THE VALE OF GLAMORGAN COUNCIL

CABINET: 21ST OCTOBER, 2019

REFERENCE FROM AUDIT COMMITTEE – 3RD SEPTEMBER, 2019

"242   CORPORATE RISK REGISTER QUARTER 1 UPDATE (MD) –

The Head of Policy and Business Transformation presented an update on the Quarter 1 position of Corporate Risks for April 2019 to June 2019 of the risks contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report.

In response to feedback from Audit Committee in February 2019, the risk reporting format had been refreshed and the new report format had been substantially reduced in size and streamlined. Previously the covering risk report incorporated a detailed analysis of Corporate Risks in the covering report alongside a Risk Report and a detailed Risk Register.

The format of the new reporting incorporated the risk analysis in the body of the Risk Summary Report (Annex A) which provided a more concise way of flagging the headline issues and risk considerations. By separating this from the Corporate Risk Register itself, it enabled officers and Members to be able to have a good overview of the status of risks across the Register as well as the emerging issues whilst giving them the ability to drill down to the detail if required.

At the Audit Committee meeting in July 2019, information was requested relating to the Deprivation of Liberty Safeguards (DOLS) and Welsh Community Care Information System. More detailed commentary relating to those risks could be found in Annex A to provide additional information as requested.

In terms of risk reference CR13 – Welsh Community Care Information System (WCCIS) the Committee was advised that good progress had been made in implementing the Risk Management Plan which had resulted in the risk status reducing to medium. Members noted that several of the initial challenges had now been addressed including the transition and migration of information and data from the previous system to WCCIS and issues associated with the functionality and compatibility. In addition, strong progress continued to be made with the cleansing of data/information and a dedicated resource had been assigned to this. Using Intermediate Care Funding, the service had invested both time and resources in upskilling staff in order to build and enhance performance reporting and the service was now able to receive regular management information across all three Social Services Divisions. The service continued to work closely with the ICT Division to further improve the systems functionality and following cleansing, planned to implement the financial functionality of the system. The challenge going forward was the adoption of the system across a regional footprint with the Council partners. At present, the Vale of Glamorgan were the only partner in the region that had adopted

and fully implemented WCCIS, as both Cardiff Council and Cardiff and Vale University Health Board were awaiting approval before proceeding to signing the Deployment Order. In addition, the Council would be looking to implement the financial module in order to use of Residential placements. This work was being coordinated with Powys Council which already used that facility.

With regard to risk reference CR12 – Unauthorised Deprivation of Liberty Safeguards, the Operational Manager, Safeguarding & Service Outcome that the numbers awaiting an assessment had not changed and there had been a slight increase due to demographics. Nationally, Deprivation of Liberty Safeguards had been recognised as an ongoing challenge across health and social care services. The Mental Capacity (Amendment) Act had gained Royal Assent in May 2019 which sought to replace the current system by introducing a simpler process that would involve families more and give quicker access to assessments and so create less of a burden for people, carers, their families and local authorities. The proposed new scheme was the Liberty Protection Safeguards (LiPS). This would require a new approach which would take time to embed, resulting in a change to practice which was a risk as new codes had not yet been developed. The Operational Manager, Safeguarding & Service Outcomes advised that it was anticipated that there would still be a back-log of assessments, but the Council was maintaining good performance and a priority tool had been devised in order to identify and process priority cases.

A Committee Member stated that Deprivation of Liberty Safeguards was a big issue and he queried whether individuals were being fully represented during the process. In addition, the Member felt that more advocacy was required and he questioned whether the Council was using Deprivation of Liberty Safeguards correctly. In reply, the Operational Manager, Safeguarding & Service Outcomes stated that advocacy was part of the assessment process when authorising Deprivation of Liberty Safeguards (DoLS) which would involve the identification of a responsible person. In most cases, the Council would use an independent professional advocacy service whose staff would have undertaken a range of IMCA training regarding the rights of individuals. These were professional and not volunteers.

With regards to the issues of resources, the Director highlighted that since the Safeguards had been brought in over six years ago, then it was fair to say that the Council had not allocated sufficient resources. Most Social Services Departments were struggling to find a way to deal with increased demand. The key consideration was although a person maybe waiting for a DoLS assessment, this did not mean that there had not been a full care assessment carried out or a decision taken without the input of a relative or family member. The process was far more intense than sectioning a person under the Mental Health Act. The Director went on and stated that there was a balancing act, as managing personal risk was a legal requirement. The real risk related to a legal challenge being brought against the Council. The Director added that it may be unwise to move staff from other difficult roles.

Further to this query, a Committee Member queried the Red RAG status for DoLS, and asked whether this was a true reflection. In response, the Director stated that it had been recognised that this was a long term challenge which had been a struggle for the Council. There may be an overstatement of the risk, but this was a known

issue which needed to be addressed. The Director advised that it was difficult to fully assess the impact as it was hard to anticipate a ruling by the Courts. In addition, Deprivation of Liberty Safeguards had been put forward as a cost pressure and as a result additional resources had been allocated. It was important to recognise that attempts had been made to manage the issues, but the challenges were increasing which had also been highlighted by other local authorities; and so the Director considered it right for this to be outlined within the Risk Register, although the rating would be reconsidered alongside other risks at the next opportunity.

In relation to risk reference CR4 – Waste, a Committee Member queried the red RAG status given the 30% reduction in residual waste and as one of the top performance authorities in Wales. In reply, the Head of Policy and Business Transformation stated that this reflected the savings target attributed to the Department, and due to the complex changes being introduced such as source separation. This was also a reflection of the size and volume of the service, provided on a daily basis. In addition, the Operational Manager – Neighbourhood Services: Operations, outlined that the risk had increased due to escalating costs to process residual waste following a change in recycling provider which had highlighted a recent increase in contaminated waste. This was why the Council had introduced changes to the collection of recycled waste and the removal of plastic bags which had meant that more waste had been sent to the incinerators. The Committee agreed that Waste would be looked at in more detail at the next meeting.

Subsequently, it was

RESOLVED –

(1)   T H A T the Quarter 1 position of Corporate Risks for the period April 2019 – June 2019 as outlined in Annex A be noted.

(2)   T H A T the report be referred to Cabinet for its consideration and endorsement.

Reasons for decisions

(1)   Following consideration of the Quarter 1 position of Corporate Risks across the Council and to highlight emerging issues and actions taken as outlined in Annex A.

(2)   To ensure Cabinet receive a Quarter 1 position on the Corporate Risk Register and endorses the recommendations contained within this report."

Attached as Appendix – Report to Audit Committee: 3rd September, 2019

Meeting of:	**Audit Committee**
Date of Meeting:	**Monday, 02 September 2019**
Relevant Scrutiny Committee:	Corporate Performance and Resources
Report Title:	Corporate Risk Register Quarter 1 Update
Purpose of Report:	To update Audit Committee on the quarter 1 position of Corporate Risks for April 2019 - June 2019 of risks 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.

Executive Summary:

- This report provides members with an overview of the Corporate Risk Register for Quarter 1 (April 2019-June 2019). Following feedback from the Audit Committee, the reporting format for corporate risks has been streamlined with risk analysis being incorporated within the Risk Summary Report (Annex A). This enables officers and Members to better identify and understand trends and the cross-cutting nature of risk with the ability to drill down to the detail of risks as and when required.

The report recommends that Audit Committee:

- Note the quarter 1 position of corporate risks for the period April 2019- June 2019; and

- Refer the Risk Register to Cabinet for their consideration and endorsement.

Recommendations

1. Note the Quarter 1 position of corporate risks for the period April 2019-June 2019 as outlined in Annex A;

2. Refer this report to Cabinet for their consideration and endorsement.

Reasons for Recommendations

1. To identify the quarter 1 position of corporate risks across the Council and highlight any emerging issues and actions to be taken as outlined in Annex A.

2. To ensure Cabinet receives a quarter 1 position on the Corporate Risk Register and endorses the recommendations contained within this report.

1. Background

1.1 In response to feedback from Audit committee in February 2019, the risk reporting format has been refreshed and the new report format has been substantially reduced in size and streamlined. Previously the covering risk report incorporated a detailed analysis of Corporate Risks in the cover report alongside a Risk Report and a detailed Risk Register.

1.2 The format of the new reporting incorporates the risk analysis in the body of the Risk Summary Report (Annex A) which provides a more concise way of flagging the headline issues and risk considerations. By separating this from the Corporate Risk Register itself, it enables officers and Members to be able to have a good overview of the status of risks across the Register as well as the emerging issues whilst giving them the ability to drill down to the detail if required.

1.3 At the Audit Committee meeting in July 2019, information was requested relating to the Deprivation of Liberty Safeguards (DOLS) and Welsh Community Care Information System. More detailed commentary relating to these risks can be found in Annex A to provide additional information as requested.

2. Key Issues for Consideration

2.1 The Corporate Risk Summary Report is split into 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.

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 each of 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 officers and members can drill down to the detail of individual risks in the Register quickly and easily by using the Document Link to the relevant Appendices in the report.

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 and provides an outline of the direction of travel for 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 risk category enabling a better understanding of the inter-relationship between risk thematics. This also enables officers and members to view risk in a more cross-cutting/strategic light to identify if there is any need to address facets of risk through council-wide mitigating 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 aligned to each Corporate Risk that will contain a series of actions to help mitigate the risk. By monitoring the status of these Risk Management Plans and in particular the RAG status of the mitigating actions we are able to identify areas where progress against actions are having a positive effect on the risk or in some cases is having little effect. Equally the Risk Management Plan enables officers and members to flag risks where progress against actions has been slow/which may warrant further investigation.

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 RAG status and provides the corresponding commentary relating to that quarter.

2.9 **Section 7 Risk Scoring Definitions**: This section explains the risk scoring definitions in terms of what is meant by a inherent, residual and effectiveness of control risk score. It also outlines the risk scoring matrix that is used to score residual risk and a risk scoring mechanism for scoring the effectiveness of our controls.

2.10 Attached at **Annex A** is the **Quarter 1 Risk Summary Report**.

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 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 Manging 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 **Annex B**

Corporate Risk Management Strategy

VALE OF GLAMORGAN COUNCIL

CORPORATE RISK SUMMARY REPORT

QUARTER 1 APRIL 2019- JUNE 2019

CORPORATE RISK EXECUTIVE SUMMARY:

Overview:

There are 14 corporate risks on the Register **(see Section 1).**

Risk Statuses:

- 1 risk scored high, 2 risk scored medium/high, 10 risks scored medium and 1 risk scored medium/low.
- The position of risks on the Register has remained largely unchanged, with the exception of the Waste risk that has been escalated from a medium (6) position to a medium/high (8) status and the WCCIS risk that has dropped from a medium/high (8) to a medium (6) status. **(See Section 2)**

Direction of Travel:

- The majority of risks on the Register have remained static. The Waste risk score has increased from a score of six (medium) to a score of eight, giving it a medium/high status.
- Despite good progress being made during the quarter in delivering the Risk Management Plan and its associated mitigating actions the service continues to be under significant budgetary pressures this year, which could impact on our ability to deliver our Waste Strategy effectively.
- The scale of service transformation required over the forthcoming year in relation to source segregation recycling collections is significant. As source segregation will be rolled out on a phased basis starting in the rural Vale during quarter 3 2019/20, two types of vehicle will need to be used that will lead to potentially higher costs, placing pressure on our resources.
- The WCCIS risk has dropped from a medium/high (8) status to a medium (6) reflecting the good progress that has been in made in relation enhancing skillsets of staff and the development of the system. **(See Section 2)**

Forecast Direction of Travel:

- The Reshaping Services risk is 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 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. **(See Section 2)**

Risk Management Plans:

- Overall strong progress has been made during Quarter 1 in relation to the actions associated with the Risk Management Plans across all aspects of the Register.
- In total there are 158 mitigating actions currently being monitored via the Register, the majority of which are linked to a Corporate Plan activity. During quarter 1, we have been able to assign a RAG status to 156 of these mitigating actions. (See Section 5)
- During quarter 1, a total of 5.1% actions (8) were completed, 89.1% (139) were on track and allocated a Green status. 3.9% (6) of actions were allocated an amber status for minor slippage and 1.9% (3) slipped and were allocated a red status. A breakdown of these individual exceptions is provided in **Section 6**.

Emerging risks and issues:

- **WCCIS Update**-Good progress has been made in implementing the Risk Management Plan which has resulted in the risk status reducing to medium this quarter. Several of the initial challenges associated with this risk have now been addressed i.e. the transition and migration of information and data from the previous SWIFT system to WCCIS and issues associated with the functionality and compatibility. Strong progress continues to be made with the cleansing of data/information and we now have a dedicated resource for this. Using ICF funding have invested both time and resources in upskilling our staff in order to build and enhance our performance reporting via WCCIS and we are now receiving regular management information across all three Social Services divisions. We continue to work closely with the ICT division to further improve the system's functionality and following cleansing, plan to implement the financial functionality of the system. The challenge going forward is the adoption of this system across a regional footprint with our partners. At present we are the only partner in the region that has adopted and fully implemented WCCIS, as both Cardiff Council and the Cardiff and Vale University Health Board are awaiting approval before proceeding to signing the deployment order.

- **DoLS Update**- We have continued to respond positively to the resource challenges associated with DoLS by implementing the findings and recommendations that arose from the recent business improvement review. We have done this in conjunction with the ongoing prioritisation of cases based on levels of risk and deprivation using our effective case management system. More recently we have secured additional legal resource that will give us added capacity to process applications to Court in a more timely way. Despite these improvements, this risk continues to maintain its high status because we continue to experience high levels of demand for these assessments. Nationally DoLS is recognised as an ongoing challenge across health and social care services. The Mental Capacity (Amendment) Act gained royal assent in May 2019 which seeks to replace the current system by introducing a simpler process that will involve families more and give quicker access to assessments and create less of a burden for people, carers, their families and local authorities. The proposed new scheme is the Liberty Protection Safeguards (LiPS) that will apply to any health and social care setting and not just care homes and hospitals, anyone over 16 years old and will introduce a two-tier system of protection. In most cases, the responsible body (local authority/NHS) would conduct a capacity assessment and an Approved Mental Capacity Professional (replacing the Best Interests Assessor Role) would only be involved in cases where a person objected to their care arrangements. The new Act also broadens the scope to treat people and deprive them of their liberty, in a medical emergency without gaining prior authorisation. It is hoped the LiPS scheme will help to address the resource /capacity issues, but once this legislation comes into force (anticipated Spring 2020), we will need to ensure our service complies with the new requirements. A revised Mental Capacity (Amendment) Act Code of Practice is due to be published which it is hoped will provide greater clarity to how the LiPS will work in practice. Therefore, over this coming year our focus will shift onto reviewing our service to identify our readiness for these changes and to work with legal services to gain advice on the next steps of implementation.

That Audit Committee:
- Note the Quarter 1 position of Corporate Risks for the period April 2019-June 2019.
- Refer the Risk Register to Cabinet for consideration and endorsement.

SECTION 1: RISK DESCRIPTIONS

Risk Ref	Risk	Scope
CR1	**Reshaping Services** **Appendix 1**	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	**Legislative Change & Local Government Reform** **Appendix 2**	Inability to appropriately respond/adapt to new and emerging legislative change and reform developments across the breadth of Council services.
CR3	**School Reorganisation & Investment** **Appendix 3**	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 '21st 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	**Waste** **Appendix 4**	Failure to meet the national waste agenda and its associated targets.
CR5	**Workforce Needs** **Appendix 5**	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	**Information Security** **Appendix 6**	Failure to implement adequate information management controls and systems across the Council.
CR7	**Environmental Sustainability** **Appendix 7**	Failure to reduce our carbon foot print and mitigate against the impact/effects of climate change.
CR8	**Welfare Reform** **Appendix 8**	Roll out of Welfare Reform programme has a detrimental financial and social impact on residents.
CR9	**Public Buildings Compliance** **Appendix 9**	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	**Safeguarding** **Appendix 10**	Failure to meet our statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.
CR11	**Integrated Health & Social Care** **Appendix 11**	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	**Unauthorised Deprivation of Liberty Safeguards** **Appendix 12**	Failure to effectively safeguard adults who are at risk of deprivation of liberty.
CR13	**Welsh Community Care Information System (WCCIS)** **Appendix 13**	Failure to fully maximise and mobilise WCCIS functionality to ensure full implementation/development of the system across Social Services.
CR14	**Brexit** **Appendix 14**	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. A definition of the risk matrix and effective of control scoring is outlined in **Section 7** of this report.

Risk Ref	Risk	Inherent Risk Score	Effectiveness of Controls score	Residual Risk Score			Direction of Travel[1]	Forecast Direction of Travel[2]
				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)	2 (M/L)	4	2	**8 (M/H)**	↑	↔
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	Welsh Community Care Information System (WCCIS)	16 (VH)	2 (L)	2	3	**6 (M)**	↓	↔
14	Brexit	12 (H)	2 (L)	3	3	**9 (M/H)**	↔	↔

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[1]

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.

