;</li><li>• Risk of legal challenge if any issues arose when services were provided when there was no formal contract in place; and</li><li>• Reduced ability to address poor performance if no formal contract in place.</li></ul>				
		A recent review of the contracting practices in the Vale, undertaken by South Wales Audit Partnership, has concluded that our systems are robust and our policies and procedures are effective. There are now a good range of controls in place that have addressed the majority of the issues that were originally highlighted by Internal Audit during 2016. As a result the focus of this risk has now shifted towards the risks associated with managing the quality of services, contractual performance and preventing the failure of commissioned services in order to secure service sustainability.				
1.2 Risk Owner		Head of Finance (CL)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	Yes	No	No	No	No








1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	<p>If service arrangements fail due to poor management or the lapse of a contract the Council may not be able to continue to provide priority services.</p> <p>Failure to comply with Council procedures may result in the Council being in breach of EU tendering thresholds.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Resources</b>	Yes	<p>Services are not provided in the most cost effective or efficient way for the Council.</p> <p>The Council is exposed to possible legal challenge if processes are not completed correctly and contracts are not effectively managed.</p> <p>The ability of the Council to challenge poor performance is limited if performance standards have not been set and agreed to effectively monitor contracts.</p> <p>Lack of capacity within teams to undertake effective brokerage/commissioning of services for our citizens e.g. Domiciliary Care packages.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Quality of key services could suffer as a result of poor contractual performance.</p> <p>Service performance measures are not formally agreed and reviewed regularly via contract monitoring processes.</p> <p>Closure/failure of commissioned providers and the impact this has on our ability to deliver statutory services.</p>
<b>Reputation</b>	Yes	Failure to ensure service continuity as a result of provider failure.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Resources</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Service Delivery &amp; Well-being</b>	2 (Possible)	3 (High)	<b>6 (Medium)</b>
<b>Reputation</b>	3 (Probable)	4 (Catastrophic)	<b>12 (High)</b>
<b>Overall Inherent Risk Score</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Audit findings shared with and debated at Audit Committee</li> <li>Updates regarding contract monitoring and management have been considered by Audit Committee</li> <li>Review of contracting arrangements undertaken which concluded that robust systems were in place and policies and procedure were up to date and relevant.</li> </ul>	3	3	9
<b>Resources</b>	<ul style="list-style-type: none"> <li>Training in relation to Procurement and Contract Management delivered to over 300 staff in March 2017</li> <li>Procurement Code of Practice updated, reviewed via Insight Board and CMT</li> <li>Revised Procurement Code of Practice published on StaffNet</li> <li>Procurement pages on the Staffnet updated with key processes highlighted for all staff</li> <li>More detailed training and discussions taken place in services where staff undertake more procurement activity</li> <li>Situation with regard to the finalisation of contracts reported to CMT on monthly basis</li> <li>Updates to CMT on regular basis regarding the audit work undertaken on contracts and contract management</li> <li>Consistent application of the escalation of concerns process.</li> </ul>	3	2	6
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Service performance requirements now included in contract documentation.</li> <li>A system for monitoring non-compliance against service targets has been established and is now operational.</li> <li>Central contracts register for the Council to enable effective procurement and contract management has been tested.</li> <li>Regular quality assurance meetings are in place on a two-monthly cycle.</li> </ul>	2	2	4
<b>Reputation</b>	<ul style="list-style-type: none"> <li>No services have failed due to poor contracting processes.</li> <li>Central contracts register for the Council to enable effective procurement and contract management has been tested.</li> <li>A final draft of the regional 'Escalating Concerns' policy is now subject to consultation with key partners.</li> </ul>	3	2	6
<b>Overall Effectiveness of Controls</b>		<b>3</b>	<b>2</b>	<b>6</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	3	3	9	1	1	1		
Resources	3	3	9	3	2	6	1	2	2		
Service Delivery & Well-being	2	3	6	2	2	4	1	2	2		
Reputation	3	4	12	3	2	6	1	2	2		
<b>Average risk score/ direction of travel</b>	3	3	9	3	2	6	1	2	2 (Low)		

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CP10 FIT/A025	Develop and implement a central contracts register for the Council to enable effective procurement and contract management.	✓	✓	✓	✓	✓			✓	✓	CL	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	A new system is currently being tested and will be operational early in 2019/20. This will provide access to a comprehensive list of all contracts that the Council has in place together with information regarding the service being commissioned and when the contract is due for renewal.												
	Embed a robust approach for escalating concerns in relation to externally commissioned Social Services.		✓	✓	✓				✓	✓	AP	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as an ongoing control in the Register.
<b>ACTION UPDATE:</b>	Regular quality assurance meetings are in place on a two-monthly cycle. A final draft of the regional 'Escalating Concerns' policy is now subject to consultation with key partners.												

