

THE VALE OF GLAMORGAN COUNCIL

CABINET: 20<sup>TH</sup> JANUARY, 2020

REFERENCE FROM AUDIT COMMITTEE: 16<sup>TH</sup> DECEMBER, 2019

“ CORPORATE RISK REGISTER QUARTER 2 UPDATE (MD) –

The Head of Policy and Business Transformation presented the update on the Quarter 2 position of Corporate Risks for April 2019 to September 2019 of risks contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report.

Attached at Annex A was the Quarter 2 Risk Summary Report. It was reported that there were 14 Corporate Risks on the Register. Of these, three currently scored Medium / High, 10 risks scored Medium and one risk scored Medium / Low. Members noted that the position of risks on the Register had remained largely unchanged with the exception of the Deprivation of Liberty Safeguards risk, the score of which had decreased from 12 (High) to a score of 8, giving it a Medium / High status. Although the resource pressure and demand for assessments continued to exist, the Council had made good progress in putting in play mitigations to reducing the risk. The risk status had been reviewed and considered in context of other risks contained within the Register such as Brexit.

During Quarter 2, a total of 13% of actions (20) were completed, 77% (123) were on track and allocated a Green status. 2% (3) of actions were allocated an Amber status for minor slippage and 8% (13) slipped and were allocated a Red status. A breakdown of the individual exceptions was provided in Section 6.

A Committee Member stated that it would be useful to have more information regarding how the issues around Brexit would be taken forward. He also queried why Welfare reform and Reshaping Services had not been flagged up as a higher risk given update reports provided at the Corporate Performance and Resources Scrutiny Committee meeting. In reply, the Head of Policy and Business Transformation advised that the Corporate Management Team had regular discussions on how the Council was handling Brexit. In addition, the Director of Environment and Housing was working on how some of the longer-term issues would be managed and this work would be communicated to all Councillors. With regard to Welfare Reform, the Head of Finance stated that the report was also considered by the Corporate Management Team and so there had been a change in membership of the Insight Board to include the relevant staff who worked in this area.

A Member referred to pages 152 and 153 and queried progress in relation to action AS/A042 – Implement a “Team around an individual” approach to Dementia Services, Action AS/A043 – A Vale Locality Model, Action AS/A044 – a Long Term

Care Service at Ty Jenner and Action AS/IT053 – in relation to the integration of technology and video conferencing for the Vale Locality. In reply, the Head of Policy and Business Transformation stated that he would follow up these queries with the appropriate departments, but information on this had been presented to the Healthy Living and Social Care Scrutiny Committee. He also added that it may be an idea to focus the next quarter update on Welfare reform. With regard to the wider work around integration between Health and Social Care, he advised that a review had been undertaken on how the two areas interacted, so work was ongoing. Further to this point, a Committee Member stated that for some actions which had been flagged up Red, were attributed to the Cardiff and Vale Health Board so it was difficult to understand where the responsibility for the delays were.

A Committee Member outlined concern in relation to the environment and sustainability and he stated that he could not see what work was underway in order to reduce carbon emissions. In reply, the Head of Policy and Business Transformation stated that a response to this was provided following a question at Full Council the previous week which related specifically to the climate emergency. He clarified that a lot of work was underway, but the Council needed to better communicate the progress being made. Further to this point, a Committee Member stated that the Council had to undertake better management of trees as the Council did not employ experts in this field. He stated that the Council needed a Tree Strategy. In reply, the Head of Policy and Business Transformation stated that this would be fed back to the Director of Environment and Housing and he advised that a Tree Strategy would be presented to Cabinet over the next few months.

The Committee was then provided with an overview from the Head of Additional Learning Needs and Wellbeing of an emerging risk in relation to Additional Learning Needs. The Head of Additional Learning Needs and Wellbeing began by stating that in the Vale of Glamorgan there were numerous inter-related elements of service provision which formed a graduated response to need. There were six levels of provision, these being:

- Mainstream provision;
- Outreach services;
- ALN / SEN funding to schools;
- Specialist resource bases and a Pupil Referral Unit;
- Specialist schools;
- Out of county and independent school placements.

The aim was to prevent the pupil reaching the top of the pyramid by having services in place to manage individual needs.

The key driving forces associated with the risk around Additional Learning Needs was the growth in demand, the Council's capacity and financial viability to meet the growing needs which had been further impacted by duties coming out of the Additional Learning Needs (Wales) Act.

Members were advised that there had been a growth in the number of children presenting with increasingly more complex Additional Learning Needs. This

impacted not only on the capacity of existing provision as Ysgol y Deri but also placed a significant cost pressure on budgets with every pupil placed at Ysgol y Deri costing an average of £25k. Therefore, the Council was looking at ways to adding further placements within the existing Ysgol y Deri site with a view in the longer term of building a new Ysgol y Deri site 2 as part of the 21<sup>st</sup> Century Schools Programme.