[2] **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 1 shows that the greatest number of risks congregate at medium status.
- Deprivation of Liberty Safeguards remains High (12) status.
- The Waste risk has escalated to medium/high position (8) from a medium status.
- The Welsh Community Care Information System risk has dropped to a Medium (6) status.
- Safeguarding has maintained its Medium/Low (3) 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. The South Wales Local Resilience Forum, CMT, Insight and a cross-directorate working group continue to maintain a watching brief on developments and have put in place appropriate actions in response to any emerging issues.
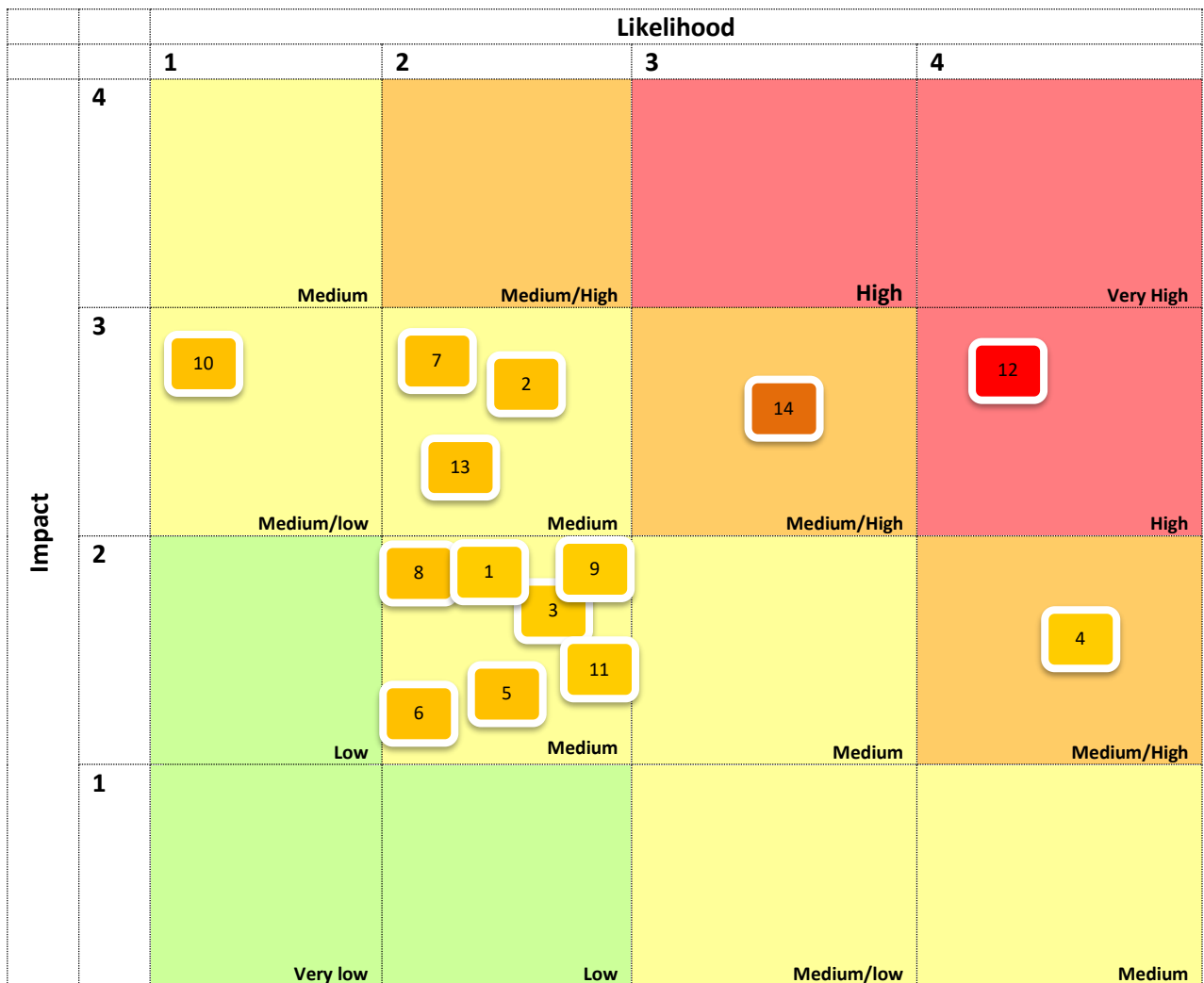
Risk Reference Glossary			
1	Reshaping Services	8	Welfare Reform
2	Legislative Change and Local Government	9	Public Buildings Compliance
3	School Reorganisation & Investment	10	Safeguarding
4	Waste	11	Integrated Health and Social Care
5	Workforce Needs	12	Unauthorised Deprivation of Liberty
6	Information Security	13	WCCIS
7	Environmental Sustainability	14	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 risks continue to congregate around medium across all risk categories.
- There is a greater concentration of amber status (medium/high) risks in relation to resources and reputation-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).
- The waste risk has been placed in the high category quadrant (with a residual score of 12) in relation to the resources category that recognises the budgetary pressures the service is under in delivering its Waste Strategy.
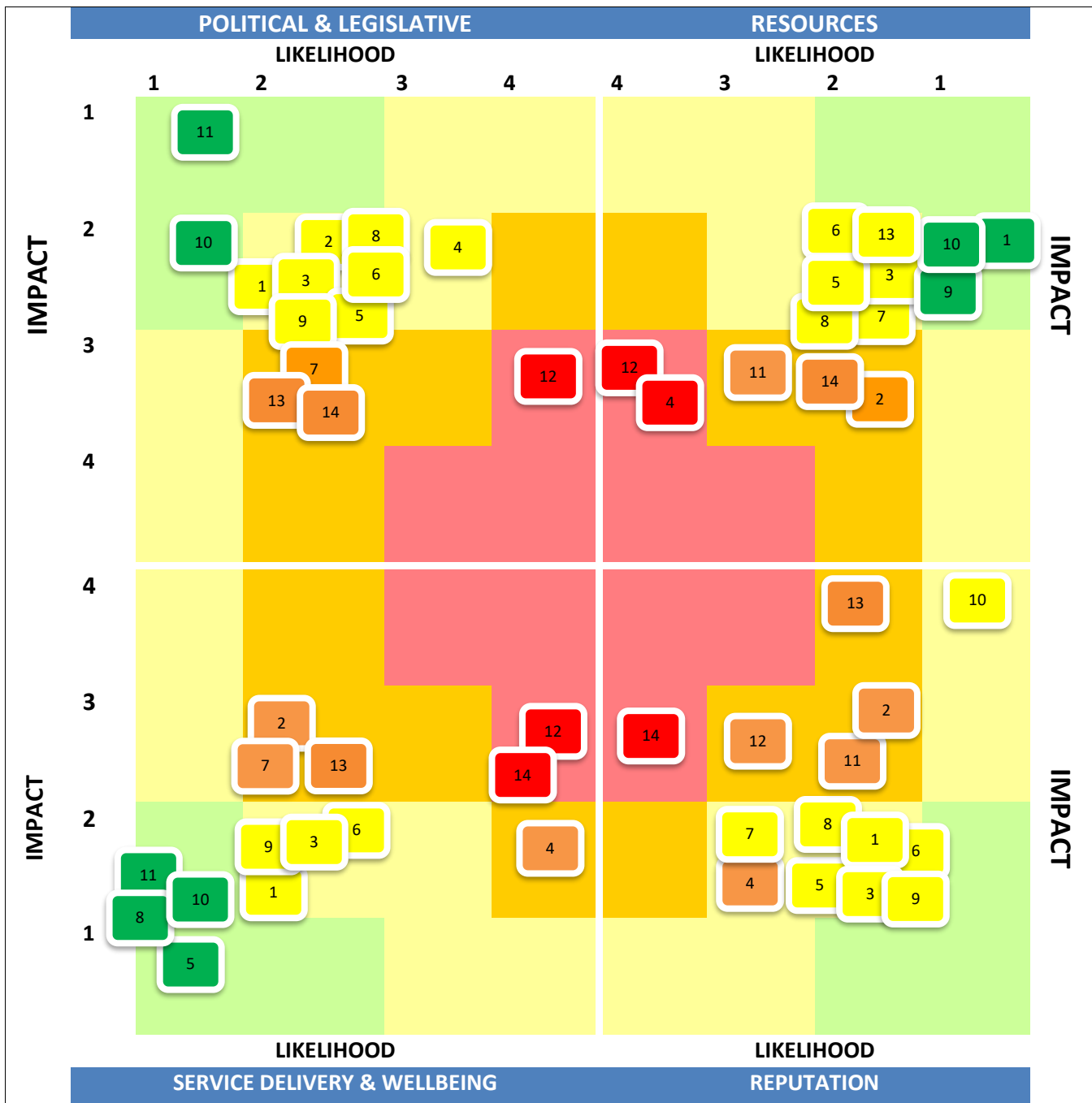
SECTION 5: RISK MANAGEMENT PLAN- RAG STATUS OVERVIEW

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

- 94.2% (147) of actions were allocated a Green status (either completed or on track for completion), 3.9% (6) were given an Amber status and 1.9% (3) were allocated a red status at Quarter 1.
- 100% of risk actions contained in the Risk Management Plan for CR1: Reshaping, CR2: Legislative Change & Local Government Reform, CR5: Workforce, CR9: Public Buildings Compliance, CR12: Deprivation of Liberty Safeguards and CR13: WCCIS have been completed or are on track for completion so have been allocated a green status.

Corporate Risk			RAG Status		Total number of Actions	Total number of actions where RAG is applicable.
	Completed (On track)	Green (On track)	Amber (Minor Slippage)	Red (Slippage)		
CR1: Reshaping Services	7% (1)	93% (13)	N/A	N/A	14	14
CR2: Legislative Change & Local Government Reform	N/A	100% (28)	N/A	N/A	28	28
CR3: School Reorganisation & Investment	N/A	100% (6)	N/A	N/A	6	6
CR4: Waste	N/A	90% (9)	N/A	10% (1)	10	10
CR5: Workforce Needs	N/A	100% (15)	N/A	N/A	16	15
CR6: Information Security	N/A	90% (9)	N/A	10% (1)	10	10
CR7: Environmental Sustainability	18.2% (4)	77.3% (17)	4.5% (1)	N/A	22	22
CR8: Welfare Reform	N/A	86% (6)	N/A	14% (1)	7	7
CR9: Public Building Compliance	N/A	100% (8)	N/A	N/A	8	8
CR10:Safeguarding	10% (1)	80% (8)	10% (1)	N/A	11	10
CR11: Integrated Health & Social Care	N/A	87.5% (14)	12.5% (2)	N/A	16	16
CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs)	100% (1)	N/A	N/A	N/A	3	1
CR13: Welsh Community Care Information System (WCCIS)	N/A	100% (3)	N/A	N/A	3	3
CR14: Brexit	16.7% (1)	50% (3)	33.3% (2)	N/A	6	6
Totals	5.1% (8)	89.1% (139)	3.9% (6)	1.9% (3)	158	156

SECTION 6: RISK ACTION EXCEPTIONS (RED STATUS)

Risk	Action Ref/Description	Commentary
CR4: Waste Management	N/S072: Consider options to bring Household Waste Recycling Centre sites back in-house during 2019 or 2020.	Priority this year to rolling out the blue print. Therefore, action on this unlikely until Quarter 3.
CR6: Information Security.	DS/IT051: Review the Vale of Glamorgan's Retention Policy.	This work is intended to be undertaken late Summer with it anticipated to outturn on target by the year end.
CR8: Welfare Reform	HS/A076: Develop a co-ordinated approach to tackling fuel poverty recognising the expertise and contribution of Registered Social Landlords towards achieving this goal.	No progress has been made yet in terms of establishing a group or coordinated approach to tackling fuel poverty. This will be prioritised in the next three months.

SECTION 7: Risk Scoring Definitions

Inherent and Residual Risk Scoring

The Inherent Risk defines the risk score in a pre-control environment i.e. what the risk would look like (score) without any controls in place to manage the risk. The Residual Risk can be defined as the subsequent risk score as a consequence of applying controls to mitigate this risk.

Both inherent and residual risks are defined by two variables the Likelihood of the risk occurring and the Possible impact of that risk occurring. The higher the score allocated for the risk the higher the overall risk status.

See matrix below:

Possible Impact or Magnitude of Risk					
	Catastrophic	4 MEDIUM	8 MEDIUM/HIGH	12 HIGH	16 VERY HIGH
	High	3 MEDIUM/LOW	6 MEDIUM	9 MEDIUM/HIGH	12 HIGH
	Medium	2 LOW	4 MEDIUM	6 MEDIUM	8 MEDIUM/HIGH
	Low	1 VERY LOW	2 LOW	3 MEDIUM/LOW	4 MEDIUM
Low 1-2 / Low/Medium 3 / Medium 4-6 / Medium/High 8-10 / High 12-16		Very Unlikely	Possible	Probable	Almost Certain
		Likelihood/Probability of Risk Occurring			

Effectiveness of Controls Score

Controls can be scored 0-4 in terms of their effectiveness at controlling risk in terms of likelihood and impact. Zero implies poor control of the risk whereas a four would suggest controls in place are highly effective. This is based on scoring how effective the controls are at reducing a) the likelihood of and b) the impact of the risk. See table below

Score	Effectiveness of control
0	Very Low control of the risk
1	Low control of the risk
2	Medium control of the risk
3	High control of the risk
4	Very high control of the risk

RISK REGISTER (SEE ANNEX B)

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

VALE OF GLAMORGAN COUNCIL

CORPORATE RISK REGISTER

QUARTER 1 APRIL 2019- JUNE 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**

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.

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.

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.

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
Political & Legislative	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.
Resources	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**
		Fail to develop and mobilise sufficient skills and capacity to develop and deliver the Programme and manage new ways of working. Failure to maximise the use of our existing assets and technology to deliver services in a cost effective and efficient way.
Service Delivery and Wellbeing	Yes	Fail to maximise opportunities to improve service delivery and mitigate the impact of budget reductions via alternative methods of service delivery. 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. The programme fails to communicate and engage effectively with service users and partners to identify and deliver the alternative ways of working.
Reputation	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**
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	3 (Probable)	3 (High)	**9 (Medium/High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**9 (Medium/High)**
Reputation	3 (Probable)	3 (High)	**9 (Medium/High)**
Overall Inherent Risk Score	3 (Probable)	3 (High)	**9 (Medium/High)**

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Challenge process in place to identify projects. • Mixed economy model approach to Reshaping approved. • Tranche 3 projects of corporate nature to lessen impact on front line services. • Risk management processes embedded in project management to identify and mitigate impacts on service users. • Programme documentation makes linkages with Well-being of Future Generations Act.	2	2	4
Resources	• Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees. • Programme board and manager in place, with project team resources considered for each project. • Council's Financial Resilience considered good by WAO. • Business cases developed for projects and guidance in place for • The management development programme has concentrated on the introduction of the core competency and management competency frameworks. • 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. • 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. • Website refresh - a new web design was launched in November 2018. Office 365 - the development team are moving towards	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	a technical solution for the implementation across the Organisation. • 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. • 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. • 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. • Delivery of Space project work for 2018/19 has been completed. • Our in-house Residential Care Services have been reshaped and all temporary posts have been changed to permanent peripatetic posts during December 2018. • The Environmental Information Request Policy was implemented this quarter as approved by Cabinet on 3rd October, 2018. • New fee structure for Registration Services was considered and approved by Cabinet. • Revised ceremony fees have been established for Registrar Services.			
Service Delivery & Well-being	• Business cases consider non-financial implications of any proposed changes. • Equality Impact Assessments embedded within the overall programme's management approach. • Communications and engagement activities inform project development. • A review of the bulky collections process and online booking solutions has been	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	undertaken; a new process is expected to be launched in 2018/19 with a significantly improved customer experience. • 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. • Supported Accommodation provision at Rhoose Road has been established. One person moved in and plans for two further people are in place.			
Reputation	• Risk management contained within project documentation. • Regular updates to Cabinet and Programme Board on status of the programme. • Consultation on the Council's budget annually includes questions relating to the approach being taken on Reshaping Services. • Programme Board includes representatives of partners (Voluntary Sector and Town & Community Councils) • Communications campaign to support the Strong Communities Grant Fund where there is a sound business case for the Council to transfer assets to others.	2	2	4
Overall Effectiveness of Controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & Direction of Travel										Direction of Travel	Forecast Direction of Travel
Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score				
	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	↔	↔
Average risk score/ direction of travel	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			
PD/F067 NS/F001 NS/F018 SL/F024	Progress proposals via the Reshaping Programme, seek Cabinet approval for Business Cases as required and implement approved projects where appropriate.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/ER	March 2020	**Green (On Track)**
ACTION UPDATE:	During Q1, work has commenced on the delivery of tranche 4 projects. An update was provided to Cabinet in March 2019 on the forthcoming work for the year. The composition of the Programme Board has been changed to include Corporate Management Team and the Cabinet, with a new All Projects Summary Highlight Report format providing greater detail regarding the delivery of projects, and associated savings. Reports to Cabinet will be progressed as appropriate throughout the year. Outlined below is a summary of the progression of some of these proposals. In relation to Neighbourhood Services, the business transformation of parking and school transport and any commercial opportunities continue to be progressed. Reports on a Parking Policy, School Transport and Single use Sports clubs have been prepared but as a result of consultation further reports are required for Parking Policy, School Transport and Single Use Sports Clubs. A camera car will be purchased following receipt of capital funding for 2019/20 to support parking enforcement. Resourcing issues have been flagged by an officer as the budget is predicted to significant overspend. In relation to Strategy, Community Learning & Resources, the Local Authority Trading Company (Catering) is developing. Final pension costs from Cardiff & Vale and asset information is awaited to finalise the Business Plan. Incorporation at Companies House will proceed during August 2019. Recommendations for the Cabinet Report will accompany the Business Plan for the go ahead to 'spin out' the new company.												

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			
PD/F068 HS/F048 DS/F040 RP/F049 AS/F042 RM/F023 SL/F062 SL/F063 CS/F031	Develop and deliver Tranche 4 projects for the Reshaping Services programme and seek Cabinet approval for business cases as required.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/MI/JR	March 2020	**Green (On Track)**
ACTION UPDATE:	During Q1, work has commenced on the delivery of tranche 4 projects. An update was provided to Cabinet in March 2019 on the forthcoming work for the year. The composition of the Programme Board has been changed to include Corporate Management Team and the Cabinet, with a new All Projects Summary Highlight Report format providing greater detail regarding the delivery of projects, and associated savings. Reports to Cabinet will be progressed as appropriate throughout the year. The Reshaping Service team continue to work with a range of service areas in order to identify efficiencies and possible savings and progressing Tranche 4 projects. Summarised below are some key project areas that have been progressed during quarter 1. In relation to Democratic Services, the Records Management Unit (£7k) and Registration Services Lease (£6K) savings have been achieved. Within Social Services, the Reshaping Services Team regularly meets to discuss budgets and reshaping opportunities. This is monitored through the Directorate's Budget Programme Board. Currently we are on track for delivery of current Reshaping Projects and we are working on plans to continue to deliver in future years. In Strategy, Community Learning & Resources, Legal, financial, procurement and HR advice for contractual and procurement arrangements has been reviewed and is available on schools net. During this financial year, work is planned to consider existing service level agreements with schools for council services. A project board has been established in relation to Strategy Community Learning and Resources Tranche 4 programmes and has met twice. An audit of existing service delivery models across Wales is currently being undertaken.												

CR1: Reshaping Services

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			
PD/F069 PD/SR/001 **Digital:** PD/IT076 PD/IT077 PD/IT078 HS/IT050 HS/IT054 DS/IT044 AS/IT038 AS/IT052 **Third Party Spend/Procurement:** FIT/F047 FIT/A026 DS/F021 LS/F040 **Income Generation:** FIT/F008	Continue to progress work on Digital Vale, Third Party Spend, Income Generation and Commercial Opportunities for the Reshaping Services programme and seek Cabinet approval for business cases as required.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/MI/CL /ER/JR/ DM	March 2020	**Green (On Track)**

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			
DS/F041 NS/F020 NS/F021 LS/F041 RP/F018 HR/F063 RM/F024													
ACTION UPDATE:	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. **Digital:** The Digital Vale work is continuing, with a focus on digital customer (via work on the website to encourage channel shift) and digital employee (with the introduction of a new digital recruitment system). In relation to Housing and Building Services, The Customer Portal is now 'live' and over 50 tenants have registered to use the service. It continues to be promoted via social media, the Gov Delivery email subscription service and on standard correspondence e.g. rent letters, statements etc. Further promotion of this will continue throughout the year and should drive increases in the number of tenants using the service. A Housing representative sits on the Corporate group- looking at the digital customer and a request has been made for 'Housing' to be used as a pilot for further digitalisation of services. Two areas in particular are very straightforward transactions which are high volume and would lead themselves to being delivered online, namely bidding for homes in the Homes4U scheme and reporting/ booking repairs. Subject to agreement of the group and to sufficient resources being available in the ICT Web Services team- there is potential to develop these digital services further. In relation to developing a Digital Transformation Strategy, there is insufficient capacity and expertise in-house to progress this. A procurement exercise has been commenced to commission this piece of work. A specification has been developed and expressions of interest are currently being requested. In relation to Democratic Services, work on considering the future use of the Records Management Unit has not been taken forward due to the revenue cost implications. Within Adult Service, there has been ongoing work with staff to support agile working, with a view to complete assessments/reviews on-line in-service users own homes. Introduction of a pilot with Learning Disability Day Opportunities users to record their own												

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			
	profiles – 'SeeMe' project - which is how they wish to be supported, what's important to them and their preferences. In terms of exploring the use of technology to support payment of service, Telecare remains a key target area. We are currently revising our charging structure at present and need to gain approval before we proceed further with promoting this method of payment. **Third Party Spend/Procurement:** In addition to the Programme Management activity underway, monitoring arrangements have been put in place to progress the 3rd Party Spend project and accountants are supporting services to realise these savings. Within Finance, ICT & Property, savings have been identified in Finance and the service is currently on track to make the required reductions. In relation to the roll out of digital procurement and invoicing across the Council, there has been some slippage during quarter 1, but this will be prioritised during quarter 2. In relation to procuring and implementing a Hybrid Mail solution, a system has been selected following the completion of a procurement exercise. Discussions will commence during quarter 2 to initiate the project and proof of concept. **Income Generation:** During the quarter we have explored and implemented new ways of generating income. Work on the Income Generations and Commercial Opportunities programme continues, monitoring those in-year projects associated with income generation and in developing further schemes for consideration to contribute to future tranches of Reshaping activity. For example, work is progressing with the Business Improvement Team to identify options for increasing income from weddings and ceremonies, which is being overseen by the Income Generation Board. In Neighbourhood Services, significant progress has been made in relation to the 8 bowls clubs currently using Council facilities with the proposed asset transfers planned for 1st October 2019. Issues remain with other outdoor sites, particularly in relation to public open spaces and will not be completed within the year. In relation to Legal Services, during Q1 work has continued to be insourced into Legal Services by Cardiff Council, in respect of Children Services legal work and 14 litter enforcement cases. Work has also continued on behalf of Merthyr Tydfil County Borough Council in preparing Tree Preservation Orders. Within Human Resources, Following the introduction of our new DBS E-Bulk system, work has commenced in Q1 to promote our DBS Umbrella Body Service. Work has begun with promoting to Childminder and Playgroups, with further advertising planned for Q2. Work in relation to the implementation of discretionary charging for Social Care services continues to be progressed. During quarter1, legal surgeries have been put in place,												