## Appendix 14 Corporate Risk 14: Transition to the Welsh Community Care Information System (WCCIS)

### Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	<p>The Social Services &amp; Wellbeing (Wales) Act 2014 has integration of health and social care at its core. The effective sharing of information is a fundamental foundation of integrated working and should be applied on a “once for Wales” basis. Welsh Government has significantly invested in the capital programme to support the development and implementation of an integrated information system across health and social care services. This system is known as Welsh Community Care Information System (WCCIS) and is the replacement to the social care information system known as SWIFT.</p> <p>The new system will provide an integrated electronic record system for social care, primary and community health services, mental health services across both adult and children and young people services. This will be a national system intended to be used across all Welsh local authorities and Health Boards.</p> <p>The WCCIS procurement process ended in 2015. All 22 local authorities and health boards are enabled to procure WCCIS, as a replacement for their existing information system.</p> <p>The Cardiff and Vale region have agreed in principle to collectively contract with WCCIS to enable integrated working to become a reality. However, to date Vale of Glamorgan Council is the only partner to have signed a deployment order with the supplier, Careworks. Cardiff and Vale UHB and Cardiff Council are currently going through processes to seek approval for business cases to allow them to proceed with signing a deployment order although this is now unlikely to happen until at least 2019/20. The aim is that all three partners will be utilising the WCCIS over the coming years with a staged implementation.</p> <p>Initially there were some delays with the implementation of the system, which have since been addressed. And although WCCIS went live during November 2017, there were a series of obstacles to overcome in order to ensure full transition to the new system so that all aspects of the system are fully utilised and embedded. The risk previously was in relation to the inability to interface with the legacy system (SWIFT), and to fully embed and utilise the system to its full potential in integrated health and social care teams, which has since been resolved. The focus now is in relation problems associated with performance reporting, as we need to build data reports which requires new skills and time to create. Finally, we would wish to explore the financial functionality of WCCIS to ensure all our social care charging and invoicing is one place, but this requires further work and additional consultancy costs to explore and implement.</p>
1.2 Risk Owner	<b>Head of Resource Management and Safeguarding (AP)</b>



1.3 Alignment with Well-being Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	No	Yes	Yes	Yes	Yes	No

1.3 Risk Categories		
Categories	Yes/No	Definition
<b><i>Political &amp; Legislative</i></b>	Yes	<p>Political and legislative repercussions of failing to fully implement WCCIS across the Directorate fully within required timescales.</p> <p>Failure to put effective information security safeguards in place resulting in personal/sensitive and confidential information being leaked/revealed in the public domain could cause political instability and loss of credibility.</p> <p>Failure of other regional partners to implement the system, thus not maximising the benefits of the systems particularly in relation to integrated teams.</p>
<b><i>Resources</i></b>	Yes	<p>Failure to fully maximise and mobilise our existing resources to ensure full implementation/development of WCCIS across the Directorate.</p> <p>Minimal resilience within the team to support the ongoing transition to the new system. Arising from the lack of staff capacity to support the transitional period as a result of disbanding the regional consortium providing SWIFT support. However, there is a regional team which is upskilling and Vale of Glamorgan will be able to access both regional and national support over time.</p> <p>Increased risk of data protection breaches following transition to new WCCIS system due to the large volume of users and the financial impact of these breaches.</p> <p>ICT issues impacting on our ability to print newly developed forms post implementation of WCCIS.</p> <p>Limited skill resilience to extract and report relevant data from the system.</p> <p>Financial impact of contract renewal for sustaining a legacy system in line with the Council's retention policy.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Failure to fully develop WCCIS and its potential could impact the ability of service users to access services readily.</p>