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			
	charging letters have been issued, our processes have been reviewed and updated and our public leaflets have been refreshed and updated to raise awareness of these service changes.												
PD/C041 FIT/IT044 AS/F043 RM/IT025 SL/F059 AA/C026 AA/A044	Continue to develop and contribute to the corporate projects workstreams including Town and Community Councils, Voluntary and Third Sector, Demand Management and Effectiveness of Spend.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/JR	March 2020	**Green (On Track)**
ACTION UPDATE:	**Town and Community Councils.** Work has continued on the corporate project workstreams. Preparations were well advanced in Q1 for a workshop with Town and Community Councils to be held in July 2019 to discuss future working relationships. Work on revising the Charter with town and community councils is also reaching a conclusion and will be informed by the workshop. The work with the voluntary sector is being led by a review of funding arrangements, in accordance with guidance from the WAO. This is due to be discussed at the Voluntary Sector Joint Liaison Committee in July, where proposals to focus activity around an area of Reshaping Services (for example, volunteering) will be explored. **Demand Management** Work is continuing to review integration opportunities with cloud and on-premise systems / applications. Certain blockers have been identified and a project team has been convened to look at how these integration blockers (Oracle) can be removed. Other cloud systems are being reviewed in Visible Services, Housing and Council Tax & Benefits Services. In relation to managing demand for our care packages, the OM for Commissioning and Information in the Resource, Management and Safeguarding Division has worked in partnership with the OM for Customer Relation to commence work on developing a new dashboard for monitoring of care packages. In relation to managing demand for placements for pupils with Autistic Spectrum												

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			
	Disorders (ASD), and complex social emotional and behavioural difficulties links have been developed with outside providers to support an enhanced range of education provision to Vale students. Early discussions about KS3&4 resource base provision have started. There are some early discussions about increasing the number of Vale LA maintained special school placements for pupils with ASD (new school). **Voluntary & Third Sector** Strategy, Community Learning & Resources continues to support the 'Friends of Arts Central' and 'Friends of Library Groups' to encourage them to play an active role in delivering sustainable services. Within Achievement for All we have continued to extend our work with voluntary sector, private and public bodies to enhance the EOTAS provision in the Vale. A weekly update is undertaken including developing provision for wellbeing students with inspired learners, to developing the Academy 21 or C&V online tutoring services linked to other training providers and services for Y Daith. This is an ongoing development based on funding and need but will be developed further by the EOTAS contracts manager in developing a brochure of EOTAS services that are contracted.												
PD/F070	Develop proposals for Tranches 5 and 6 for Reshaping Services programme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020	**Green (On Track)**
ACTION UPDATE:	During Q1 a workshop with Chief Officers was held which brought together the ideas elicited from the baseline assessment update process which has been underway since September 2018. Six themes of reshaping activity have been identified and these will be explored at the Member Expo in Q2. Work will then commence in the summer to identify specific schemes for tranche 5.												
PD/F072 FIT/F043 LS/F039 RP/F017 HR/F062	Contribute to delivering service efficiencies and savings to support the Council's Reshaping Services Programme. This includes delivering the work to ensure the service contributes to finding the savings required for the Resources Directorate.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/CL/DM	March 2020	**Green (On Track)**

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/F042 AA/F027													
ACTION PLAN:	Work has continued to manage the budget effectively within the service to contribute to savings across the Directorate. Within Finance, ICT and Property, the required savings have been identified within Finance for the current financial year. Legal and Democratic Savings have been allocated and the budgets amended accordingly. Within Regeneration & Planning, the service continues to work with the reshaping team to identify efficiencies and possible savings. This work is an ongoing process and will be undertaken throughout 19/20. The Human Resources division has worked with the MD and Directorate Management Team and the HR & OD team to explore and deliver the identified Directorate savings and we continue to review opportunities. The revised HR management structure has been developed and the post of Operational Manager HR has been deleted with the selection process for post of Head of HR and OD being conducted during Q1. Savings have been accrued during the period of the vacancy (July 2018 to date). Within Strategy, Community Learning & Resources, we are reviewing the functions of the service, specifically with regard to the use of ONE rather than printed documents for formal meetings.												
PD/AM073 FIT/AM055 FIT/AM003 NS/AM011	Agree and progress delivery of the next phase of SPACE project to improve efficiency in the way services operate and deliver financial savings. Continue to review office and non-office accommodation, facilities management and corporate buildings as part of the next phase of the SPACE project. Work towards operating from one depot at the Alps with satellite parking areas.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/CL/LC/ ER	March 2020	**Green (On Track)**

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 next phase of the space project is moving forward with the commencement of desk utilisation studies using electronic data capture devices. Approval was sought to commence occupancy studies at the Docks Office, starting in Q2. This will utilise desk occupancy sensors to gather data to inform future space planning requirements. Dock offices studies will be completed by mid-September with the Civic Offices to follow. The Court Road reception will close in Quarter 2 with only essential depot business taking place at this location. Further review of staff that are required to operate from Court Road is planned in Quarters 3 / 4.												
FIT/AM029 RP/AM036 RP/AM042	Work with owning departments to identify and progress the disposal of key disposal sites.										CL/LC/ER	March 2020	**Green (On Track)**
FIT/AM030	Work with service departments to identify underperforming/inefficient assets, which following an options assessment could be made surplus.													
NS/AM012	Rationalisation of Civic Depots and other redundant assets.													

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:	Reports on the potential disposals of sites, continue to be presented to Insight Board. The newly formed Asset Review Group have commenced the area by area asset review commencing with the St Brides Major Ward. The conclusions and recommendations of this Group will be reported to the Reshaping Assets Board and Insight Boards at appropriate times. South Lodge will be marketed imminently, and work is progressing on the marketing details for the former TIC offices, Barry Island. Sites at the IQ, Waterfront are being progressed, with the Hood Road Goods shed nearing completion. Tenders will be sought in quarter 3 for alternative uses for assets including those located at Romilly Park, South Lodge Penarth, Former Mess Rooms, Penarth Clifftop.												
HR/F059 HR/W015	Provide support for managers in relation to specific Reshaping Projects in 2019/20 with an emphasis on managing change. And continue to contribute to organisational change as part of the Reshaping Services Agenda and HR implications that may arise as a result.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AU/JB/SA	March 2020	**Green (On Track)**
ACTION UPDATE:	The HR Business Partnership continue to build business relationships with their allocated managers and to support Change Management exercises. Support has been available throughout Q1, some of the on-going projects and highlights include; the potential transfer of Civil and Parking Enforcement and CCTV, continued support to the Shared Audit Service to explore a new structure for the Service receptive to the collaboration as well as the Catering Project as well as support to realise the HR senior leadership offering. The HR Business Partnership team continue to work with Managers and our Reshaping Services team to explore opportunities to achieve corporate objectives and measures to achieve more for less. Structures as well as informal trade union engagement and consultation is a key activity o fetch Team to keep the unions abreast of current and potential new projects. Meetings of the joint Change Forum, Terms and Conditions as well as Directorate JCF are supported by HR Business Partners to support the change process.												

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			
PD/AM075	Explore and promote further opportunities for Community Asset Transfers informed by the revised Community Asset Transfer model.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020	**Green (On Track)**
FIT/AM031	Work with service departments to maximise opportunities for Community Asset Transfers where appropriate.										LC		
DS/AM045	Continue to co-ordinate the CAT transfer process corporately.										JR		
NS/C019	Transfer the responsibility of single use outdoor sports facilities to clubs/organisations.												
ACTION UPDATE:	During July the CAT guidance will be revised in light of discussions to date and this will be used to inform further discussions with the Community Liaison Committee in October. During quarter 1, Cabinet approved the transfer of Wick Memorial to the community. Further asset transfer opportunities will be discussed at the cross-service assets review group on a monthly basis and at the CAT working group as the need arises and applications come in for consideration. The first tranche of Bowls clubs is progressing for transfer on 1st October 2019. Issues needs resolving regarding public open space for future transfers.												
PD/C074 PD/C080	Explore emerging collaborative opportunities arising for appropriate council services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020	**Green (On Track)**

CR1: Reshaping Services

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:	Work has continued to identify opportunities for collaboration as part of the development of future tranches of Reshaping Services projects. In particular, collaborative work has been progressed by the Contact Centre in relation to bringing in the final areas of the SRS service for Cardiff to ensure full-service coverage across Cardiff and Vale for SRS services. During quarter 1, all services within scope were successfully transferred over. Health & Safety was the last area transferred over during May (Qtr1).												
FIT/F002 LS/F049	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. Ensure appropriate resourcing for Reshaping Services projects in order to achieve transformational change.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CL/DM	March 2020	**Green (On Track)**
ACTION UPDATE:	Finance continues to be represented on the relevant Boards and Working Groups that are overseeing the progress against all the initiatives within the Reshaping Services Programme. During Q1 where there has been a lack of training and skills within Legal Services to meet the demand for the legal advice/service, advice has been sourced either through training opportunities to plug any knowledge gap, and where necessary and appropriate utilise resource within Legal Services as required to meet the demand for advice and guidance by Legal Services.												
FIT/W048	Maximise opportunities for agile working across the Council in line with the Reshaping Services Programme.	☑	☑	☑	☑	☑		☑	☑	☑	NW/RH	March 2020	**Green (Complete)**

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:	Always-on VPN and GovRoam have been introduced and are being used by the new Regional Audit Service to provide staff connectivity to ICT services in The Vale, RCT, Bridgend and Merthyr all from one Vale owned laptop to provide the much-needed agility. This technology is also available to other service areas and is being rolled out as part of the Windows 10 upgrade process.												
FIT/F051	Continue to evaluate and report on a range of potential future operating models for ICT service as part of the Reshaping Programme (Tranche 2) in order to deliver savings target.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NW	March 2020	**Green (On Track)**
ACTION UPDATE:	Work has begun to review potential operating models for the ICT service, including a review of the existing ICT service structure.												

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	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. 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. The Social Services and Well-being Act also came into force in April 2016; it places an emphasis on: **Voice and control**-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. **Prevention and early intervention**-increasing preventative services within communities to reduce the need for more intensive intervention. **Wellbeing**-is about supporting people to identify outcomes and supporting them to achieve their own wellbeing. **Co-production**-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. 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

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.

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 Act also has a much greater focus on working collaboratively, particularly in relation to heath 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.

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
Political & Legislative	Yes	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. 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. 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.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
Resources	Yes	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.

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.

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.

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.

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.

Loss of EU funding impacting on our ability to sustain delivery of these programmes.

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.

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.

Reduction in income from fees/charges due to increased bad debts as a result of any economic downturn/austerity. |

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
Service Delivery and Wellbeing	Yes	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. 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. 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. 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. 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. 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. Capacity to put in place increased checks at our Port and Airport.
Reputation	Yes	Effective communication with staff and with our customers will be essential during a time of significant organisational change. 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. 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.

1.4 Risk Categories

Categories	Yes/No	Definition
		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).

2 – Risk Evaluation

2.1 Inherent Risk Scoring

Category	Likelihood	Impact	Total Inherent Risk Score
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**9 (Medium/High)**
Reputation	4 (Almost certain)	3 (High)	**12 (High)**
Overall Inherent Risk Score	4 (Almost certain)	3 (High)	**12 (High)**

2.2 Controlling Inherent Risk

Category	• Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments relating to legislative change. • Council Leader and Managing Director are members of key national bodies such as the WLGA, SOLACE Wales and the City Deal arrangements. • Insight Group oversees the coordination of integrated planning activity for the Council in terms of delivering against the sustainable development principle.	2	2	4

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• 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. • Work stream groups for the implementation of the Social Services Wellbeing Act are fully operational. • 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. • In relation to ALN, the Transformational project Board meetings are attended regularly and monitoring of the overall plan is on target. • Production of the Regional Partnership Board Annual Plan. • Publication of Annual Report that incorporated requirements of the Annual Well-being Assessment as part of the Well-being of Future Generations (Wales) Act. • 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.			
Resources	• 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. • Raised awareness amongst staff regarding the requirements and implementation of the Social Services 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	2	1	2

2.2 Controlling Inherent Risk				
Category	• Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	that appropriately responds to the Division's training needs identified in relation to the Act. • Continue to support the ongoing development of the DEWIS information portal. • Budget setting process includes considerations of cost pressures arising from legislative change. • 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. • 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. • 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. • 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. • 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. • 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 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			

2.2 Controlling Inherent Risk				
Category	**• Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	undertake and results have been analysed in clusters and regionally. • Central staff and Council Members have been trained on the upcoming changes in the ALN Bill. • 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. • 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. • Regional Commissioning Board continues to meet on a monthly basis to discuss fee setting and to identify areas of joint working in social care. • 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. • Successful recruitment of a Marketing and Recruitment Officer in the Placements Team (adoption) which will help with securing placements to meet need.			
Service Delivery & Well-being	• Implementation of the Social Services Wellbeing (Wales) Act Action Plan. • Continue to pursue collaborative opportunities with partners in neighbouring organisations. • Worked with the PSB to develop a Wellbeing Assessment that has identified community needs alongside community assets. • The Well-being Plan has been approved by the Public Service Board (PSB) and by the relevant boards of	2	1	2

2.2 Controlling Inherent Risk				
Category	• Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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. • 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. • 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. • Continue to promote the use of 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. • Implemented new assessment processes to ensure compliance with the requirements of the Social Services Wellbeing Act. • 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. • The Welsh Community Care and Information System was launched in November 2017 to enable the safe sharing of information and deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act.			

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• We have successfully implemented transition services underpinned by a Transition Protocol, which supports best practice across agencies. • 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. • 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. • We have commissioned a Direct Family Support service to provide contact and support for children with additional needs and their families. • 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. • 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. • For the tracking and monitoring of ALN pupils, all staff are able to access the system called ONE. Process maps for ONE have been developed to ensure that procedures are used consistently. • Early Years meetings continue to be attended, regionally and with Cardiff. Two different teams of Early Year Meetings have been attended -			

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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. • Strengthened our approach to Citizen Engagement in relation to the Challenge Process associated with the Director of Social Services Annual Report. • 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. • 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.			
Reputation	• 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. • A communication strategy in relation to the ALN Act has been developed and agreed.	2	1	2
Overall Effectiveness of Controls Score		**2**	**1**	**2**

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	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	↔	↔
Average risk score/ direction of travel	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			
AS/A038	Update the referral management processes at the Customer Contact Centre.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2020	**Green (On Track)**
ACTION UPDATE:	This action is in two parts: • Intake and Assessment: Referral pathways re-established to remove blockages within the referral pathway. Princess of Wales referrals directed toward Integrated Discharge Service. • Contact Centre: Enhanced Outbound Officer posts (called Wellbeing Officers) have been created within C1V to provide a consistent response to all adult service contacts including improved IAA and rapid decision making/progress to social work interventions. Establishment of Wellbeing Officers in Q3.												
AS/A034	Refresh processes at the Customer Contact Centre to support the provision of Information, Advice and Assistance (IAA) model in line with the requirements of the Social Services and Well-being (Wales) Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2020	**Green (On Track)**
ACTION UPDATE:	Through the investment of grant funding we have been able to increase our third sector broker presence within the Contact centre which provides support under Information and Advice. We continue to promote the use of DEWIS and encourage organisations to enter their information on this system. The Intake and Assessment team had a recent away day and this was discussed. The new team leader and plans to review roles with the team have identified the training need which is being considered by the joint staff forum.												
RM/A028	Review the effectiveness of the Information, Advice and Assistance Service and its associated	☑	☑	☑	☑	☑		☑	☑	☑	GJ	March 2020	**Green (On Track)**

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			
	pathways in relation to the provision of Family Information and Support.												
ACTION UPDATE:	Review of the impact of single point of contact in Q2, service user evaluation process launched in April 2019												
AS/A039	Monitor and improve the Information, Advice and Assistance sign off.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2020	**Green (On Track)**
ACTION UPDATE:	Protocol for the monitoring and sign off of Information, Advice and Assistance re-established within C1V. Information is provided at first point of contact by Inbound staff through use of DEWIS and worker's own knowledge of council and community services. This is not signed off by adult services. If, Advice or assistance is needed, a proportionate assessment is undertaken by Outbound staff and always signed off by adult services manager to ensure appropriateness and quality of IAA and to review whether further assessment is required. Plan to audit sign off in Q2 and implement any improvements in Q3.												
CS/A029	Develop the wider and more appropriate use of the Information Advice and Assistance Service/Families First Advice Line as a single point of contact for the service.	☑	☑	☑	☑	☑	☑	☑	☑	☑	KC	March 2020	**Green (On Track)**
ACTION UPDATE:	Review of impact of single point of contact in Q2, service user evaluation process launched in April 2019.												
PD/A031	Continue to work with partners to improve self-service options to ensure that customers' enquiries are resolved as quickly as possible,	☑	☑	☑	☑	☑	☑	☑	☑	☑	TC	March 2020	**Green (On Track)**

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			
	complying with the Social Care and Well-being (Wales) Act 2014.												
ACTION UPDATE:	A plan is in place for developing an online application for Telecare services. Progress against this has been held up by delays associated with the roll out of the payment engine development, which is due to go live in September 2019. Once this system goes live we will be able to offer customers options to choose products and pay for them online. An example of this is payment of social care packages- such as selecting the telecare package that best suits a customer's needs. Similarly Blue Badge applications are now available online that enables applicants to upload their evidence documentation onto the system. The introduction of concessionary travel applications are due to be available online from January 2020.												
CS/AC039	Promote the Children's Advocacy Service to increase the local take up of the 'active offer'.	☑	☑	☑	☑		☑	☑	☑	☑	KC/AC	March 2020	**Green (On Track)**
ACTION UPDATE:	Ongoing promotion of the advocacy service, significant increase in the active offer.												
CS/C040	Implementation/delivery of projects awarded Transformation funding.	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2020	**Green (On Track)**
ACTION UPDATE:	Transformation funding has been awarded to support the development of resilience workers in schools. This is a Health led project and CYPS have been appropriately engaged in informing implementation. Decisions are awaited in respect of further transformation bids.												
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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ	March 2020	**Green (On Track)**

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:	Monthly meetings with partners from Cardiff Council and C&V UHB continue to be held.												
RM/A030	Develop a regional pool of policies for children and adults in line with the requirements of the Social Services and Well-being (Wales) Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NJ/SM	March 2020	**Green (On Track)**
ACTION UPDATE:	A regional work stream has been established and a work programme put in place. The recruitment process is underway which will enable us to progress with the work plan going forward.												
CS/A028	Implement new assessment care and support plans (Parts 4 &6) in relation to strengthening our approach to co-production as it relates to the Social Services and Well-being (Wales) Act.		☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2020	**Green (On Track)**
ACTION UPDATE:	Forms are developed and currently in test, will go live in Q2												
RM/A032	Contribute to the ongoing review of the Social Services Performance Management Framework and its implementation.	☑	☑	☑	☑	☑	☑	☑		☑	SM	March 2020	**Green (On Track)**
ACTION UPDATE:	The region continues to support Welsh Government in the development of a new Performance and Review Framework with the Regional Coordinator for Sustainable Social Services representing the region on the Quantitative Writing group. Regional consultation events have taken place with practitioners and colleagues from Welsh Government and a regional response to the consultation is now being compiled.												

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			
RM/A036	Establish a monitoring process for the implementation of the Social Services and Well-being (Wales) Act via the Steering Group.	☑	☑	☑	☑	☑		☑		☑	SM	March 2020	**Green (On Track)**
ACTION UPDATE:	The Regional Steering Group has made an ongoing commitment to support this work. New priorities have been agreed and a plan is in place to deliver of these over the coming year. Work streams have been established for advocacy, performance measures, carers, policies and procedures and Dewis Cymru.												
RM/W027	Deliver a programme of training to staff in relation to meeting the requirements of the Social Services and Well-being (Wales) Act.	☑	☑	☑	☑	☑		☑		☑	SM	March 2020	**Green (On Track)**
ACTION UPDATE:	All training now has the Act embedded within it. This objective is now business as usual.												
RM/C032	Develop a Regional Carer's Strategy in line with requirements of the Social Services and Well-being (Wales) Act 2014.	☑	☑	☑	☑	☑	☑	☑	☑	☑	GJ	March 2020	**Green (On track)**
ACTION UPDATE:	The Regional Carers Strategy is being developed. During Carers Week (10th-16th June) the draft strategy was made available and we received comments from the Health Board and staff. We have also run 6 focus groups to discuss. On-line survey was also made available, where the feedback is waiting to be collated.												
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 2018-23.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020	**Green (On Track)**

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:	Work is advancing on the annual report of the Council's progress in meeting the requirements of the Well-being of Future Generations Act and in accordance with the Local Government Measure and will be reported to Scrutiny Committees on schedule in September 2019.												
PD/C086	Produce an Annual Report outlining progress made by the Vale of Glamorgan PSB in delivering our Well-being Objectives and our contribution to the national Well-being Goals.	☑	☑	☑	☑	☑	☑	☑			TB	March 2020	**Green (On Track)**
ACTION UPDATE:	The Annual Report was approved by the PSB on the 10th July. The report and film are available on the PSB website and will assist in in raising the profile of the PSB												
PD/C087	Engage with residents, partners and council colleagues in developing a new Corporate Plan for 2020-25.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020	**Green (On Track)**
ACTION UPDATE:	Initial engagement has been undertaken and following an update to CMT in June, workshops with each DMT will take place in July. A briefing session has also been held with Cabinet regarding the approach and draft objectives. The Communications Team are developing a programme for consultation and engagement in the Autumn on the draft plan.												
PD/C091	Develop and publish a new Corporate Plan for 2020-25.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020	**Green (On Track)**
ACTION UPDATE:	A timetable has been produced and an outline structure. Work is continuing to develop the content through discussions with DMTs												

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			
3. Risk Management Plan – Mitigating Actions													
PD/A092	Refine the Council's Annual Report format to further strengthen how the Council's achievements are contributing to the achievement of the National Well-being Goals thus reflecting the requirements of the Well-being of Future Generations Act and the Local Government Measure.	☑	☑	☑	☑	☑	☑	☑			TB	March 2020	**Green (On Track)**
ACTION UPDATE:	Work is advancing on the annual report of the Council's progress in meeting the requirements of the Well-being of Future Generations Act and in accordance with the Local Government Measure and will be reported to Scrutiny Committees on schedule in September 2019.												
AA/C028	Identify and progress potential areas of service delivery and provision that can be delivered on a regional basis.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2020	**Green (On Track)**
ACTION UPDATE:	Following a very thorough regional report, sensory impairment has been identified as a service area that has the potential to be delivered on a regional basis. Officers now need to be identified by the region to progress this work.												
AA/A034	Identify post-16 provision for ALN pupils and undertake preparatory work in readiness to progress the implementation of ALN & Education Tribunal (Wales) Act Regional Implementation Plan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SR	March 2020	**Green (On Track)**

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 ALN Post 16 Transition Lead for the CEC is leading on this piece of work identifying current Further Education (FE) provision across the Consortium. LA officers are currently consulting on a draft survey which will be completed by all FE providers in the Consortium in the Autumn term.												
AA/A035	Engage in discussions with the Welsh Government about roles, responsibilities and resources for post-16 ALN provision.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/SR	March 2020	**Green (On Track)**
ACTION UPDATE:	Officers have attended Welsh Government consultation events and have responded to the consultation on the Act and made views known on the issues relating to post 16 ALN provision. Officers also attend the working party which feeds back into Welsh Government.												
AA/A040	Progress the Central South ALN & Education Tribunal (Wales) Act Regional Implementation Plan with specific focus on the eight priority areas including awareness raising, workforce development, support and provision for post 16 learners, early years' provision, engagement with health, Welsh Medium provision and engagement with ALN service users about service expectations.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/SR	March 2020	**Green (On Track)**
ACTION UPDATE:	Officers are working with colleagues across the Central South Consortium on a range of task and finish groups as part of the regional implementation plan. The groups have been established and will begin to meet in 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			
AA/A041	Develop a new ALN Strategy in light of the ALN Act and local priorities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/SR	March 2020	**Green (On Track)**
ACTION UPDATE:	The ALN strategy is under development and is being informed by the local priorities and regional working.												
AA/A042	Work with key partners to improve the Welsh Medium provision and specialist support for Additional Learning Needs via the ALN & Education Tribunal (Wales) Act Regional Implementation Plan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/SR	March 2020	**Green (On Track)**
ACTION UPDATE:	A joint event was organised between the five local authorities and the consortium to share information about Welsh medium resources for additional learning needs and discuss what further developments were required. It was a very successful event with a high attendance rate and representation from schools across the five local authorities. In addition, inclusion officers from each local authority were present alongside both the Leadership Lead and Welsh Standards and Policy Officer for CSC and the regional ALN Transformation Lead. Recommendations have been identified and will be progressed during the year.												
AA/A045	Undertake preparatory work to transition to the new service model for provision of ALN services in line with the ALN & Education Tribunal (Wales) Act Regional Implementation Plan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/SR	March 2020	**Green (On Track)**
ACTION UPDATE:	Officers are working with colleagues across the Central South Consortium on a range of task and finish groups as part of the regional implementation plan. The groups have been established and will begin to meet in 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			
AA/A046	Work at a regional level to enhance service provision through the medium of Welsh in line with our commitments in the WESP 2017-20 and the requirements of the ALN & Education Tribunal (Wales) Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/SR	March 2020	**Green (On Track)**
ACTION UPDATE:	A joint event was organised between the five local authorities and the consortium to share information about Welsh medium resources for additional learning needs and discuss what further developments were required. It was a very successful event with a high attendance rate and representation from schools across the five local authorities. In addition, inclusion officers from each local authority were present alongside both the Leadership Lead and Welsh Standards and Policy Officer for CSC and the regional ALN Transformation Lead. Recommendations have been identified and will be progressed during the year.												

Appendix 3 Corporate Risk 3: School Reorganisation and Investment

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	This risk encompasses funding key priorities set out in the 21st 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 21st 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.
	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.
	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 21st century schools funding in the future.

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	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.
		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.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
Resources	Yes	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 21st Century Schools Programme. 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. The Councils 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. Failing to reduce surplus places through investment impacts on effective resource management in schools. Insufficient funds to carry out prioritised asset renewal schemes impacts on health and safety. A requirement of 21st 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.
Service Delivery and Wellbeing	Yes	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. Failure to meet demand for Welsh medium education. Impact of a poor learning environment on a pupil's learning experience if we fail to meet the 21st Century Schools standards.
Reputation	Yes	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.

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Awareness raising session held with members, Insight board and CMT on the issues associated with the 21st Century Schools Programme with the need to release funding through the rationalisation of places and the need to generate capital receipts. • 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 . • 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).	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Resources	• Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme. • Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects. • We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements. • 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. • 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. • Data relating to new housing developments is now available and being used to modelling options for school place planning. • A preferred alternative site for Pupil Referral Unit (PRU) has been identified subject to consultation. • Welsh Government approved the Vale WESP Action Tracker	2	2	4
Service Delivery & Well-being	• Actively participate in the Council's Carbon Management Group. • Work closely with the Planning Officers to identify potential educational demand as a result of new housing developments in order to maximise S106 funding. • Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school). • Colcot Primary School Barry – Refurbishment (fully funded by Local Authority) • Romilly Primary School, Barry – new foundation phase block. (Band A)	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• New 60 place part-time Fairfield Nursery opened. • Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now open and operating successfully. • 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. • New admission arrangements for 2020/21 has now been concluded and approved by Cabinet and proposals for 2021/22 are currently being formulated. • Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report.			
Reputation	• Survey demand for school places in line with the Council's Welsh Education Strategic Plan. • Periodic review rolling 25 year plan for schools asset renewal. • Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity. • Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes.	2	2	4
Overall Effectiveness of Controls		**2**	**2**	**4**

School Reorganisation

2.3 Residual Risk Scoring & Direction of Travel										Direction of Travel	Forecast Direction of Travel
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score				
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	↔	↔
Average risk score/ direction of travel	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			
SL/A040	Progress Barry Secondary Learning Communities by gaining approval of final business cases (FBCs) and commence construction.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	July 2019	**Green (On Track)**
ACTION UPDATE:	Full Business Case (FBC) for Whitmore High School and Ysgol Gymraeg Bro Morgannwg has been submitted to Welsh Government and has been approved. The relevant planning applications have also been submitted and were approved on 26 June 2019 and 31 July subsequently. Cost plans have also been submitted by the relevant contractors and Cabinet have approved the second stage tenders. Work due to commence on site following approval of SAB application.												
SL/A041	Confirm brief of Barry Centre of Learning & Well-being.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/LL	March 2020	**Green (On Track)**
ACTION UPDATE:	Have developed a brief with the Head of Achievement for All and the Headteacher of Ysgol Y Deri. Continuing to explore site options with Development Control. Currently working with Welsh Church Act Estate for a potential site.												
SL/A042	Complete statutory consultation and progress Business Case where appropriate for the Waterfront School, St David's and St Nicholas as well as any other projects identified for early consultation.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020	**Green (On Track)**

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:	Barry Waterfront: Cabinet approved proposal to expand Ysgol Sant Baruc on 31 July 2019. Continuing to work with consortium to develop legal agreement for school build. St David's: Cabinet approved proposal to expand St David's CIW Primary School on 15 July 2019. Procurement of contractor due to begin in September 2019 with Business Justification being submitted in December 2019. St Nicholas: Statutory Notice issued on 26 June 2019. 47 objections received in total. GB to consider objection report in August 2019 and proposal will be forward to Cabinet for final determination in September 2019. Procurement of contractor due to begin in September 2019 with Business Justification being submitted in December 2019.												
SL/A043	Clarify requirements for Primary Welsh medium and English medium education in the Western Vale and Penarth.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020 (Ongoing)	**Green (On Track)**
ACTION UPDATE:	The planning of a parental survey is timetabled for quarter 2 with the Councils Communications team. This will inform the council of parental preferences in these areas.												
SL/A045	Contribute to increasing the range of Welsh Medium provision for Vale pupils aged 14-19.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/LL	March 2020 (Ongoing)	**Green (On Track)**
ACTION UPDATE:	Work to expand Ysgol Gymraeg Bro Morgannwg is progressing and due to start on imminently. Continuing to assess future options for Welsh medium expansion as part of Band C.												

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/A047	Support Welsh-medium provision for learners with additional learning needs (ALN).	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/LL	March 2020 (Ongoing)	**Green (On Track)**
ACTION UPDATE:	A joint event was organised between the five local authorities and the consortium to share information about Welsh medium resources for additional learning needs and discuss what further developments were required. It was a very successful event with a high attendance rate and representation from schools across the five local authorities. In addition, inclusion officers from each local authority were present alongside both the Leadership Lead and Welsh Standards and Policy Officer for CSC and the regional ALN Transformation Lead. Recommendations have been identified and will be progressed during the year.												

Appendix 4 Corporate Risk 4: Waste

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. The biggest shift change has been in relation to reducing the volume of residual waste. During 2018/19 the Council secured capital funding from the Welsh Government's Collaborative Change programme as part of the Waste Strategy to implement a restriction of residual waste. As of the 3rd September 2018, all households across the Vale of Glamorgan were restricted to putting out two bags per fortnight (with exemptions for those with six or more residents, pet waste/bedding, ash from household fires/log burners and adult hygiene products). To oversee this roll out and enforcement, waste wardens have been appointed. Early indications show that this service changes have resulted in over a 30% reduction in residual waste. In progressing our Waste Strategy, we continue to look at ways of further increasing our recycling rates across the Vale of Glamorgan. Although the Vale of Glamorgan Council continues to be one of the top performing authorities for meeting its recycling targets, more recently we have experienced a growing problem with contamination. This has been due to non-recyclable items such as soiled nappies, food waste and cat litter being mixed with recycling. To combat this problem and to reduce our use of single use plastic, the use of single use plastic bags for placing out recycling has been removed. Recyclable waste will only be collected if it is placed in Council-issued bags/boxes. The next phase of change will see the roll out of the Waste Blue Print that will see us make the transition from the collection of co-mingled recyclables to source-segregation of recycled materials. As this is a significant shift change for how we operate our services and our residents, this change is being introduced via a phased roll out starting in the rural Vale during quarter 3 with the remaining areas to follow in 2020/21.

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**
Political & Legislative	Yes	Failure of contract agreements associated with our waste collaborations. Failure to comply with statutory waste targets and the associated Welsh Government guidance.
Resources	Yes	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.

Inability to effectively monitor and manage our contract agreements resulting in poor contractual compliance and performance.
Council incurs fines as a result of failing to meet statutory waste reduction targets.

National Welsh Government grants are withdrawn as a result of failing to meet statutory waste reduction targets. |
| *Service Delivery and Wellbeing* | Yes | 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);
ii. pollution of the local environment (e.g. contamination of groundwater; soil contamination).
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.
Poor engagement with the hard to reach section of our community resulting in lower recycling and composting take up rates.
Poor communication following any change in collection methodology resulting in poor take up of recycling and composting services.
Increasing waste budget pressures as a result of new developments and an inability to deliver savings in waste management services. |
| *Reputation* | 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**
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	4 (Almost Certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	4 (Almost Certain)	3 (High)	**12 (High)**
Reputation	3 (Probable)	3 (High)	**9 (Medium/High)**
Overall Inherent Risk Score	4 (Almost Certain)	3 (High)	**12 (High)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running • Waste Resource Action Programme (WRAP) is completed. Cabinet agreed a black bag restriction for 2018/19 (starting September 2018), to move on a phased basis to the Welsh Government Blue Print.	1	2	2
Resources	• Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. • The 25 year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place. • Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council. • Household Waste Recycling contract operated by the company FCC. • A revised waste strategy will be presented to Cabinet during 2019/20 that will take into account the targets	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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 & Food, in preparation for September 2019. • 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. • Annually bid for Welsh Government Environment Grant to deliver improvements to the waste management infrastructure. • Waste Vehicle savings for 2018/19 have been met. • The route mapping of all the new rounds are completed for Residual, Recycling & Food, in preparation for September 2019.			
Service Delivery & Well-being	• Increased waste awareness initiatives including a litter summit. • Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. • Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery. • Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced. • Appointed an Environmental Enforcement Partner (3GS) in	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	October 2016 issue fines for dog fouling/littering offences. • 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. • 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).			57
Reputation	• 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. • Maximise the use of Social Media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner to raise awareness of dog fouling/littering issues.	1	2	2
Overall Effectiveness of Controls		**1**	**2**	**2**

2.3 Residual Risk Scoring & 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	1	2	2	3	2	6	⬆	⬌
Resources	4	3	12	1	1	1	4	3	12	⬌	⬌
Service Delivery & Well-being	4	3	12	1	2	2	4	2	8	⬆	⬌
Reputation	3	3	9	1	2	2	3	2	6	⬆	⬌
Average risk score/ direction of travel	4	3	**12**	1	2	**2**	4	2	**8(Medium /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			
NS/A066	Continue with utilising waste wardens (post-residual restrictions) to ensure households are recycling as much as possible and adhering to the new arrangements.	☑	☑	☑	☑		☑	☑	☑	☑	CS/BT	March 2020	**Green (On Track)**
ACTION UPDATE:	Waste wardens are promoting food compositing and recycling with residents as necessary.												
NS/A064	Achieve the national recycling target of 64% for 2019/20.	☑	☑	☑	☑			☑	☑	☑	CS	March 2020	**Green (On Track)**
ACTION UPDATE:	All vehicles and plant equipment that has and is being purchased, leased or hired during this financial year meet current EU emission standards. In addition to this the purchasing of vehicles/plant with alternative fuel options have been explored prior to the purchase of any diesel engine models. On selecting a diesel vehicle this vehicle is then run on 5% biodiesel.												
NS/A068	Bid for the annual Welsh Government Environment Grant.		☑	☑		☑	☑		☑	☑	ER/CS/MS	March 2020	**Green (On Track)**
ACTION UPDATE:	Bids have been submitted in Quarter 4 for new grant. No further update available for quarter 1.												

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			
NS/A029	Progress the development of a waste transfer station and rationalisation of existing operational depots. (Subject to WG CCP funding)	☑	☑	☑	☑	☑		☑	☑	☑	CS/CH/BT	March 2020	**Green (On Track)**
ACTION UPDATE:	Currently a temporary Waste Transfer Station is in place at Cowbridge Composite Plans advanced for the submission of planning application and environmental permit for a new Waste Transfer Station at Atlantic Trading Estate Barry.												
NS/A023	Develop/implement a Waste Reduction Strategy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CS/BT	March 2020	**Green (On Track)**
ACTION UPDATE:	The Waste Wardens in place have been overseeing the application of the two waste bag limit per household (excluding exemptions) and any promotional work relating to recycling in place and the Council provides to residents free of charge equipment to increase recycling of food and materials.												
NS/A024	Remodel our waste management infrastructure.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CS/BT	March 2020	**Green (On Track)**
ACTION UPDATE:	Vehicles ROMAQUIP received by Council for recycling source segregation. Staff are due to receive training on these vehicles during Quarter 2 ready for blue print roll out from Quarter 3. Plans advanced for the submission of planning application and environmental permit for a new Waste Transfer Station at Atlantic Trading Estate Barry.												
NS/A025	Develop a 7 year Waste Management Plan (2018-25)	☑	☑	☑	☑	☑	☑	☑	☑	☑	CS/BT	March 2020	**Green (On Track)**
ACTION UPDATE:	Cabinet have agreed to rollout the blue print which involves source segregation which involves separating recycling materials rather than collection co-mingled. Also, the management plan involves the restriction of 2 black bin bags per household every 2 weeks.												

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			
NS/A070	Explore the options for a new Western Vale Household Waste Recycling Centre once the existing site lease expires.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CS	December 2019	**Green (On track)**
ACTION UPDATE:	Work underway Quarter 1 to secure a new site. Capital money available this year of 555k to progress this action.												
NS/A072	Consider options to bring Household Waste Recycling Centre sites back in-house during 2019 or 2020.	☑	☑	☑	☑	☑		☑	☑	☑	CS	April 2019	**Red (Slipped)**
ACTION UPDATE:	Priority this year to rolling out the blue print. Therefore, action on this unlikely until Quarter 3.												
NS/A067	Introduce the Collections Blueprint on a phased approach.	☑	☑	☑	☑	☑		☑	☑	☑	CS/BT	March 2020	**Green (On Track)**
ACTION UPDATE:	Vehicles ROMAQUIP have been received by the Council to enable us to deliver recycling source segregation service. Staff are due to receive training on vehicles in Quarter 2 ready for blue print roll out from Quarter 3.												