1.3 Risk Categories		
Categories	Yes/No	Definition
		Loss of data could impact of the delivery of key services as well as the impact this has on service users.
<b>Reputation</b>	Yes	<p>Reputational impact of not being able to retrieve performance information from WCCIS and the archive system (SWIFT) in a timely way could have a detrimental impact on how we are perceived by our external regulator CIW, Welsh Government returns and by Internal Audit.</p> <p>Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity. Lack of credibility and potential criticism from our external regulators and the Information Commissioner.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	4 (Almost certain)	3 (High)	12 (High)
<b>Resources</b>	4 (Almost certain)	4 (Catastrophic)	16 (Very High)
<b>Service Delivery &amp; Well-being</b>	4 (Almost certain)	3 (High)	12 (High)
<b>Reputation</b>	4 (Almost certain)	4 (Catastrophic)	16 (Very High)
<b>Overall Inherent Risk Score</b>	<b>4 (Almost certain)</b>	<b>4 (Catastrophic)</b>	<b>16 (Very High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Initial launch/Go live has been successful.</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Delivery of other development phases of the system are being monitored via operational meetings.</li> <li>Regular reporting of progress/updates via Insight, CMT and Cabinet.</li> <li>Regional partners have further delayed implementation of WCCIS.</li> </ul>			
<b>Resources</b>	<ul style="list-style-type: none"> <li>Extension of SWIFT contract has been negotiated to support the transition between the two systems with an annual renewal of the contract.</li> <li>Interface between the previous SWIFT system and the WCCIS via a bespoke legacy system is now working.</li> <li>Identified Super users for the system maintain links with the national and regional team.</li> <li>Successfully trained all staff on using WCCIS now that it is operational.</li> <li>Training has been delivered on performance reporting and officers continue to access support from other local authorities to develop their expertise on the system.</li> <li>We are running SWIFT and WCCIS concurrently at present. SWIFT is legacy system is read-only. SWIFT contract has been extended for another year.</li> <li>Performance staff have attended SQL training to understand how to build performance related reports.</li> <li>Performance staff have liaised with other WCCIS sites (local authorities) to access additional support and to gain greater understanding of how to build reports and access data.</li> <li>Appointment of a Senior Systems Support Officer who is responsible for progressing WCCIS project delivery.</li> </ul>	2	1	2
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Directorate adheres to the Council's Information Management Strategy.</li> <li>We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Data disclosure agreements in place with all other organisations that are using WCCIS.</li> <li>Information Manager attends Information Governance Groups to ensure the IAA is signed and fit for purpose to give us an additional layer of protection.</li> <li>Representatives Attend Regional and National Operational Meetings to identify and discuss any operational issues with the system and impact on service delivery.</li> <li>Fortnightly operational meetings post-implementation to identify and address system based issues as they arise. Such as changes to social work practice and including the development of new forms etc.</li> <li>Introduced a 'clinic' for users to attend to discuss their forms etc.</li> <li>Dashboards within WCCIS have been developed to enable staff to manage their own data have been completed.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Effectively managed expectations and raised awareness with our Regulator (Care Inspectorate Wales) and Welsh Government regarding the limitations of data reporting during this transitional period.</li> <li>We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.</li> <li>Performance staff are being trained and learning how to build reports in order to access data and prepare reports using SQL databases. Linked with other WCCIS sites to share knowledge and skills</li> </ul>	2	1	2
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>1</b>	<b>2</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	3	12	2	1	2	2	3	6	↔	↓
Resources	4	4	16	2	1	2	2	4	8	↔	↓
Service Delivery & Well-being	4	3	12	2	1	2	2	3	6	↔	↓
Reputation	4	4	16	2	1	2	2	4	8	↔	↓
<b>Average risk score/ direction of travel</b>	4	4	16	2	1	2	2	4	<b>8 (Medium /High)</b>	↔	↓