Appendix 5 Corporate Risk 5: Workforce Needs

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. We continue to experience difficulties in recruiting and retaining staff in some key service areas across the Council e.g. namely health and social care (residential care, domiciliary care). Skill shortages exist in some areas like Legal, accountancy Planning, ICT where market forces have impacted on our ability to recruit and retain skilled/qualified staff. This 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**
Political & Legislative	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.
Resources	Yes	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. 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. A failure to implement the agreed actions set out in the Council's Workforce Plan (and specifically in relation to change

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		management) would impact adversely on the Council's ability to respond to financial challenges over the next four years. 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 retain staff in business critical posts due to the impact of market forces and/or skill shortages. 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. 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. Failure to maintain momentum regarding staff engagement.
Service Delivery and Wellbeing	Yes	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. There would be a potential inability to anticipate and plan for workforce needs of the future in order to meet changing service requirements. 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.
Reputation	Yes	Negative perception of the Council amongst citizens as an employer impacting on recruitment and retention rates across the organisation. Failure to put in place succession pathways in place to address our ageing workforce in specific service areas. 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.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	**Likelihood**	**Impact**	**Total Inherent Risk Score**
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	3 (Probable)	3 (High)	**9 (Medium/High)**
Service Delivery & Well-being	2 (Possible)	2 (Medium)	**4 (Medium)**
Reputation	3 (Probable)	3 (High)	**9 (Medium/High)**
Overall Inherent Risk Score	3 (Probable)	3 (High)	**9 (Medium/High)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• CMT/Cabinet, Joint Consultative Forum and Change Management Board receives regular reports on a range of HR issues and developments. • Robust performance management arrangements in place across all service areas.	2	2	4
Resources	• Managers are supported through the management of change through training and ongoing advice from HR Officers and supported by Organisational Development. • 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. • 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. • 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	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	its focus and appeal to a wider section of the workforce. • 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. • Management Competency Framework is live and is used with the #itsaboutme 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. • 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. • 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. • Chief Officer briefing sessions and management development sessions were held support reshaping and discuss the staff results. • Apprenticeship pathway is in place to enable direct recruitment of apprentices and enables us to better support succession planning. • Regional Training and Workforce Development Unit has been established			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	to ensure that we invest in training of social care professionals and support secondments and placements.			
Service Delivery & Well-being	• Workforce planning processes delivered with a focus on alternative service delivery and workforce implications. • The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data. • We continue to move towards a HR Self-Service model. • Organisational Development support provided to the Reshaping Services Programme continues to influence how we deliver alternative models of service delivery. • #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. • 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. • 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. • The Management Competency Framework is in place. Several management development sessions continue to be held with managers focusing on managing the future, the	2	2	4

2.2 Controlling Inherent Risk		Effectiveness of controls		
Category	**Current Controls**	**Likelihood Score**	**Impact score**	**Total Score**
	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. • 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. • 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. • Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process is under development.			
Reputation	• All recruitment adverts promote the Council as an equal opportunities employer. • 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. • 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. • Developed good relationships with local education establishments (Cardiff	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	University & Cardiff and Vale College) as well as independent Apprenticeship providers.			
Overall Effectiveness of Controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & 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	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	↔	↔
Average risk score/ direction of travel	3	3	**9**	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			
HR/A008 HR/A013 NS/C031 AS/W045	Continue to work with service departments, and our key partners including local employers to increase the numbers of 16-24-year-old employees as a proportion of the wider workforce. This also includes working with our key partners such as education establishments and local businesses to increase opportunities for 16-24-year olds to participate in work experience opportunities a in line with the Council's 16-24 Strategy. Implementing across relevant divisions an apprenticeship scheme (Adult Services)	☑	☑	☑	☑	☑	☑	☑	☑	☑	GW	March 2020	**Green (On track)**
ACTION UPDATE:	Apprenticeship recruitment is still our main vehicle for increasing the number of 16-24-year-old employees. We are working closely with departments who have roles to fill to identify the potential for recruiting an apprentice and there has been a noticeable uptake. For example, within Neighbourhood Services, we appointed apprentice fitters with additional apprentice fitters to be considered in Quarter 2. Business Support currently employs two apprentices that were advertised in Quarter 1. During the latter part of Q1 and start of Q2 we have explored graduate opportunities to further enhance this key work stream. Our focus also continues to be on working across a wide variety of providers including local businesses and Cardiff and Vale College to increase work experience opportunities for this age group and we have progressed the development of ties with the University of South Wales and Cardiff and Vale College and Job												

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			
	Centre Plus (DWP) to promote apprentice opportunities. In addition to this we continue to attend recruitment fairs at local colleges and universities to promote apprentice and graduate opportunities. Within Social Services (Adult Services), we have concentrated our efforts on developing our current social care workforce. During Qtr 1 we continued to promote career opportunities for staff to become qualified. We have very few administrative roles within the Division, and hence therefore we are looking more at how we encourage work experience in care roles and social work as a career. We remain mindful of the apprenticeships and volunteer opportunities.													
HR/A009	Work 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.		☑	☑	☑	☑	☑	☑	☑	☑	GW	March 2020	**Green (on track)**
ACTION UPDATE:	We are currently working to explore work experience opportunities and have several 'pilot' schemes working. This is across multiple areas of the business and includes working with schools, charities and the DWP to source candidates. For example, within HR two work placements resulted in the individuals gaining temporary employment. The next stage is identifying how to integrate into the organisation.													
HR/W060	Review our approach to staff engagement and implement a more holistic approach informed by the outcomes of the 2018 Staff Survey and Big Conversation 2 (including directorate level action plans, engagement champions and local staff engagement activity).		☑	☑	☑	☑		☑	☑	☑	AU	March 2020	**Green (on track)**

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:	Engagement Work Streams are now rolling out across the organisation. This has included working with key stakeholders and leaders to drive the corporate wide engagement streams such as Developing My Skills and Inclusivity. Work has also started in working with Heads of Service to drive local area engagement strands that will ensure we have a bottom up and top down approach to engagement and change. In addition, we continue to support the CMT Staff Engagement Group that enables staff to work alongside CMT to research/ present and progress staff engagement initiatives.												
HR/W061 AS/W046	Launch the Management Competency Framework to support the development of leadership and management qualities in line with the Reshaping Services Programme. Review delivery of a pilot leadership programme for Adult Services.		☑	☑	☑	☑		☑	☑	☑	GW	March 2020	**Green (on track)**
ACTION UPDATE:	The framework has been launched and is now being embedded in to the authority. The Social Services Directorate continue to work with the OD & Learning Department regarding the pilot Leadership Programme. However, the programme paused for a period of reflection/review at the end of 2018/19 and will re-commence following the review in the latter half of 2019/20 with proposed changes following consultation with the existing cohort. The leadership programme as a whole is currently under review and will be re-designed based on feedback with the intention of having an offering for the authority as a whole by the end of 2019												
HR/W038	Continue to review and enhance the Council's Succession Planning and Talent Management Scheme.		☑	☑	☑	☑		☑	☑	☑	GW	March 2020	N/A Not due.

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:	Work on this will begin in Q2, following completion of the #itsaboutme process and embedding of competency frameworks. The Council's Leadership Café has been revamped and rebranded as the Learning Café to make it more attractive and inclusive to more staff. The new style Learning Café will continue to be staff-driven to enable the café to be self-sustainable and the development opportunities be beneficial to a wider mix of staff. The new Learning Café will be relaunched in Quarter 2.												
HR/W064 PD/W051 FIT/W016 LS/W051 HS/W056 RP/W052 NS/W003 CS/W033	Further develop and implement succession planning and talent management practices both in our corporate role and specific areas of Human Resources work in order to build resilience to meet the challenges of service transformation. We will continue to enhance succession planning within service areas to retain expertise and skills in business-critical areas.		☑	☑	☑	☑		☑	☑	☑	GW/AU HR DMT	March 2020	**Green (on track)**
ACTION UPDATE:	Our focus continues to be on how we can enhance and strengthen our approach to succession planning and talent management across the council as well as specific areas. It is anticipated that the completion of the refreshed #itsaboutme process by embedding the competency framework will enable us to further enhance how we approach succession planning and talent management. The #itsaboutme process is due to be completed during quarter 2. In terms of succession planning practices already in place, good progress continues to be made across a wide range of service areas. For example, within the Regional Internal Audit Service the feasibility of engaging apprenticeships is under consideration. Within Legal Service quarter 1 saw the recruitment of a new legal												

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			
	apprentice administrator to the Litigation team and the promotion of a Senior Lawyer Planning and Highways to Team Leader Property and Contract. The creation of a new Assistant Lawyer Adult Services post and recruitment of a Lawyer from the private sector will add resilience and support to the Senior Lawyer Adult Community Care and to the Deprivation of Liberty Safeguards work. Within Regeneration and Planning, Career development is key to staff retention and staff developing the experience to fill the relevant posts. We have implemented succession planning initiatives which have included funding staff through day release educational courses and employing graduates undertaking professional qualifications. Apprentices have been appointed in the Building Control section and market forces supplements have been applied to key posts. In Neighbourhood Services, focus on succession planning for critical posts trainees in place and a team approach to management of the service. The multi-functional nature of the posts has enabled us to strengthen the resilience of our services. The Children and Young People's division have made effective use of the Team Manager Development Programme by supporting the nomination and attendance of relevant managers. During Q1, two new Associate posts have been recruited to within Policy & Performance. These trainee opportunities will enhance succession planning within the two teams (Corporate Performance and Business Improvement) and also the service more widely. In relation to Housing and Building Services, we have developed a draft succession planning programme that is being refined in discussions with colleagues from the OD team.													
HR/W065 HR/W039	Continue to maintain our focus on strengthening the performance management and support arrangements in relation to attendance management within HR and OD. This includes continuing to support all directorates and individual services to review and strengthen their performance arrangements in relation to attendance management and minimise absence levels and increase resilience.	☑	☑	☑	☑	☑		☑	☑	☑	AU/LB/JB	March 2020	**Green (on track)**

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 focus on attendance management has continued throughout Q1 in accordance with the corporate absence management action plan and as considered and approved by Cabinet. The 2018/19 performance outcome for last year was 9.1 days lost per FTE which is under the target of 9.3 days per FTE. This figure is lower than the previous 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. The Occupational Health Nurse (OHN) has realised the opportunity for staff to attend published drop in sessions where an employee can see the OHN and discuss their health/wellbeing to hopefully mitigate/negate sickness absence through early intervention. The Occupational Health Team continue proactively seek out opportunities to engage with staff to enhance their health and well-being in the form of health fayres and self-referral initiatives, promoting mental health champions and preparatory work on developing a menopause awareness policy.

Provision of Monthly reports supported by detailed absence data across services to CMT. CMT in turn consider their areas or responsibility in DMT's. Monthly case management meetings are held to review monthly data a with HR Business Partnership and Occupational Health to consider cases and action plan which is shared with employing Manager to undertake.

During quarter 2 the Absence Management Policy will be reviewed, and we will be piloting the sharing of sickness data to be shared at the lower tiers to better support teams to understand their absence management data. During quarter 1, significant work was progressed in drafting a Mental Health and Well-being Policy that incorporates an accompanying action plan and the identification of Mental Health Champions. | | | | | | | | | | | | | |
| HR/W066 | Launch the Employee Core Competency and Management Competency Frameworks to help identify and address skill gaps across the Council and begin work to embed these within the #itsaboutme appraisal system. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | GW | March 2020 | **Green (on track)** |
| **ACTION UPDATE:** | The competency framework has been launched and is now being embedded as part of the #itsaboutme process. Reporting will be available from Q2. | | | | | | | | | | | | | |

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			
HR/W043	Support the development needs associated with the Council's Digital Strategy.		☑	☑	☑	☑		☑	☑	☑	LB	March 2020	**Green (on track)**
ACTION UPDATE:	Several Digital Projects are ongoing, and HR are undertaking significant work to improve our Digital working with the workforce. The contract for E-payslip provision was agreed in Q1, with implementation planned for Q2 and Q3. The development of the staff Extranet is also planned for Q2 when the recruitment site goes live. We have utilised i-Dev to enhance access and awareness of digital learning for staff who have access to PCs/Staff net.												
HR/W068	Refine how learning is delivered corporately by developing, implementing and supporting a self-directed approach.		☑	☑	☑	☑		☑	☑	☑	GW	March 2020	**Green (on track)**
ACTION UPDATE:	i-Dev provides a digital learning platform to staff to be able to access a comprehensive range of training and development opportunities. A review of this is scheduled at the end of quarter to ascertain effectiveness of the online learning platform, as well as develop and enhance the training on offer. For front-line staff that traditionally don't have access to online learning, we continue to collectively deliver packages of training/development to staff in the form of team meetings, training sessions and briefings.												
HR/W069	Review key employment policies to help deal more effectively with issues of capability.	☑	☑	☑	☑	☑		☑	☑	☑	AU/JB	March 2020	**Green (on track)**
ACTION UPDATE:	Re deployment, Grievance, Flexible Working Request, Career Break and Disciplinary policy, procedures and guidance and a Social Media Policy were reviewed and agreed by CMT in Q1 which will be re-launched supported by training where relevant during Q2. A new Alcohol & Drugs policy has been drafted for CMT												

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			
	approval that is expected in Q2. Policies on unacceptable actions by citizens and managing violence at work have been drafted and are subject to consideration and approval by Cabinet. A new Capability policy is intended to be drafted and consulate upon during Q2 and 3.												
SL/W065 NS/W005	Develop and implement strategies/initiatives to address aging workforce profile in key service areas.		☑	☑	☑	☑		☑	☑	☑	TB/ER		**Green (on track)**
ACTION UPDATE:	The Council continues to promote opportunities for staff to access Flexible Retirement options. This enables us to retain the expert knowledge and skills for longer whilst putting in place succession plans to recruit and train new staff in these roles. This area of work complements Council's apprenticeship and graduate programmes. Within Strategy, Community Learning and Resources, ACL staff take part in collaborative events to promote a range of community learning opportunities for 50 plus, and in partnership with the Fifty Plus Strategy Forum. These will include a range of health and wellbeing activities and employability skills for jobseekers. Within Neighbourhood Services, the age of the work force has reduced since the implementation of the new neighbourhood service model. During the year there will be several retirements that will facilitate recruitment.												
PD/W084 FIT/W017 FIT/W020 LS/W052 DS/W046 SL/W066 SL/W044 AA/W029 RP/W053 RP/W030 NS/W029	Build resilience within teams/service areas by focusing on up skilling and developing a broader skillset and encouraging self-development and where possible build on collaborative working arrangements. This includes building resilience and flexibility within roles and across teams to support new ways of working.		☑	☑	☑	☑	☑	☑	☑	☑	TB/CL/ DM/JR TB/DD ER/MG AP		**Green (on track)**

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			
RM/W029													

ACTION UPDATE:	Enhanced #itsaboutme appraisal process using i-Dev enables managers and staff to review any issues regarding resilience. It also enables managers and staff to discuss and put in place learning plans that are tailored to the needs of individual's and their teams to enable them to fulfil their potential and develop a broader skill base to enhance their roles. To complement this work, HR have met with local Trade Unions and the TUC to draw down funding from the Wales Learning Union Fund to support us in meeting digital workforce needs through a package of training and development opportunities. Other service areas have also looked at ways they can build resilience within their teams. For example, the new regional internal audit service is now operational and will enable the service to share best practice across the region. ICT are working with LA's in the City Deal area to improve connectivity and therefore assist agile working across the region. Within Legal Services, during Q1 there has been a continued focus on training and development which is overseen through the #its about me appraisal scheme. There is a culture of on-going continued professional development via e-learning, webinars, Local Authority Trading Company events, events run by the Her Majesty's Courts and Tribunals Services, Special Interest Groups and participation in on-line forum with the Lawyers in Local Government. Learning and development is further achieved by disseminating information from key events through discussion during 1 to 1's, group/team discussions, and team meetings. In addition to technical training there is a focus in Legal Services on developing soft skills to ensure continued improvement to achieve management competency. In relation to Strategy, Community Learning and Resources, the ACL service will be developing opportunities for staff and volunteers to develop their Digital skills, subject to additional Skills for work funding through CAVC. Welsh language learning is offered to all Vale employees. In Regeneration and Planning, career development is key to staff retention and staff developing the experience to fill the relevant posts. We have implemented succession planning initiatives which have included funding staff through day release educational courses and employing graduates undertaking professional qualifications. Apprentices have been appointed in the Building Control section and market forces supplements have been applied to key posts. Within the Resource Management and Safeguarding division, an ICT skills assessment has been completed and opportunities for further training currently being explored. During Q1 a new Associated Performance Partner has commenced work in the Corporate Performance Team and is providing support to develop expertise and skills in this area. An Intern within Corporate Communications is enabling skills to be developed to assist with consultation and engagement work. A focus for

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			
	the new Head of Policy & Business Transformation will be to focus on further up-skilling and flexibility between Policy teams (Strategy & Partnerships, Corporate Performance and Equalities) in Q2. The new structure effective from January will assist with this. Within Democratic Services, building resilience within teams remains an ongoing process linked to the Council's #itsaboutme process, mentoring within the team and attending peer networks to build knowledge and identify development/training needs.												
PD/W048	Continue to transfer expertise and skills in corporate areas such as consultation/engagement, performance reporting and equalities monitoring to services to build capacity and consistency in our approach across the Council.		☑	☑	☑	☑		☑	☑	☑	TB		**Green (on track)**
ACTION UPDATE:	The Division continues to use a partnering approach to work alongside other service areas to transfer expertise and skills in corporate areas such as consultation/engagement, performance and equalities work. For example, during quarter 1 a performance officer (partner) worked closely with the Director of Social Services and his officers to produce an Annual Report of Performance for Social Services. A challenge version of the report was finalised and report to Scrutiny was made available for comment during June with a final version reported and approved by Cabinet in July. The Business Improvement Partners throughout quarter 1 continued to work closely with service areas to support them in progressing the Reshaping Services projects aligned to the 2019/20 work programme.												
DS/W047 SL/W068 HS/W057 AS/W048 RM/W026	Undertake/review and implement service restructures in relation to Democratic Services, the Strategy, Community Learning and Resources and Resource Management and Safeguarding divisions and the	☑	☑	☑	☑	☑		☑	☑	☑	TB/MI JR/SC AP		**Green (on track)**

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			
	Community Investment team. This includes also implementing a single integrated management structure in relation to the Long-Term Care Service and Nurse Assessor Team.												
ACTION UPDATE:	Our HR Business Partners continue to work alongside service areas to explore and support the delivery of service development opportunities to maximise service efficiencies. The internal consultation mechanisms in place with Trade Unions and staff and are designed to promote more effective joint working through a transparent and engaged process. During quarter one, the Strategy, Community Learning and Resources division has focused on the redesignation of responsibilities with project groups established related to the strategic priorities e.g. data management. In relation to the Housing and Building Services division, the Community Investment (CI) team structure and resources have been reviewed with Senior Managers and some opportunities for additional support were agreed, namely in the form of a CI apprentice and possibly partnership working with some Supporting People funded services. The profile of the CI team continues to grow, and the team were incredibly proud to have won the 'team of the year' award at the recent Council staff awards ceremony. There are significant funds available to kick-start projects and act as match funding and this has helped support several important projects. The challenge remains the importance of making projects financially sustainable, either through external grants or money raised by volunteers themselves- this could include income from services provided. There is also scope to handover more projects to Neighbourhood Managers, so the CI team can focus on setting up new and innovative projects. In relation to Adult Services, the Vale of Glamorgan is now hosting the Bridgend APS services and there are ongoing discussions with Cardiff regarding regionalisation of the service. With reference to the Resource Management and Safeguarding division, there have been permanent appointments into the Team Manager/Team Leader position in the structure of the Finance Team which has increased resilience to the service. In Democratic Services, recruitment to vacant positions is partly completed with 3 of the 5 posts now filled. It is anticipated that the 2 remaining posts will be filled during August/ September which includes the currently vacant Cabinet Officer post												
RP/W032 NS/W004 CS/W034	Identify critical posts to the business and explore and deliver options to better target recruitment to 'hard to recruit'/'business critical' posts.	☑	☑	☑	☑		☑	☑	☑		ER/MG RE		**Green (on track)**

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 launch of the e-recruit system enables us to improve the experience of prospective candidates so that they can not only view and apply for positions online seamlessly, but it also provides a channel through which we can promote the benefits of working for the Council i.e. flexible working/work-life balance, top performing authority etc. By using this as a portal to market positions, we can minimise the costs associated with recruitment advertising and use effectively as a platform to target the critical and 'hard to recruit' posts. Within HR we also continue to work with recruitment agencies for the targeting of critical posts. 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. For Neighbourhood Services, the market forces supplement agreed for fitters' posts. Senior Structures posts and highway maintenance neighbourhood manager to be considered for further advertisement in Quarter 2. Within Children and Young People Services, targeted recruitment activity has continued in respect of SW posts with some success achieved. Where vacancies remain, these will be subject to a further campaign in early September to follow the summer recess. In addition, the Division is exploring the merits of an open advert and working and working with corporate colleagues to refresh the bespoke microsite.												

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 IS027001 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. This new regulation has applied in the UK since 25th 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.
Resources	Yes	Council incurs fines as a result of failing to comply with legislative and Information Commissioner requirements associated with the GDPR. Financial impact of correcting/resolving data breaches and/or cyber attacks. Failure to implement adequate ICT management systems across the Council.
Service Delivery and Wellbeing	Yes	Loss of data could impact of the delivery of key services and projects across the Council. 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.
Reputation	Yes	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.

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• DPA/ICT Codes of Conduct in place together with Access to Information Procedures that is signed for by all staff and members. • On-line training available for DPA and introduction of Employees Information Security Responsibilities. DPA training available to all members via their induction. • Information Security & Governance Framework arrangements are in place. • Completed gap analysis to work towards adherence to ISO27001 and work towards adoption of good practice where applicable. • Audit of Payment Card Systems completed and new system to be launched in September 2019. • 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.	2	2	4
Resources	• Building and Office security/access arrangements in place to control access to Council buildings for authorised staff, members and visitors. • Secure network including Firewall and ICT Security Team. • Use of encrypted laptops where a business case has been approved. • Nominated systems administrators and system audit trails/admin logs maintained. • Penetration testing regularly undertaken • Corporate document retention system in place (TRIM) and FOI/Records Management Unit established. • ICT compliance team developed following ICT restructure with three FTE compliance resources. • Secure e-mail solution in place • Reviewed use of fax machines and now have a Rightfax system in place. • Security software (Veronis and Clear Swift) gives us improved data security.	2	2	4

2.2 Controlling Inherent Risk		Effectiveness of controls		
Category	**Current Controls**	**Likelihood Score**	**Impact score**	**Total Score**
	• 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. • 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. • Data Protection refresher training delivered to all relevant staff that incorporates the GDPR requirements. • Second internet connection has been installed at the Civic Offices. • Review of WASPI documentation remains ongoing.			
Service Delivery & Well-being	• Information Security & Governance Framework arrangements in place. • 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. • Implementation Plan aligned to the Strategy is in place and is being delivered. • 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. • Protocol to enable us to reuse information under the Open Government licence has been developed and published on our website.	2	2	4
Reputation	• 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.	2	2	4
Overall Effectiveness of Controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & 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	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	↔	↔
Average risk score/ direction of travel	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			
FIT/IT005	Support the implementation of the Council's Digital Strategy (Tranche 3) by working with Theme Leads to deliver key projects.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NW	March 2020	**Green (On Track)**
ACTION UPDATE:	ICT have supported several reshaping services projects, two of which will be going live in Q2-Q3 2019/20. These being the new online recruitment system and the online payslips system.												
CP1 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 in line with the Digital Strategy.		☑	☑	☑	☑	☑	☑		☑	EW	March 2020	**Green (On Track)**
ACTION UPDATE:	The hybrid (cloud ready) storage system is now in place and able to provide the Council with seamless usage of cloud-based storage as well as on-premise. There is an ongoing investigation into the use of cloud-based storage to replace certain backup and disaster recovery systems, if they are more efficient and cost effective.												
FIT/IT046	Continue to review ICT systems and software across the Council to ensure they are fit for purpose.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NW	March 2020	**Green (On Track)**
ACTION UPDATE:	This is an ongoing review and as new systems are being introduced (such as Office 365) older legacy systems that provide similar or duplicate functionality will be removed.												
FIT/IT045	Work with colleagues across the Council to comply with relevant security standards, including GDPR, PCI and PSN.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NW	March 2020	**Green (On Track)**

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:	ICT continue to be represented at the Information Governance Board to advise and steer the Council in relation to ICT and Information security to ensure compliance is maintained in terms of GDPR, PCI and PSN. ICT are supporting the implementation of a new PCI compliant income management system.												
FIT/W050	Roll out of Microsoft Office 365 to appropriate service areas to enable service efficiencies, agile and remote access to data and facilitate efficient use of office accommodation.		☑	☑		☑		☑	☑	☑	NW	March 2020	**Green (On Track)**
ACTION UPDATE:	Office 365 has been rolled out to a core technical team within ICT, and staff within Corporate Communications, Organisational Development and Business Improvement. A wider group of staff will be migrated to O365 in Q2 2019/20. The wider roll out of Office 365 to the Business will commence in Q2-Q3 2019/20 and is estimated to take between 6 - 8 months to complete.												
FIT/IT049	Complete the migration of the Council's Wide Area Network (WAN) to the Public Sector Broadband Aggregation (PSBA) WAN and upgrade the internet band width and resilience to all schools in the Vale as part of the Welsh Government's 'Learning in Digital Wales 2' (LiDW 2) Project.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NW	March 2020	**Green (On Track)**
ACTION UPDATE:	The migration of the Council's WAN onto the all Wales secure PSBA network has been completed. All schools in the Vale in scope have also been migrated onto the PSBA network as part of the LiDW 2 grant funded project.												

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/IT061	Work with schools to develop appropriate strategies to enable them to effectively meet their requirements in relation to GDPR.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020	**Green (On Track)**
ACTION UPDATE:	Primary schools purchasing the existing Data Protection Compliance Support SLA have received a wealth of policy and procedural documentation, training and support with compliance. This has been very well received by schools. The SLA currently in place will cease in September 2019 after which a new enhanced offer, including a shared Data Protection Officer will be made available to schools. Consideration will be made by Democratic Services as to whether this offer can be extended to Secondary Schools in quarter 3.												
DS/IT036	Undertake refresher training on GDPR and information sharing for all relevant staff.	☑	☑	☑	☑			☑	☑	☑	TC	March 2020	**Green (On Track)**
ACTION UPDATE:	Officer discussions have been held regarding the planned roll out of training for staff. Refresher training using iDev with the target for completion by December 31st, 2019, and an annual refresher every year thereafter.												
DS/IT051	Review the Vale of Glamorgan's Retention Policy.	☑	☑	☑	☑			☑	☑	☑	TC	March 2020	**Red (Slipped)**
ACTION UPDATE:	This work is intended to be undertaken late Summer with it anticipated to outturn on target by the year end.												
RM/IT031	Work with the other Social Services divisions to support compliance with GDPR practice.	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2020	**Green (On Track)**
ACTION UPDATE:	Privacy notices for Adults, CCYPS and RMS completed with easy read versions as well. Working with information governance to identify locations for the public to access this information regarding the VoG website												

Appendix 7 Corporate Risk 7: Environmental Sustainability

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	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. The key risk relates to our failure to mitigate against the impact of climate change. 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. Following the publication of the Inter-governmental Panel on Climate Change's (IPCC) Special Report on Global Warming of 1.5 C, the Welsh Government declared a Climate Emergency in Wales in April 2019. In response to this, the Leader and Deputy Leader submitted a motion to full Cabinet stating that the Council should also seek to declare a climate emergency in the Vale of Glamorgan. This motion was upheld by Full Council on 29th July 2019 with 29 votes in favour of the motion, 1 vote against and 14 abstained. As part of this commitment the Council resolved it will: - Reduce its own carbon emission to net zero before the Welsh Government's target of 2030 and will support the implementation of the Welsh Government's new Low Carbon Delivery Plan, to help achieve the Welsh Government's ambition for the public sector in Wales to be carbon neutral. - Make representations to the Welsh and UK Government's, as appropriate, to provide the necessary powers, resources and technical support to local authorities in Wales to help them successfully meet the 2030 target. - Continue to work with partners across the region to develop and implement best practice methods that can deliver carbon reductions and help limit global warming.

	Work with local stakeholders including Councillors, residents, young people, businesses and other relevant parties to develop a strategy in line with a target of net zero emissions by 2030 and explore ways to maximise local benefits of these actions in other sectors such as employment, health, agriculture, transport and the economy.

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**
Political & Legislative	Yes	Failure to meet legal duties in relation to the Flood and Water Management Act. Inability to meet Welsh Government requirements for Statutory Transport Guidance as it relates the Active Travel and Learner Travel Wales. Failure to define our vision, ownership and responsibility for addressing climate change issues. Inability and capacity of the Council and its key partners to work effectively together to meet its climate change commitment by 2030 and contribute to the climate change agenda locally. Failure to fully utilise our land use planning framework and other policy levers to become more resilient to climate change and its effects.
Resources	Yes	Limited asset renewal funding could result in the Council not being able to meet its CO_2 reduction target set out in the Carbon Management Strategy and Implementation Plan. Increased pressure on limited resources as a consequence of increased areas of maintenance. Insufficient funding availability to fully implement programmes/initiatives to reduce our carbon footprint.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Annually shrinking budgets will impact negatively on consistently achieving high standards of cleanliness of the local environment. Impact of our failure to meet our commitments under the CRC Energy Efficiency Scheme and its associated financial benefits. Council incurs fines as a result of failing to meet statutory waste reduction targets.
Service Delivery and Wellbeing	Yes	Failure to deliver key flood alleviation schemes across the Vale and exposing flood prone areas to a greater risk of flooding. Failure to implement the Shoreline Management Plan impacting on our ability to monitor and manage coastal erosion. Failure to reduce our carbon foot print by not reducing our CO_2 emissions and improving our energy efficiency. Disruption and financial cost of flooding to homes and businesses. Failure to engage and encourage to residents to participate in Active Travel (use alternative forms of transport to the car). 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. The impact new developments places on putting in place a sufficient public transport infrastructure. Failure to fully deliver the Carbon Management Plan. 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).
Reputation	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**
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	3 (Probable)	4 (Catastrophic)	**12 (High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**9 (Medium/High)**
Reputation	3 (Probable)	4 (Catastrophic)	**12 (High)**
Overall Inherent Risk Score	3 (Probable)	4 (Catastrophic)	**12 (High)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Supplementary planning guidance on sustainable development in new builds is in place. • Planning Policy Wales has been updated to take account of the future generations Act • Development Management – ensuring decisions on new development proposals have regard to sustainability. • The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment) • Insight Board • Submit bids to Welsh Government for any Environment Grants to implement environmental and countryside programmes locally.	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• The Corporate Plan 2016-20 sets out our priorities relevant to promoting and enhancing sustainability. • Implementation of the requirements of the Environment Act 2016. • A Regional Transport Authority to govern and promote transport matters including Active Travel. • Motion has been passed by Full Council declaring a 'Climate Emergency' in the Vale of Glamorgan and our commitment to reducing our carbon emissions to net zero.			
Resources	• Development of updated Carbon Management plan (CMP) • Space Programme and Asset Management Strategy • Insight Board • Automatic meter readings for utilities for all Vale owned buildings. • 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. • Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel. • Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally. • Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally. • 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. • Council owned & leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term.	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Vehicle & plant applications are being reviewed at the time of purchase; in-line with the needs of the department. • New vehicles have been purchased in-line with current environmental and health & 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. • 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.			
Service Delivery & Well-being	• Prioritise maintenance in all council services – including gritting, drainage, etc. • Sustainable procurement outlined in procurement guideline documents • Green travel plan established and publicised to all staff • Active Travel – ensuring walking and cycling routes are provided • Internal and external publicity for individuals and organisations on how to reduce gas emissions • 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 monitor changes in coastal waters and coastal erosion. • BREEAM standard for major projects e.g. schools/Extracare • Local Biodiversity Plan • Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation. • Work underway on the delivery of a Flood Alleviation Scheme at Boverton and Llanmaes. • The Vale of Glamorgan Local Development Plan (LDP) 2011-2026 was adopted by full Council on	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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. • 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. • Planning policy Wales has been updated by Welsh Government and will focus on sustainable development. • Welsh Government is currently consulting on the National Development Framework as a strategic tool to direct more sustainable development. • All Active Travel maps have been completed and published. The Council is seeking finance to implement routes where opportunities arise. • 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. • 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 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. • Ten of our Parks, eight urban parks and two Country Parks have been awarded Green Flag Status. Penarth Marina,			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	Southerndown and Whitmore Bay have maintained their Blue Flag status. We have successfully maintained our Seaside Awards for Jackson Bay and Cold Knap. • 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. • Council promotes the 'All Wales Concessionary Travel Scheme' and the 'My Travel Pass' on digital platforms. • Recruited volunteers to assist in the delivery of transportation initiatives. • Investment of S106 monies have improved walking and cycling access. • Delivered a programme of Biodiversity Projects funded by the Welsh Government's Single Environment Grant.			
Reputation	• Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns. • Provision of child pedestrian and cycling training in Vale schools. • Promotion of Active travel. • Work with our Environmental Enforcement Partner (3GS), who supports us in raising awareness of keeping our local communities clean and litter free. • Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision making processes.	1	2	2
Overall Effectiveness of Controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & 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	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	↔	↔
Average risk score/ direction of travel	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			
NS/A054	Continue to improve Active Travel highway network.	☑	☑	☑	☑	☑	☑	☑	☑	☑	ER/KP	March 2020	**Green (On Track)**
ACTION UPDATE:	Welsh Government funding and Section 106 monies is being used to improve the Active Travel network. In addition, Q2 will see a Cycle Hire scheme tender with a similar venture to Next Bike in Cardiff being piloted in the Penarth area (funding for the scheme coming from the Penarth Heights development S106 sustainable transport contribution).												
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 2020	**Green (On Track)**
ACTION UPDATE:	The Welsh Government have agreed circa £100k for Active Travel Integrated Network Map audit improvements and S106 continues to be used to improve Active Travel routes.												
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 2020	**Green (On Track)**
ACTION UPDATE:	This is being picked up under the Penarth to Cardiff barrage sustainable transport studies that are being undertaken by Consultants, Capita. The WelTAG Stage 2 work is currently out for public consultation and Welsh Government have granted funding to undertake Stage 3 (full business case).												

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			
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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MC/CH/KP	March 2020	**Green (On Track)**
ACTION UPDATE:	The use of Section 106 sustainable transport contributions on top of Active Travel funding from WG are allowing for a number of improvements to be made this financial year.												
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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MC/KP	March 2020	**Green (On Track)**
ACTION UPDATE:	Consultants, WSP, are near to completion of a study looking at feasibility and basic design of the walking/cycling route from Dinas Powys to Barry. Once complete the Council's internal Design and Construction department can look to put a detailed final design together - WG funding permitted.												
ER15 NS/A063	Implement the conversion of non-LED lighting to LED lighting on main roads.		☑	☑		☑		☑	☑	☑	MC/CS	March 2020	**Green (On Track)**
ACTION UPDATE:	Procurement of a specialist street lighting consultant is ongoing via ESPO framework to determine the specification of up to four typical LED lanterns to be used in conversion of main road street lights to LED. The current programme is to complete the LED specification and undertake procurement of the LED lanterns / specialist installer through Q2 with installation planned to commence in Q3 subject to any lead-in periods for equipment required. Salix have been												

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			
	updated on the current programme and have in conjunction with Welsh Government recently agreed a six-month extension to the original programme to assist with slippage on the overall project plan.												
NS/A056	Continue to maintain the Greenlinks Community Transport Service.		☑	☑		☑	☑	☑	☑	☑	KP	March 2020	**Green (On Track)**
ACTION UPDATE:	The Green link service continues to be provided to those who are unable to access regular public transport.												
NS/A009	Seek further opportunities to recruit volunteers for transportation initiatives.		☑	☑		☑	☑	☑	☑	☑	KP	March 2020	**Green (On Track)**
ACTION UPDATE:	A number of new volunteers have been recruited to the Greenlinks service. However, the vast majority wish to drive cars as opposed to larger minibuses. This does give less options when route planning but still allows the service to run.												
NS/A059	Continue to promote the Welsh Government Concessionary Travel Scheme.		☑	☑		☑	☑	☑	☑	☑	KP	March 2020	**Green (On Track)**
ACTION UPDATE:	This is an on-going using the Council's social media platforms. Additional work has also been undertaken in conjunction with Welsh Government as part of the card renewal process that is being undertaken in the latter part of this 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			
NS/A064	Review our existing fleet with a view to purchase new vehicles (from the Neighbourhood Replacement Fund) in line with current EU Environmental Standards including the ability to operate on alternative fuel modes.	☑	☑	☑	☑				☑	☑			**Green (On Track)**
ACTION UPDATE:	All vehicles and plant equipment that has and is being purchased, leased or hired during this financial year meet current EU emission standards. In addition to this the purchasing of vehicles/plant with alternative fuel options have been explored prior to the purchase of any diesel engine models. On selecting a diesel vehicle this vehicle is then run on 5% biodiesel.												
NS/A030	Monitor the changes in coastal waters and coastal erosion at Penarth in accordance with the Shoreline Management Plc.		☑	☑	☑	☑	☑		☑	☑	MC/CM	March 2020	**Green (On Track)**
ACTION UPDATE:	The collection of wind, wave and tide data at Penarth remains 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 www.channelcoast.org. A detailed scanner survey of Penarth shoreline is planned by end of Q2 to maintain contemporary records and enable monitoring of coastal waters and erosion in this area.												
NS/A031	Complete the delivery of the Llanmaes Flood Alleviation Scheme	☑	☑	☑	☑	☑		☑		☑	MC/CM	March 2020	**Green (On Track)**
ACTION UPDATE:	The modelling of the catchment is completed, and design 'optimisation' of the preferred scheme is ongoing to address highway works constraints within the village. This will likely require additional works above the village to divert flows and increased land take. Liaison with NRW and final design is now planned to be completed by end of Q2 with construction currently programmed to commence in Q4, subject to resolving land take requirements and obtaining all necessary consents, permissions and approval of future grant application to fund scheme via Welsh Government.												

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			
ER19 NS/A032	Apply for Blue Flag awards for Penarth Marina, Whitmore Bay and Southerndown.			☑	☑	☑			☑	☑	JW/CS	June 2019	**Green (completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Blue flag awards have been awarded for Southerndown and Penarth Marina.												
NS/A033	Apply for seaside awards for Jackson's Bay and Cold Knap, Barry.			☑	☑	☑			☑	☑	JW/CS	June 2019	**Green (completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Award received for Jacksons Barry, Cold Knap and Whitmore Barry.												

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			
NS/A077	Apply for eight Green Flag awards at key urban parks throughout the Vale of Glamorgan.		☑	☑	☑		☑	☑	☑	☑	DK/AS	July 2019	**Green (completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	8 Green Flags applied for and retained, plus Porthkerry and Cosmeston (therefore 10 within the VoGC). The full results were officially announced on 16th July via KWT but for info the Vale of Glamorgan have in total 25 Green Flags (which inc. community Green Flags plus Barry Town Council), this is joint top with Cardiff Council.												
RP/A096	Apply for two Green Flag awards at Cosmeston Country Park and Porthkerry Country Park in the Vale of Glamorgan.		☑	☑	☑		☑	☑	☑	☑	PC	July 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
3. Risk Management Plan – Mitigating Actions													
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Green Flag Awards were applied for an awarded in relation to our two Country Parks, Porthkerry and Cosmeston.												
RP/A108	Deliver a range of improvements to the Wales Coastal Path in the Vale.	☑	☑	☑	☑	☑	☑	☑	☑	☑	PC	March 2020	**Green (On Track)**
ACTION UPDATE:	Grant funding has been acquired and project works identified. First annual clearance cut undertaken. Tender documents submitted to Sell2wales with regard to project work.												
RP/A1016	Enhance and protect the local biodiversity and habitats through the Communities Act and land use planning system.	☑	☑	☑	☑	☑		☑	☑	☑	VR	March 2020	**Green (On Track)**
ACTION UPDATE:	Biodiversity matters are addressed on a case by case basis through planning applications e.g. application 2019/00355/FUL secured biodiversity enhancements.												
RP/A1017	Co-ordinate delivery and report on corporate actions against the Biodiversity Forward Plan.	☑	☑	☑	☑	☑		☑	☑	☑	PC	March 2020	**Green (On Track)**
ACTION UPDATE:	Draft cabinet report, consultation and departmental targets written and agreed. Report to be submitted 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			
FIT/A005	Continue to meet our commitments under the CRC Energy Efficiency scheme and achieve annual certification.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DP	March 2020	**Green (On Track)**
ACTION UPDATE:	Final checks on figures required, but data collection is 95% complete. Application for One-time passcode submitted. This will allow the sale of remaining allowances. The drop-in conversion factors as the grid is "greened" and our own energy use reductions is the reason for the spare allowances.												
FIT/A006	Implement the Re:fit (energy efficiency improvement) programme across the Council and work with services to ensure they benefit from the scheme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DP	March 2020	**Amber (Minor slippage)**
ACTION UPDATE:	Refit contractor is missing deadlines. We are monitoring and challenging the contractor. We can make more Refit projects work through more collaboration in cases where the 8-year payback can't be met.												
FIT/A011	Work with colleagues across the Council to achieve the new targets in the Vale of Glamorgan Council Carbon Management Plan 2018-22.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DP	March 2020	**Green (On Track)**
ACTION UPDATE:	Further work has been undertaken on the viability of introducing Electric vehicles with the transport team. Interaction with schools is being undertaken to improve the management of their heating controls. Work is ongoing with the mechanical services team to improve the specification of the most recent boiler replacements. Further work has been undertaken on the viability of establishing a low carbon heat network in Barry.												

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. Full implementation commenced in the Vale of Glamorgan from October 2018, however the full impact has not yet been full realised in this area. 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**
Political & Legislative	Yes	Failure to ensure service continuity during the transitional period due to poor project planning resulting in political and legislative repercussions.
Resources	Yes	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. Changes in welfare reform are likely to impact on the resourcing and workforce needs/requirements for delivery of the programme. 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. Failure to effectively administer welfare benefits resulting in inaccurate payments.
Service Delivery and Wellbeing	Yes	Failure to safeguard principles of social inclusion as a result of welfare reform. Welfare reform could have a detrimental impact on service user's finances and affect their ability to sustain tenancies and pay bills. 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. Poor communication of the welfare reform changes to clients could result in them getting into debt.
Reputation	Yes	Poor implementation of welfare reform measures having an adverse impact on equalities commitments and our reputation as a Council. 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.