## CR14: WCCIS

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AH10 RM/A009	Continue full implementation of the Welsh Community Care Information System (WCCIS) for the Directorate including a focus on developing the financial aspects of the system.	✓	✓	✓	✓	✓	✓	✓	✓	✓	GJ	March 2019	Red (Slipped)
<b>ACTION UPDATE:</b>	Further progress has been made to identify data issues within the system. Additional support has been secured via the Regional Project Team and training sessions for staff have commenced. However, due to initial issues experienced with the system that requires data cleansing the full implementation of the system will continue into 2019/20.												
	Ensure that Performance staff are competent to extract and report Performance related data to support service managers and report to Welsh Government, CIW etc. including the public for FOI requests	✓	✓	✓	✓	✓	✓	✓	✓	✓	NH	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Managers have had the opportunity to attend a workshop to develop Dashboards to monitor performance and report on their own service/team areas.  Experience and confidence in developing basic SQL Reports continues to build within the Performance Section and has improved our ability to respond to Welsh Government and CIW reporting requirements etc. More complex reporting is proving more difficult to master and support is being provided by Bridgend Council, in particular, and other WCCIS Authorities. Skills in this areas are developing more slowly but are showing positive improvement.												

## CR14: WCCIS

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Address issues relating to financial functionality of WCCIS.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GJ	March 2019	Red (Slipped)
<b>ACTION UPDATE:</b>	A Project Group has been established and meetings set up in order to implement the finance module in respect of residential services as of 1 <sup>st</sup> October 2019.												

## Appendix 15 Corporate Risk 15: Brexit

### Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	<p>This risk focuses on how we respond to uncertainty and emerging issues surrounding Brexit that has the potential to impact on how we deliver services to our citizens. There is a risk that we fail to effectively identify and respond to the changing policy and legislative landscape as a result of the 'Brexit' process. This could also impact significantly on our ability to deliver our Well-being Outcomes and strategic objectives of our Corporate Plan. By developing a better understanding of the potential pressures Brexit places on specific services this will enable us to better prepare and respond to the changing climate and minimise disruption to service delivery.</p> <p>The uncertainty and implications associated with Brexit have been the subject of much discussion across the Council. The Council has maintained a watching brief as the process has continued and this has been documented to date as part of the legislative Change risk on the Register. However, at Audit Committee in February 2019 a suggestion was made that Brexit should now be identified as a risk in its own right on the Register.</p> <p>CMT have adopted a proportionate approach for planning for Brexit and service areas have undertaken an impact assessment in the context of overall business continuity planning.</p> <p>The WLGA have provided grant funding to all Local Authorities to support the preparatory work associated with Brexit. The Local Resilience Forum have also committed resources to support coordination and communications across the region.</p> <p>A response was submitted to the Wales Audit Office in terms of our readiness work, which included a series of discussions at Insight to formulate an Impact Assessment and a presentation to CMT/Cabinet by the WLGA. It is this preparatory work that has helped to inform how we define and understand this risk.</p> <p>We recognise too that residents and businesses will look to us a community leader for advice, support and assistance whilst the negotiations remain ongoing. Therefore, since the referendum, our focus has been on ensuring that we participate in opportunities to feed into discussions at both the national and local level regarding the potential impact of Brexit on Council services. For example, the Council is represented by the Director of Environment and Housing Services on the Local Resilience Forum, a regional emergency planning group and during October 2018, Brexit was a primary agenda item at the Insight Board which prompted discussion regarding its potential impact on us as a local authority.</p>
1.2 Risk Owner	<b>Operational Manager of Policy and Performance (TB).</b>