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

Reputation	4 (Almost certain)	3 (High)	**12 (High)**
Overall Inherent Risk Score	4 (Almost certain)	3 (High)	**12 (High)**

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Identification and prioritisation of key risks associated with welfare reform. • Progress reports are monitored by Scrutiny Corporate Performance and Resources. • 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. • DWP Partnership Group and Overarching Housing Forum monitors the implementation of UC and address any issues.	2	2	4
Resources	• Budgets have been allocated to deal with expected impact of homelessness and rent arrears. • Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes. • Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed. • Impact of the Council Tax Reduction Scheme and future WG funding reviewed. • 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) • Impact of the introduction of the benefits cap reviewed and reported. • 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.	2	2	4

2.2 Controlling Inherent Risk		Effectiveness of controls		
Category	Current Controls	Likelihood Score	Impact score	Total Score
Service Delivery & Well-being	• Improved the management and access to and use of Discretionary Housing Payments. • 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. • 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. • 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. • 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. • 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. • 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 • The council 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	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	along with other places to get further information and help. • 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. • 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. • The Supporting People Team provide support over 3,000 individuals with a variety of housing-related issues which also includes welfare reform support. The service also offers weekly 'drop in' services for citizens to obtain immediate advice and support. An additional service has also been established that operates on a weekly basis in Barry College that is aimed at students.			
Reputation	• Council's website is updated with information guides on Welfare Reform for Vale residents.	2	2	4
Overall Effectiveness of Controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & 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	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	↔	↔
Average risk score/ direction of travel	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			
FIT/A001	Continue to support the roll out of Universal Credit in the Vale of Glamorgan in line with the Department of Work and Pensions (DWP) timescales.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CL	March 2020	**Green (On Track)**
ACTION UPDATE:	All targets set by the DWP for digital and budgeting support were completed in Quarter 4 for 18/19. Ongoing these no longer need to be completed by us as an LA as CAB are now commissioned to undertake the work. We continue to work alongside the DWP and act in accordance with the DWP legislation for Universal Credit only accepting claims from those who are exempt from claiming it. We also ensure Housing Benefit claim are cancelled correctly when we are notified of Universal Credit claims and send the notifications back to DWP to confirm the action we have taken and notify them of any overpayments to recover due to the cancellation.												
FIT/A009	Signpost applicants to enable them to fully access support on the new digital service for Universal Credit applications.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CL	March 2020	**Green (On Track)**
ACTION UPDATE:	Applicants are signposted for help at Citizens Advice Bureau if they need additional assistance for helping to claim UC as access is all online. If they just require access to a PC or WIFI customers are signposted to the libraries where they can access these services.												
FIT/A010	Continue to work with colleagues across the Council to raise awareness of Welfare Reform changes, along with coordinated money advice and employment initiatives in order to maximise rental income and reduce rent arrears.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CL	March 2020	**Green (On Track)**

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:	FIT/A010: We continue to update the website for any changes for Welfare reform and ensure that relevant departments are made aware of these changes to ensure that they can support the customers they deal with. We liaise with the money advice team and ensure they remain updated on any welfare reform changes that we receive. We also refer/ signpost customers who are struggling or need support to the money advice team in order that they can give them the additional support that they require to help them keep their tenancies.												
HS/A075	Explore the potential of a Vale-wide/regional time-banking scheme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI	March 2020	**Green (On Track)**
ACTION UPDATE:	HS/A075: A number of meetings have taken place including with colleagues from Public Health Wales and Children Services- to discuss potential for joint working and to expand Time banking in the Vale. In addition, a workshop event has been held with Public Service Board partners, to hear more detailed feedback from volunteers (about the benefits and impact Time banking is having on them personally and their communities) and to discuss ideas and options for expanding the scheme in the Vale. A number of ideas have been put forward and these are currently being reviewed with a view to going back to the PSB to agree a way forward. In the meantime, the Time banking scheme continues to operate for Council tenants and is delivering great results.												
HS/A076	Develop a co-ordinated approach to tackling fuel poverty recognising the expertise and contribution of Registered Social Landlords towards achieving this goal.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI	March 2020	**Red (Slipped)**
ACTION UPDATE:	No progress has been made yet in terms of establishing a group or coordinated approach to tackling fuel poverty. This will be prioritised in the next three 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			
HS/A078	Monitor the impact of the implementation of managed migration to Universal Credit through formalised multi-agency working groups and regular updates to Homes and Safe Communities Scrutiny Committee.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI	March 2020	**Green (On Track)**
ACTION UPDATE:	A number of groups currently meet regularly to review the impact of UC and resolve any local issues experienced. These include the UC Partnership Group, chaired by the DWP, a landlord's group, a group chaired by the local AM. In addition, UC roll out is discussed at Council Managers meetings and Scrutiny Committee. There is effective partnership working, however some of the concerns are related to the way UC is administered nationally by the DWP e.g. the way direct payments are processed and paid to landlords, the lack of information available to landlords via landlord portal etc. Lastly, inherent issues like the way UC is paid in arrears, means that there have been increases in arrears levels. The impact will continue to be monitored closely and the Income team will continue to work closely with tenants to assist them to minimise their arrears.												
HS/A079	Review the capacity of the Money Advice Team and existing Money Advice Service to target tenants claiming Universal Credit to ensure the provision of timely assistance to those in receipt of Universal Credit.	☑	☑	☑	☑			☑	☑		PT	March 2020	**Green (On Track)**
ACTION UPDATE:	The Money Advice scheme is now fully resourced, and the three Advisors are fully trained to deliver an extensive range of Money Advice services to Council tenants. Some of this assistance is targeted towards Universal Credit claimants and there are processes in place for Advisors to contact people who go onto the benefit and provide the appropriate advice and assistance. Up to this point the Money Advisors have continued to support UC claimants, however as more claimants migrate across, the Income Assistants are picking up the rent account monitoring as part of the standard arrears process. Whilst the Money Advice team are dealing with a large caseload, cases are prioritised, and tenants are not having to wait longer than a week for an appointment.												

CR8: Welfare Reform

Appendix 9 Corporate Risk 9: Public Buildings Compliance

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	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. 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. 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. 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. 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.

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

1.3 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	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.
Resources	Yes	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.

Budgetary pressures impacting on the availability of asset renewal funding will impact on how the Council prioritises and meets its building compliance obligations.

Failure to adopt a strategic approach to the management of building compliance in relation to our existing Council-owned assets.

Insufficient resources available to effectively, monitor, prioritise and project manage completion of building compliance work. |
| *Service Delivery and Wellbeing* | Yes | Failure to fully deliver our building compliance responsibilities.

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.

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.

Inability to sustain service delivery/business continuity from premises as a result of an incident associated with non-compliance. |
| *Reputation* | Yes | 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.

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. |

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact Score**	**Total Score**
Political & Legislative	• Regular reporting of progress/updates via Insight Board, CMT and Schools Operational Investment Board. • Regular operational meetings with project team.	2	2	4
Resources	• Successful appointment of a Compliance Officer and two administrators. • Effective mechanism for the collection of compliance data from schools. • Process/mechanism established for the collection/reporting of data from Schools. • Discussions regarding cost mechanisms for service are ongoing. • IPF database has been populated and relevant paperwork scanned onto the system. • 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. • Schools who have signed up to an agreement with us and are charged a	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact Score**	**Total Score**
	'minder's fee' for compliance. Any school not signed up to this are subject to regular monitoring visits.			
Service Delivery & Well-being	• Site visits are conducted on all school sites and corporate (Council owned) assets where Corporate Compliance team have been engaged. • 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. • Officers are working with individual sites to address any issues which have been identified during the visits. • Regular reminders sent to duty holders of premises for up and coming services/inspections. • Inventory for Social Services assets has now been completed to provide full picture of compliance in relation to Social Services.	2	2	4
Reputation	• The response from schools and other sites has been very well received and better than expected.	2	2	4
Overall Effectiveness of controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & Direction of Travel											Direction of Travel	Forecast Direction of Travel
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score					
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		⬌	⬌
Average risk score/ direction of travel	3	3	9	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			
	Create a Master List of all public buildings along with a 'weighting' formula for recharging compliance data management costs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AT/MS	March 2020	**Green (On track)**
ACTION UPDATE:	Working group meetings are ongoing to progress this and Welsh Government are looking at potential savings through service review (reshaping).												
HS/F055 HS/F060	Review funding arrangements to ensure long term building compliance sustainability.	☑	☑	☑	☑				☑	☑	AT	March 2020	**Green (on track)**
ACTION UPDATE:	Initial meetings have taken place and costs have been established. Further project meetings are planned to progress this task. Working group still meeting and looking at potential savings through service review (reshaping).												

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			
HS/AM058	Continue to develop and improve the management of compliance, and in particular, 'compliance data' in relation to the Council's corporate building stock.	☑	☑	☑	☑			☑	☑	☑	AT	March 2020	**Green (On Track)**
ACTION UPDATE:	Work continues to review and collate this information. Through our assessments we have a good understanding of site requirements. Sites are continuously reviewed to ensure base details have not changed as part of an annual cycle.												
HS/AM059	Monitor corporate building compliance within schools to raise awareness with premises managers of any compliance risks.	☑	☑	☑	☑			☑	☑	☑	AT	March 2020	**Green (On Track)**
ACTION UPDATE:	There are no problems to report and site managers are cooperating with the team. Sites are continuously reviewed to ensure base details have not changed as part of an annual cycle.												

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/AM053	Maintain and report an up to date position in respect to building compliance in relation to the Learning & Skills Directorate's building assets and within schools.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020	**Green (On Track)**
ACTION UPDATE:	Consideration of the current position relating to individual school compliance is now reported monthly by the Operational Manager for Building Services to the Directorates School Investment Operational Board. The impact of this new reporting framework is being measured by the Board.												
SL/AM069	Trial mechanisms for operational support to primary schools in relation to building compliance funded via schools.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2020	**Green (On Track)**
ACTION UPDATE:	Non-compliance letters are sent to Headteachers where records indicate certification has lapsed, and these are copied to the Operational Manager for Strategy and Resources for consideration. The effectiveness of this will be considered by the School Investment Operational Board in quarter 3.												

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			
FIT/AM054	Support the monitoring of corporate building compliance data including supporting managers to use the CIPFA (IPF) asset management system to record asset information.	☑	☑	☑	☑	☑	☑	☑	☑	☑	LC	March 2020	**Green (On Track)**
ACTION UPDATE:	Regular meetings and contact with the compliance team and other key officers in teams such as Health and Safety continues. A dedicated in-box has been established for all client sites to forward electronic documents which are then loaded onto IPF.												
RM/R036	Review the effectiveness of corporate buildings compliance that sits within the Social Services Directorate.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/MJ	March 2020	**Green (On Track)**
ACTION UPDATE:	Bi monthly meeting with Compliance department. Meeting conducted with Health to address issues where co-locating. Legal position determined re lease arrangements where Vale landlord and training package reviewed for supported accommodation in preparation of training 'roll out'.												

Appendix 10 Corporate Risk 10: Safeguarding

1 – Risk Overview	
1.1 Risk Description	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. 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. 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.

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**
Political & Legislative	Yes	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. 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. Inability to implement safeguarding requirements of the Social Services and Well-being (Wales) Act 2014. Our Corporate Safeguarding procedures are insufficient, not followed or are ineffective. 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.
Resources	Yes	Recruiting managers are not sufficiently trained to apply the relevant safeguarding procedures resulting in these procedures being breached. Inability to provide levels of training for staff or independent sector to ensure quality of care for citizens provided by Council. Failure to safeguard vulnerable groups as a result of recruiting unsuitable staff. Failure to have suitable information sharing mechanisms in place to ensure safeguarding concerns are reported to the right people at the right time. Insufficient operational staff capacity to ensure timely assessments and risk management plans are completed. 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. Availability of other partners to support the preventative services agenda.
Service Delivery and Wellbeing	Yes	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.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Domiciliary care providers are unable to provide a high quality standard of service to our residents. Failure to put in place appropriate safeguards for children, young people and adults at risk resulting in potential harm/injury.
Reputation	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**
Political & Legislative	2 (Possible)	3 (High)	**6 (Medium)**
Resources	3 (Probable)	3 (High)	**9 (Medium/High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**9 (Medium/High)**
Reputation	2 (Possible)	4 (Catastrophic)	**8 (Medium/High)**
Overall Inherent Risk Score	3 (Probable)	3 (High)	**9 (Medium/High)**

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• 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. • Contribute to the national ongoing, cyclical review of the All Wales Protection procedures. • Attend meetings of the All Wales Safeguarding Management Group and contribute to national developments. • Build and develop on the Regional Safeguarding Boards model. • Work with the Regional Safeguarding Boards, the Council's Corporate Safeguarding Steering Group and schools to deliver our safeguarding responsibilities. • 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. • Six monthly reporting to Cabinet of application of the safer recruitment policy and corporate safeguarding arrangements. • 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. • Child Practice Review and Adult Practice Review Sub-groups are well established. On an ongoing basis, thematics from these groups are collated and presented to the Safeguarding Board to inform the work programme of the Safeguarding Board sub-groups.	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Resources	• 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. • 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. • Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable people. • 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. • Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy. • 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. • 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.	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• 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. • Staff continue to be supported via training sessions to ensure all staff are trained in the four core modules of the new Act. • 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. • The i-Dev mandatory module for Safeguarding was rolled out to all Vale of Glamorgan employees in November 2017. • 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.			
Service Delivery & Well-being	• Provider Performance Protocol procedures are embedded in relation to the managing of commissioned services. • Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely and appropriate action. • Obtain the views of children and vulnerable adults/their families and implement protocols in respect of neglect and child sexual exploitation.	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• A Child Sexual Exploitation Strategy has been developed and a Sexual Exploitation Risk Assessment Framework referral process is in place. • Information sharing protocols are in place and used appropriately. • 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. • 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.			
Reputation	• Obtain the views of children and vulnerable adults/their families and implement protocols in respect of neglect and child sexual exploitation. • Information sharing protocols are in place and used appropriately.	3	1	3
Overall Effectiveness of Controls		**3**	**2**	**6**

2.3 Residual Risk Scoring & Direction of Travel										Direction of Travel	Forecast Direction of Travel
	Inherent Risk Scores			**Effectiveness of controls Score**			**Residual Risk Score**				
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	⬌	⬌
Average risk score/ direction of travel	3	3	**9**	3	2	**6**	1	3	**3 (Medium /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			
RM/A045	Lead the review and update of the All Wales Safeguarding Procedures in line with the Welsh Government Guidance with the Regional Safeguarding Business Unit.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ	March 2020	**Green (On Track)**
ACTION UPDATE:	Final stages of this project. Procedures launch date is November 2019.												
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.	☑	☑	☑	☑	☑		☑	☑	☑	NJ (All Council Director ates)	March 2019	**Green (On Track)**
ACTION UPDATE:	Review of Corporate Safeguarding Policy is underway. Development of training matrix and self-assessment tool will assist with monitoring compliance. Communications exercise to take place to ascertain level of awareness of roles within CSG and the Corporate Safeguarding Policy												
RM/A046	Review compliance of all Directorates with completion of the Safeguarding e-module.	☑	☑	☑	☑	☑		☑	☑	☑	NJ	March 2020	**Green (On Track)**
ACTION UPDATE:	OM for Safeguarding and the Organisational Development service are reviewing compliance rates and implementing mechanism for reviewing those without access to i-Dev.												

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			
RM/A011	Develop and implement training workshops for staff in respect of safeguarding enquiries relating to Adults at risk.	☑	☑	☑	☑			☑	☑	☑	NJ	October 2020	**N/A not due yet**
ACTION UPDATE:	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).												
RM/A048	Contribute to the development of a Regional Exploitation Strategy that encompasses all aspects of exploitation including Child Sexual Exploitation.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NJ	March 2020	**Green (On Track)**
ACTION UPDATE:	Development of the strategy is progressing well, with an anticipated launch in September 2019.												
RM/A049	Implement a Data Dashboard in relation to exploitation.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NJ	March 2020	**Amber (Minor Slippage)**
ACTION UPDATE:	Awaiting strategy launch to ascertain what data will be required within the dashboard. Liaising with corporate partners in relation to additional data held outside of this directorate.												

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			
RM/A052	Delivery of the Regional Safeguarding Board's work priorities for 2019/20.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ	March 2020	**Green (On Track)**
ACTION UPDATE:	All action holders are working towards the priorities identified within the annual plan for both adults and children regional safeguarding boards.												
RM/A053	Contribute to the implementation of recommendations arising from the findings of the Child Practice Reviews and Adult Practice Reviews.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ	March 2020	**Green (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The Child Practice Review and Adult Practice Review Sub-groups are well established. Thematics from these have been collated and presented to the Safeguarding Board, which will inform the work programme of the other Safeguarding Board sub-groups in order to define our areas of focus.												
RM/A054	Progress the strategic development of Adult Safeguarding Practice.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ	March 2020	**Green (On Track)**
ACTION UPDATE:	This is ongoing. New referral form has been developed awaiting feedback and agreement from partner agencies prior to implementation. Pathway documents and business process have been developed and planned events to raise awareness across adult services teams are taking place.												

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			
HR/A016	Review and maintain the Council's Safer Recruitment Policy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AU/AW	March 2020	**Green (On Track)**
ACTION UPDATE:	Regular reports and updates are provided to Cabinet and CMT concerning the application of the safer recruitment policy throughout the Council and relevant schools. Overall compliance for both Corporate and Schools was 96% (this compares to 95% in 2017/2018). This is consistent with previous years. During Q1 schools were consulted on the current recruitment process following which changes will be implemented in Q1 and 2 to improve compliance outturns. The consultation included strengthening the escalation process and that the Risk Assessment form/process should only be used in exceptional circumstances. An audit was undertaken during Q4 by the Wales Audit Office (WAO) to review the safer recruitment practices in the Council. The actions following the WAO Safeguarding audit during Q4 depending on the outcome may require additional work later in the year.												
AA/A043	Provide appropriate staff training in relation to safeguarding in all education settings and continue to monitor and challenge compliance.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2020	**Green (On Track)**
ACTION UPDATE:	A training programme is well established, and a monitoring framework has recently been strengthened. Compliance with training requirements is monitored on a monthly basis at DMT.												

Appendix 11 Corporate Risk 11: Integrated Health and Social Care

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	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. 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. 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&V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by Swansea Bay University Health Board. Integration with C&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. .This first bid focussed primarily on older persons. £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). Additionally, we have been able to secure continued funding for ICF projects and develop some new under slippage/new monies.
1.2 Risk Owner	**Head of Adult Services (SC)**

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
Political & Legislative	Yes	Inability and capacity of key partners to work effectively together to deliver integrated health and social care services across the region. 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.
Resources	Yes	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. Inability of staff to work effectively across organisational boundaries to deliver the integrated health and social care programme, as a result of capacity of key team members whilst managing operational issues, and lack of experience in managing projects. Failure to implement a fully integrated IT information system that is accessible to staff across the health and social care organisational boundaries. Failure to agree pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny. Ineffective scrutiny of the utilisation and expenditure of pooled budgets. 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. 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.
Service Delivery and Wellbeing	Yes	Failure to maintain business continuity and strengthen service resilience as a result of changes made to service delivery models during the transitionary period.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics. Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services. Disproportionate funding split in relation to partners spending/commissioning of care arrangements impacting on the ability to deliver integrated health and social care services that meet the diverse needs of the community. 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. Failure to adequately resource the Customer Contact Centre for dealing with health and social care queries impacting on access to services and waiting times.
Reputation	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**
Political & Legislative	2 (Possible)	3 (High)	**6 (Medium)**
Resources	3 (Probable)	3 (High)	**9 (Medium/High)**
Service Delivery & Well-being	2 (Possible)	3 (High)	**6 (Medium)**
Reputation	2 (Possible)	3 (High)	**6 (Medium)**
Overall Inherent Risk Score	2 (Possible)	3 (High)	**6 (Medium)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Information Sharing Protocols developed and operational. • Integration of Health and Social Care is considered at all levels of the	3	3	9

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	organisation through the leadership group and the strategic implementation group. • Arrangements are reviewed through regular reports to Scrutiny Committee Healthy Living and Social Care Committee. • Significant changes to structure and staff arrangements are considered by Cabinet. • 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. • 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.			
Resources	• Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board. • Developed the ability to view both database systems via Vale IT. • Implemented WCCIS within the Vale of Glamorgan Council whilst awaiting regional implementation by partner organisations. • IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development. • Joint Commissioning Board meets regularly to progress work for pooled arrangements. • 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	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	line with the recommendations arising from the Parliamentary Review. • Regular quarterly data from Paris on the number of Health to Health transfers is being received. • Joint transition meetings booked in across Cardiff and Vale on a monthly basis to develop a joint transition protocol 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. • 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. • We have welcomed additional health staff into the Ty Jenner Hub and the Locality team and links with the PCIC Clinical Board are extended. • 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.			
Service Delivery & Well-being	• DEWIS Cymru Portal is providing more effective signposting for service users to adult services. • 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. • Reviewed and put in place new assessment processes and IT infrastructure to ensure compliance with the Social Services Wellbeing Act. • 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	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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. • 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 • The financial functionality of the system. We continue to support the implementation on a Regional basis and feed into the National team. • 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. • 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. • 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.			
Reputation	• Senior Officer and Councillor representation on the Regional Partnership Board.	1	1	1
Overall Effectiveness of Controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & 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	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	↔	↔
Average risk score/ direction of travel	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			
AS/A033	Implement the preferred option for the Customer Contact Centre as a single point of contact.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/TC	March 2020	**Green (On Track)**
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:	The Customer Contact Centre remains pivotal to the work of the Vale locality, Vale Adult Social care and regional community health services. Further work is developing on expansion of the Contact Centre/SPoA through securing both ICF and Transformation monies to ensure that we continue to meet the demands of our population and endeavour to support people at the earliest point through effective signposting. We have established an integrated Management Meeting between health social care and customer relations staff to explore opportunities to develop services. This mechanism is supporting the implementation of GP Triage Service roll out. A key focus of our work in supporting the development of this project involves contributing to the development of a knowledge database that can be used by frontline staff as prompts to support them in their role in the provision of information advice and signposting.												
PD/A039	Contribute to the delivery of the Our Well-being Matters agenda with a specific focus on the following during 2019/20: Work with Cardiff and Vale Health Board, Social Services and Telecare to develop services that meets the needs of our citizens.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TC	March 2020	**Green (On Track)**

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			
	Implement a new Contact Centre platform to improve the citizen experience of accessing services across a arrange of communication channels and measure satisfaction levels. Incorporate the principles of the Council's Digital Customer Strategy at the forefront of developing new integrated services.												
ACTION UPDATE:	The Customer Relations Team are a key contributor to the Well-being Project Board and Well-being Triage Project Board. The Integrated Management Team that Customer Relations are part of are working with the Telecare service to develop an online application service. The new contact centre platform will go live on 23rd September. In relation to incorporating the principles of the Council's Digital Customer Strategy, we continue to work closely with the Digital Customer Group to explore the feasibility of developing more integrated services options going forward.												
AS/A036	Pilot delivery of a GP triaging scheme within the Vale of Glamorgan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2020	**Green (On Track)**
PD/A040	Progress the Integrated Health and Social Care agenda with specific reference to the GP triage proposal.										TC		
ACTION UPDATE:	This is a Transformation Bid project, that involves working with GP Practices in the Eastern Vale to map demand for services. Ongoing data analysis and clinical models are being developed. We plan to implement the first operational phase in Qtr 3. The Customer Relations Team is continues to support the implementation of the GP triage project by proving assistance on capacity planning and contact centre technology.												