1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	Yes	Yes	Yes	Yes	Yes	Yes

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	<p>Significant political uncertainty associated with Brexit and the impact this has on our ability to forward plan.</p> <p>Failure to comply with any legislative changes arising from the UK leaving the EU and impact this has at the local level.</p> <p>Failure to fully embrace and participate in discussions/collaborative opportunities associated with Brexit could be detrimental to the profile and status of the Council.</p> <p>Failure to represent the Council's position in relation to the policy developments/changes associated with Brexit, which could impact on our ability to maximise opportunities for future investment and to deliver our strategic objectives outlined in the Corporate Plan.</p> <p>Failure to effectively lobby for and secure access to funding previously sourced from the EU programmes post-Brexit (including any successor programmes).</p> <p>Changes to consumer protection requirements across the EU affecting residents and local businesses.</p> <p>Potential changes to the regulatory procurement regime/framework that we operate by could have a negative impact on how we tender for and access products/services from EU markets.</p>
<b>Resources</b>	Yes	<p>Financial impact of leaving the European Union on the Council's European funded projects/initiatives (regeneration). Leaving the EU could impact our ability to secure funding to further progress the development/investment in regeneration projects e.g. Creative Rural Communities.</p> <p>Uncertainty post-Brexit impacts on our ability to attract private sector investment to improve our connectivity (transport/infrastructure and technology), skills investment, innovation, regeneration, housing investment and energy related projects) and in particular projects/programmes associated with the City Deal.</p> <p>Rising costs associated with importing supplies and services e.g. Fuel, Food products from EU countries due to higher trade tariffs and payment of customs duties which places further pressure on our budgets.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Loss of staff from EU countries impacting not just on the council's operational capacity but also on the wider business community e.g. health and social care, construction, tourism etc. A reduction in labour supply could have a detrimental impact on the local economy.</p> <p>Difficulties in recruiting staff (or commissioning from the market) in 'hard to recruit' areas and where skill shortages exist and the impact this has on our capacity to deliver services/projects/schemes.</p> <p>Inability to put in place effective civil contingency plans (emergency planning) to take account of the potential impact of Brexit.</p> <p>Market volatility, inflation and financial uncertainty could impact on council revenue budgets and borrowing costs for capital schemes.</p> <p>Inability to effectively manage demand and sustain service delivery post Brexit.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Uncertainty in the economic/financial climate as a result of the Brexit process impacts on our ability to attract inward private investment and lever fewer jobs in the area.</p> <p>Impact of Brexit on the supply chain, disrupting access supplies and services from EU. This has the potential to significantly disrupt service delivery particularly in relation to vulnerable groups.</p> <p>Disruption in food supply could impact on our ability to provide cooked meals to children in schools, adults in residential care settings and our Tourist attractions/Country Parks. Increased risk of food contamination due to changes in food inspection regimes at ports.</p> <p>Disruption to fuel supply could impact on our ability to deliver services such as waste collections and the ability of staff to get to work.</p> <p>Shortages in medical supplies/specialist equipment could have a detrimental impact on discharge from hospital and ultimately on the health and well-being of our citizens.</p> <p>Increased risk of counterfeit/fraud of goods/supplies such as pharmaceutical products, materials (building materials, electronic parts, vehicle parts), food and supplies such as cleaning products, sanitary products impacts not only on quality but also on overall service provision.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Failure to appropriately support children in the local authority care who are EU nationals through applying on their behalf for the right to remain through the EU Settled Status Scheme.</p> <p>Inability to support citizens who are impacted by the changes resulting from Brexit and its uncertainty. Increased demand for support / advice services due to an economic downturn as a result of withdrawal from the EU. Any loss of jobs to the area will impact on the local communities and could result in a greater number of citizens and families living in poverty with higher rent arrears and a potential increase in homelessness presentations.</p> <p>Delays/disruption to distribution of goods/supplies through the supply chain due to increased regulation at ports/airports. Increased pressure on the capacity of the SRS Service (Environmental Health Officers) for the inspection of food at ports/airports.</p> <p>Contract/provider failure by delivery partners/contractors to deliver services on our behalf due to pressures from Brexit on their operational capacity.</p> <p>Lack of resilience amongst our partner organisations and the Third Sector in terms of their preparedness for Brexit and issues arising from it.</p> <p>Risk that the needs of vulnerable people are not met due to the uncertainty regarding our statutory responsibilities in relation to EU nationals for homelessness, housing and social care services.</p>
<b>Reputation</b>	Yes	<p>Reputational repercussions and loss of credibility as a result of failing in our Community Leader role to effectively communicate clear messages associated with the Brexit process.</p> <p>Reputational damage associated with failing to effectively support vulnerable groups/individuals through applying for EU Settled Status.</p> <p>Risk of civil unrest associated with Brexit as a result of poor communication, preparation, planning and liaison with key partners e.g. health, Police, Welsh Government impacts on the reputation of the Council.</p> <p>Loss of public confidence in our ability to deliver services effectively and sustainably post-Brexit.</p> <p>Loss of credibility as a result of handing back any unspent funding due to a lack of capacity to deliver EU grant funded schemes up until Brexit.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Resources</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Service Delivery &amp; Well-being</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Reputation</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Overall Inherent Risk Score</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>Director of Environment and Housing is a representative for the Council on local resilience form to make connections between council and other key regional partners.</li> <li>Developed strong links with the WLGA to access specialist advice and information.</li> </ul>	2	1	2
<b>Resources</b>	<ul style="list-style-type: none"> <li>Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>Commenced a Directorate-wide impact assessment of Brexit.</li> <li>Business Continuity Plans are being reviewed and updated for priority one services.</li> <li>Attendance at regular briefings.</li> <li>Links with the Welsh Government and WLGA regarding economic development.</li> </ul>	2	1	2
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>Commenced a Directorate-wide impact assessment of Brexit.</li> <li>Business Continuity Plans are being reviewed and updated for priority one services.</li> </ul>	1	1	