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/A037	Implement a joint Learning Disability Commissioning Strategy to ensure that we can effectively meet the needs and outcomes of our service users both now and in the future.	☑	☑	☑	☑	☑	☑	☑	☑	☑	LW	March 2020	**Green (On Track)**
ACTION UPDATE:	Strategy completed and signed off by Cardiff Cabinet, C and VUHB and being taken to Vale Cabinet on the 17th June. Launch of the Strategy is at an event on the 18th June. Implementation of the priorities identified within the Strategy will be managed through the LDPG and a series of workstreams. Reporting mechanisms on progress of these have been developed to tie in with quarterly reporting mechanisms.												
AS/A040	Implement a regional protocol to support transition processes across all of Adult Services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	LW	March 2020	**Green (On Track)**
ACTION UPDATE:	Draft protocol currently being consulted on across education, health SNAP and social services. Presented at the next Disability Futures Board now in September (July's has been cancelled). After which there will be a consultation process with parents and carers.												
AS/A041	Implement the 'Get Me Home' Plus service.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2020	**Green (On Track)**
ACTION UPDATE:	This service commenced in small numbers in Qtr1. Although there are difficulties as this has meant a change to on-call and introduction of potential shift patterns as an alternative. Trade Unions are engaged and we are working through the issues.												

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/A042	Implement a 'Team around an individual' approach to Dementia Services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2020	**Green (On Track)**
ACTION UPDATE:	The community navigators are now working in the locality, and recruitment is underway for the project, further opportunities to bid for ICF monies to be explored on regional basis for Qtr 2.												
AS/A043	Work with partners to develop a Vale Locality Model in response to the recommendations of the Parliamentary Review.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2020	**Amber (Minor slippage)**
ACTION UPDATE:	We have already fulfilled the requirements of the recommendations associated with the Parliamentary Review. The next stage involves expanding on this. A Project resource has been identified to develop this project further. Further progress anticipated in latter part of 2019/20.												
AS/A044	Explore the development of an integrated model for Long Term Care Service and Nurse Assessor Team at Ty Jenner.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2020	**Green (On Track)**
ACTION UPDATE:	Change in Locality personnel and high levels of sickness within the team will delay the planned consultation for Qtr 2, this will slip into Qtr 3. The consultation documents are written and ready to send. Workshops planned but not yet executed.												
AS/A045	Review opportunities for the development of clear Continuing Health Care Processes.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC/LW	March 2020	**Amber (Minor slippage)**
ACTION UPDATE:	There are clear processes in place for CHC funding to be requested. However, under reshaping we have planned to recruit to a senior social worker with emphasis on CHC to ensure that citizens we feel meet the CHC criteria are discussed and challenged with the UHB in a robust manner and retains momentum. Plans to recruit to this post in Qtr 3, recruitment active in qtr. 2.												
AS/IT053	Explore the use of technology to further enhance integration and communication with our partners.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2020	**Green (On Track)**

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 Vale locality is trying to minimise its travelling time to meetings by using video conferencing to 'attend' meetings. However, the two systems are not compatible at present and we are awaiting further information re workarounds.												
AS/C054	Pilot delivery of the co-location of Independent Living Officers	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2020	**Green (On Track)**
ACTION UPDATE:	This money is secured through the transformation fund. Officers plan to visit the Cardiff service to understand how this might be used within the Vale of Glamorgan - likely plans are to include as members of the third sector broker team to add a visiting element targeting those with low level needs to reduce the likelihood of accessing statutory services as they become resilient through their own communities and working with their strengths and networks.												
RM/A033	Implement outcome-based Residential Care/Nursing contract that is jointly developed with the University Health Board and Cardiff Council.	☑	☑	☑	☑	☑	☑	☑	☑	☑	GJ	March 2020	**Green (On Track)**
ACTION UPDATE:	Consultation period with providers and other interested parties has closed. Review of feedback to be undertaken by end of July 2019, with report to Scrutiny by end of October 2019.												
RM/A037	Continue the work of the Regional Steering Group (priorities set out in the Action Plan) and progress work as part of the Healthier Wales agenda.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/SM	March 2020	**Green (On Track)**
ACTION UPDATE:	The Regional Steering Group has made an ongoing commitment to support this work. New priorities have been agreed and a plan is in place to deliver of these over the coming year. Work streams have been established for advocacy, performance measures, carers, policies and procedures, and Dewis Cymru												
AS/A035	Review the effectiveness of the reablement model used in the Vale of Glamorgan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2020	**Green (On Track)**

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 project resource has been secured through grant funding to undertake this piece of work, alongside a review of the reablement unit. The review will commence in Qtr 2. However, significant work has been undertaken by the integrated manager to understand performance reporting and monitoring and as a consequence the inaccuracies of reporting previously have been rectified and show improving performance against the Welsh Government activity target.												
RM/A041	Undertake a formal review of existing pooled arrangements and where necessary put in place formal agreements.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ	March 2020	**Green (On Track)**
AS/AM044	Consider our assets in partnership with other partners to make best use of our pooled resources.										SC		
AS/AM041	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 the delivery of integrated health and social care services.										SC		
ACTION UPDATE:	RM/A041: Our pooled arrangements are reviewed and monitored as part of Regional Commissioning Board. AS/AM044/AS/AM041: A 'Shared properties' meeting has been established with UHB representation to ensure that where we have both UHB and Council staff within the premises that an appropriate agreement is in place regarding outlining responsibilities and roles. Additionally, we consider opportunities for using our collective assets more effectively and with developing further integration of services.												

CR11: Integrated Health and Social Care

Appendix 12 Corporate Risk 12: Unauthorised Deprivation of Liberty Safeguards

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1 – Risk Overview	
1.1 Risk Description	**Deprivation of Liberty Safeguards** 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 – *The Right to Liberty and Security*. 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)). 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 & 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. 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. **Deprivation of Liberty in 'Domestic Settings'** 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. 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.
1.2 Risk Owner	**Head of Resource Management and Safeguarding (AP)**

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
Political & Legislative	Yes	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. Political repercussions as a consequence of failing to adhere to the Deprivation of Liberty Safeguards.
Resources	Yes	Inability and capacity of key partners to effectively work together to safeguard adults who are at risk of deprivation of liberty. 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. Lack of suitably qualified staff to undertake best interest assessments within designated timescales. Increased demand for best interest assessments as a result of changes in law impacting on staff capacity and putting pressure on budget thresholds.
Service Delivery and Wellbeing	Yes	Failure to undertake assessments resulting in unauthorised deprivation of liberty that could have detrimental impact on the health and wellbeing of the individual. The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse. Implications arising from the Court of Protection associated with Deprivation of Liberty of people living in domestic settings. Failure to appropriately identify individuals living in domestic settings where authorisation from the Court of Protection should be sought. Excessive waiting times for an assessment impacting on unlawful deprivation of liberty.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
Reputation	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**
Political & Legislative	4 (Almost certain)	3 (High)	**12 (High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	4 (Almost certain)	3 (High)	**12 (High)**
Reputation	3 (Almost certain)	3 (High)	**9 (High)**
Overall Inherent Risk Score	4 (Almost certain)	3 (High)	**12 (High)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	Regular scrutiny and CMT reports to highlight the key issues affecting DOLs. The DOLs Management Board oversees DOLs development.	1	1	1
Resources	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. Findings & recommendations from the business improvement review have been adopted and implemented.	1	1	1
Service Delivery & Well-being	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	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	work will lead to the Cost effective commissioning of advocacy Services that meets the needs of service users.			
Reputation	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
Overall Effectiveness of Controls		**1**	**1**	**1**

2.3 Residual Risk Scoring & Direction of Travel										Direction of Travel	Forecast Direction of Travel
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score				
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	↔	↔
Average risk score/ direction of travel	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			
RM/A055	Delivery of the Deprivation of Liberty Safeguards (DoLS) Action Plan associated with the findings of the review.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2020	**Green (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Findings & recommendations from the business improvement review have been adopted and implemented.												
NEW ACTION	Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2020	**N/A** **Action not due**
ACTION UPDATE:	Preparatory work for this action will not commence until quarter 3 when it becomes clearer what the requirements of the new legislation will be.												
NEW ACTION	Implement, with the advice of Legal Services, the requirements of the Liberty Protection Safeguards.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2020	**N/A** **Action not due**

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:	Preparatory work for this action will not commence until quarter 3 when it becomes clearer what the requirements of the new legislation will be.												

Appendix 13 Corporate Risk 13: Transition to the Welsh Community Care Information System (WCCIS)

1 – Risk Overview	
1.1 Risk Description	The Social Services & 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.
	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.
	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.
	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.
	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, which has since been resolved. There were previously issues problems associated with performance reporting, but this has since been resolved as a significant amount of data cleansing work has been undertaken to verify the accuracy of the data. We have also upskilled our staff to create and design data and dashboard style reporting. The next phase of development will focus on exploring 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.

1.2 Risk Owner	Head of Resource Management and Safeguarding (AP)

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**
Political & Legislative	Yes	Political and legislative repercussions of failing to fully implement WCCIS across the Directorate fully within required timescales. 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. Failure of other regional partners to implement the system, thus not maximising the benefits of the systems particularly in relation to integrated teams.
Resources	Yes	Failure to fully maximise and mobilise our existing resources to ensure full implementation/development of WCCIS across the Directorate. Minimal resilience within the team to support the ongoing transition to the new system. Arising from the lack of staff capacity to support the transitionary 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. 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. ICT issues impacting on our ability to print newly developed forms post implementation of WCCIS. Limited skill resilience to extract and report relevant data from the system. Financial impact of contract renewal for sustaining a legacy system in line with the Council's retention policy.

1.3 Risk Categories		
Categories	**Yes/No**	**Definition**
Service Delivery and Wellbeing	Yes	Failure to fully develop WCCIS and its potential could impact the ability of service users to access services readily. Loss of data could impact of the delivery of key services as well as the impact this has on service users.
Reputation	Yes	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. 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.

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Initial launch/Go live has been successful. • Delivery of other development phases of the system are being monitored via operational meetings. • Regular reporting of progress/updates via Insight, CMT and Cabinet. • Regional partners have further delayed implementation of WCCIS.	2	1	2
Resources	• Identified Super users for the system maintain links with the national and regional team. • Successfully trained all staff on using WCCIS now that it is operational. • Training has been delivered on performance reporting and officers continue to access support from other local authorities to develop their expertise on the system. • Performance staff have attended SQL training to understand how to build performance related reports. • 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. • Appointment of a Senior Systems Support Officer who is responsible for progressing WCCIS project delivery.	2	2	4
Service Delivery & Well-being	• Directorate adheres to the Council's Information Management Strategy. • 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. • Data disclosure agreements in place with all other organisations that are using WCCIS. • Information Manager attends Information Governance Groups to ensure the IAA is signed and fit for purpose to give us an additional layer of protection. • Representatives Attend Regional and National Operational Meetings to identify	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	and discuss any operational issues with the system and impact on service delivery. • 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. • Introduced a 'clinic' for users to attend to discuss their forms etc. • Dashboards within WCCIS have been developed to enable staff to manage their own data have been completed. • A WCCIS Wizards Group for Superusers to help practitioners with the development of the system. • WCCIS Operational Group is in place that enables the identification and resolution of areas of concern.			
Reputation	• Effectively managed expectations and raised awareness with our Regulator (Care Inspectorate Wales) and Welsh Government regarding the limitations of data reporting during this transitionary period. • 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. • 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	2	1	2
Overall Effectiveness of Controls		**2**	**1**	**2**

2.3 Residual Risk Scoring & 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	4	3	12	2	1	2	2	3	6	↔	⬇
Resources	4	4	16	2	2	4	2	2	4	⬇	⬇
Service Delivery & Well-being	4	3	12	2	1	2	2	3	6	↔	⬇
Reputation	4	4	16	2	1	2	2	4	8	↔	⬇
Average risk score/ direction of travel	4	4	16	2	1	2	2	3	**6 (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			
RM/A043	Implement/pilot the use of the financial module in relation to WCCIS.	☑	☑	☑	☑	☑		☑		☑	AP/GJ	March 2020	**Green (On Track)**
ACTION UPDATE:	Project group established, meeting weekly, with a view to residential payments being made via WCCIS by 1st October 2019.												
RM/A044	Develop a suite of core performance reports in WCCIS to meet the statutory reporting requirements.	☑	☑	☑	☑	☑		☑		☑	GJ	March 2020	**Green (On Track)**
ACTION UPDATE:	One outstanding Annual Performance Measure (20) to be completed, but due to delay in obtaining data from UHB. Qtr 1 reporting currently in preparation stages. Aggregate data for both Children and Adults completed, along with Adult Safeguarding Return. WCCIS Reports continue to be developed and refined to meet Statutory Reporting Requirements.												
RM/W028	Deliver a programme of refresher training to staff on WCCIS.	☑	☑	☑	☑	☑		☑		☑	GJ	March 2020	**Green (On Track)**
ACTION UPDATE:	Trainer employed via ICF funding and sessions undertaken with an ongoing training programme in place. Review to be undertaken as to requirements for further training later in the year. WCCIS fundamentals course delivered on 24th May 2019.												

Appendix 14 Corporate Risk 14: Brexit

1 – Risk Overview	
1.1 Risk Description	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. 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. 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. 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. 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. 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.
1.2 Risk Owner	**Operational Manager of Policy and 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
Yes	Yes	Yes	Yes	Yes	Yes	Yes

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	Significant political uncertainty associated with Brexit and the impact this has on our ability to forward plan. Failure to comply with any legislative changes arising from the UK leaving the EU and impact this has at the local level. Failure to fully embrace and participate in discussions/collaborative opportunities associated with Brexit could be detrimental to the profile and status of the Council. 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. Failure to effectively lobby for and secure access to funding previously sourced from the EU programmes post-Brexit (including any successor programmes). Changes to consumer protection requirements across the EU affecting residents and local businesses. 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.
Resources	Yes	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. 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. 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.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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 is labour supply could have a detrimental impact on the local economy. 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. Inability to put in place effective civil contingency plans (emergency planning) to take account of the potential impact of Brexit. Market volatility, inflation and financial uncertainty could impact on council revenue budgets and borrowing costs for capital schemes. Inability to effectively manage demand and sustain service delivery post Brexit.
Service Delivery and Wellbeing	Yes	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. 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. 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. 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. 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. 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.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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.
		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.
		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.
		Contract/provider failure by delivery partners/contractors to deliver services on our behalf due to pressures from Brexit on their operational capacity.
		Lack of resilience amongst our partner organisations and the Third Sector in terms of their preparedness for Brexit and issues arising from it.
		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.
Reputation	Yes	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.
		Reputational damage associated with failing to effectively support vulnerable groups/individuals through applying for EU Settled Status.
		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.
		Loss of public confidence in our ability to deliver services effectively and sustainably post-Brexit.
		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.

2 – Risk Evaluation

2.1 Inherent Risk Scoring

Category	Likelihood	Impact	Total Inherent Risk Score
Political & Legislative	4 (Almost certain)	3 (High)	**12 (High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	4 (Almost certain)	3 (High)	**12 (High)**
Reputation	4 (Almost certain)	3 (High)	**12 (High)**
Overall Inherent Risk Score	4 (Almost certain)	3 (High)	**12 (High)**

2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • 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. • Developed strong links with the WLGA to access specialist advice, information and briefings. • 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.	2	1	2
Resources	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • Completed a Directorate-wide impact assessment of Brexit. • Business Continuity Plans have been reviewed and updated for priority one services. • Maintain a high-profile presence in all relevant discussions and briefings with regard to Brexit and its implications for legislative changes. The Council has	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	established good links with the Welsh Government and WLGA in relation to this. • Links with the Welsh Government and WLGA regarding economic development.			
Service Delivery & Well-being	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • Commenced a Directorate-wide impact assessment of Brexit. • Business Continuity Plans are being reviewed and updated for priority one services.	1	1	1
Reputation	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.	1	1	1
Overall Effectiveness of Controls		**2**	**1**	**2**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**

2.3 Residual Risk Scoring & 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	4	3	12	2	1	2	2	3	6	↔	↔
Resources	4	3	12	2	1	2	2	3	6	↔	↔
Service Delivery & Well-being	4	3	12	1	1	1	4	3	12	↔	↔
Reputation	4	3	12	1	1	1	4	3	12	↔	↔
Average risk score/ direction of travel	4	3	**12**	2	1	**2**	3	3	**9 (Medium /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			
	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	**Green (On track)**
ACTION UPDATE:	A workshop was undertaken in 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 discussions from this 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.												
	Update priority 1 Business Continuity Plans.	☑	☑	☑	☑	☑	☑	☑	☑	☑	All HoS	June 2019	**Amber (Minor Slippage)**
ACTION UPDATE:	90% of all priority 1 Business Continuity Plans were completed during Quarter 1. The remaining Plans were completed/updated prior to the workshop session held in July.												
	Undertake a Brexit Workshop with Insight Board to review the cross-cutting risks associated with Brexit and to identify and	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	July 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			
	series of mitigating actions.												
ACTION UPDATE:	Brexit Workshop was undertaken on 5th July 2019 with high level representation across all service areas. The findings and discussion from this workshop have been aggregated and will be reported to Insight and CMT for their consideration during September.												
RP/F055 RP/SR005	Work with the Welsh Government and Welsh Local Government Association to maximise opportunities for new grant sources post Brexit.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG	March 2020	**Green (On Track)**
ACTION UPDATE:	Work continues although there remains a severe lack of clarity post BREXIT. The WLGA and Welsh Government have arranged a series of events and briefings for September 2019 to share information further.												
RM/R037	Establish a process for monitoring the costs/procurement of goods post-Brexit in relation to our residential care and day centres.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/MJ	March 2020	**Green (On Track)**
ACTION UPDATE:	Systems have been established for monitoring and review of supply cost including bi monthly meeting/contact with main suppliers. Risk assessment completed and a storage area for supplies has been identified.												

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			
RM/A057	Investigate impact of access to agency staff post-Brexit in relation to our residential/domiciliary care workforce.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/MJ	March 2020	**Amber (Minor Slippage)**
ACTION UPDATE:	Awaiting feedback from Care Inspectorate Wales following our self-assessment.												