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> </ul>	1	1	1
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>1</b>	<b>2</b>

## 2.3 Residual Risk Scoring &amp; Direction of Travel

	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	3	12	2	1	2	2	3	6	N/A	↓
Resources	4	3	12	2	1	2	2	3	6	N/A	↓
Service Delivery & Well-being	4	3	12	1	1	1	4	3	12	N/A	↓
Reputation	4	3	12	1	1	1	4	3	12	N/A	↓
<b>Average risk score/ direction of travel</b>	4	3	12	2	1	2	3	3	9 (Medium/High)	N/A	↓

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Undertake a service specific assessment of impact of the 8 risks as defined by the Home Office and Local Resilience Forums in Wales.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	March 2019	Green (Completed)  Action completed and will be reflected as a control in the Register
ACTION UPDATE:		An Impact assessment based on the Home Office and Local Resilience Forum’s 8 risks has been completed. Each Head of Service has completed an assessment of how these risks overall in the context of business continuity may impact on their service area and the potential local and corporate actions that would be required to mitigate them.  The findings from this exercise have been compiled and a further Insight workshop is planned to analyse and understand the impact of these risks on business continuity and to identify common risk themes across service areas. The next stage will involve formalising these and identifying actions that can be progressed so that these risks may be appropriately managed.											
	Establish service area and council-wide actions to mitigate the eight areas of risk to Business Continuity identified as being relevant to Brexit.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	September 2019	N/A Action Not Due to commence until July 2019.

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:		A workshop has been scheduled for July to consider and review the cross-cutting risks associated with Brexit and what actions need to be taken within our service areas and more widely across the Council to mitigate their effects. The outcome of the workshop will provide the detail for inclusion in Business Continuity Plans as well as feed into the new Corporate Risk as well as inform any update required of the impact assessment for consideration by CMT.											
	Continue to attend regional and national briefings to ensure information on legislative changes are understood and individual actions are identified.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB		Green (Completed) Action completed and will be reflected as a control in the Register
ACTION UPDATE:		The Council continues to ensure that it maintains a high profile presence in all relevant discussions and briefings with regard to Brexit and its implications for legislative changes. The Council has established good links with the Welsh Government and WLGA in relation to this.											
	Update priority 1 Business Continuity Plans.	✓	✓	✓	✓	✓	✓	✓	✓	✓	All HoS	June 2019	Amber (Minor Slippage)
ACTION UPDATE:		90% of all priority 1 Business Continuity Plans have been completed. The remaining Plans are due to be completed/updated prior to a workshop session that is planned in July.											
	Undertake a Brexit Workshop with Insight Board to review the cross-cutting risks associated with Brexit	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	July 2019	N/A Action Not Due to commence until July 2019.



3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	and to identify and series of mitigating actions.												
<b>ACTION UPDATE:</b>		90% of all priority 1 Business Continuity Plans have been completed. The remaining Plans are due to be completed/updated prior to a workshop session that is planned in July.											
	Establish a mechanism for reporting and collating information/data on issues relating to Brexit.	✓	✓	✓	✓	✓	✓	✓	✓	✓	MP		<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>		Established a mechanism regionally for reporting and collating information/issues relating to Brexit. Any information is fed into and collated by South Wales Police, which is then forwarded to the Welsh Government's Emergency Control Centre. This approach has been tested and will be initiated as the exit date from the EU becomes clearer This approach has enabled an effective sharing and co-ordination of information across the region and a single point of contact across services for reporting in any issues such as food, fuel supplies etc.											
	Co-ordinate the delivery of a series of briefings to CMT and Cabinet by the WLGA.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	March 2019	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register

## 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:		The WLGA were invited to present a briefing to both Cabinet Members and Senior Management Team. These briefing sessions have facilitated how we have responded to the uncertainty to Brexit and have enabled us to put in place appropriate planning mechanisms.											