In relation to Post 16 education, the Head of Additional Learning Needs and Wellbeing stated that there was a need to interact with providers such as further educational colleges who were also bound by the new Act. However, colleges would only have to evidence that they had used their “best endeavour” to meet the needs of individuals and if they could not, then support would be passed to the Local Authority. This was a key risk to the Council which was more difficult as colleges were not the responsibility of the Council. If therefore the provision for support was not there then this would fall to the Council which would have considerable cost implications. In order to mitigate the risk, the Council was working with the Cardiff and Vale College in order to create a provision map and to ascertain where the gaps in provision may be. It therefore made sense to make use of current services, but the key would be where would funding be apportioned to.

Another aspect of the Act was the need to ensure that everything was bilingual and that Welsh was on parity to English. The Head of Additional Learning Needs and Wellbeing stated that he did not disagree with this principle, but for the Vale of Glamorgan the number of Welsh speakers made specialist provision very costly. Therefore, in order to meet demand, the Council would be working with neighbouring Local Authorities on a regional basis to create an outreach service. In addition, Welsh training would be provided to staff.

With regard to mainstream schools, the Head of Additional Learning Needs and Wellbeing advised that the main issue was more staff training to meet the individual needs of children and young people. This was therefore a major focus of the Central South Consortium. He outlined that when Ysgol Y Deri was built it had an initial capacity of 205 placements. At present, 276 children were currently placed there, so the numbers leaving the service was being outstripped by those going in. This, and because there had also been a reduction in respite use, was why it had been decided to remodel Ty Deri in order to create more classroom spaces. Over the medium-term, the plan was to create Ysgol Y Deri 2 which would increase capacity by 150 placements.

The Head of Additional Learning Needs and Wellbeing added that Ysgol Y Deri did not cater for social/emotional/mental wellbeing needs, as these were managed by the Pupil Referral Unit or resource bases at mainstream schools. This would therefore be the biggest challenge for schools. The demand for this kind of support was increasing and was in line with an increase in exclusions and home schooling. In order to tackle this an action plan had been devised to build capacity and to create centres for social/emotional/wellbeing support in order to avoid out of county placements. One of the key actions was the development of a “Trauma Informed Approach”, and funding had been granted around appropriate training for staff and senior leaders.

A Committee Member thanked the Head of Additional Learning Needs and Wellbeing for his update and stated that a key challenge was around improving transition at Post 16 education and he raised concern that, although the Council had the necessary expertise, it did not have a further educational institute. He stated that there were two strands, one was those with obvious needs and the second was those learners with emotional / mental health challenges which was a big issue and so it was important to talk to pupils in order to reduce isolation. The Member referred to the right of appeal and he was concerned that this could lead to increased costs to the Council as the funding from Welsh Government was insufficient. In reply, the Head of Additional Learning Needs and Wellbeing stated that an amount of £20m had been allocated across Wales by Welsh Government, but this was to assist Local Authorities with implementing the Act. Therefore, clarity was needed from Welsh Government around who would fund provision and the support services.

The Committee considered where the Additional Learning Needs risk sat within the Risk Register, and Members noted that this had been categorised under risk CR2 – Legislative Change and Local Government Reform. The Committee therefore considered it appropriate that as the emerging risks were increasing, for Additional Learning Needs to be a stand-alone risk within the Register. In reply, the Head of Policy and Business Transformation stated that this would be considered for the next Risk update and this would include a review of risks contained under the umbrella of legislative changes, with a focus on Additional Learning Needs. The Head of Additional Learning Needs and Wellbeing also added that further commentary of this risk would be welcomed, as Ysgol Y Deri 2 was something that the Council had to do to meet demand. He also advised Members, that another pressure related to income recoupment which had decreased from approximately £3m in 2014 to around £1m last year. This was because other Local Authorities had developed their own service provision, and because there had been an increase in demand for placements from Vale of Glamorgan residents.

Subsequently, it was

RESOLVED –

- (1) T H A T the Quarter 2 position of corporate risks for the period April to September 2019 as outlined in Annex A to the report be noted.
- (2) T H A T the Quarter 2 position for April 2019 – September 2019 be referred to Cabinet for consideration and endorsement.
- (3) T H A T the area of Additional Learning Needs should be a stand alone risk within the Risk Register.

#### Reasons for decisions

- (1) Following consideration of the Quarter 2 position.
- (2) To ensure Cabinet receives a Quarter 2 position on the Corporate Risk Register.

(3) In order for Additional Learning Needs to be a stand alone risk within the Risk Register.”

Attached as Appendix: Report to Audit Committee – 16<sup>th</sup> December, 2019

Meeting of:	<b>Audit Committee</b>
Date of Meeting:	<b>Monday, 16 December 2019</b>
Relevant Scrutiny Committee:	Corporate Performance and Resources
Report Title:	Corporate Risk Register Quarter 2 Update
Purpose of Report:	To update Audit Committee on the quarter 2 position of Corporate Risks for April 2019 - September 2019 of risks contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report
Report Owner:	Rob Thomas, Managing Director
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:	<p>• This report provides members with an overview of the Corporate Risk Register for Quarter 2 (April 2019-September 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.</p> <p>The report recommends that Audit Committee:</p> <ul style="list-style-type: none"> <li>• Note the quarter 2 position of corporate risks for the period April 2019- September 2019; and</li> <li>• Refer the Risk Register to Cabinet for their consideration and endorsement.</li> </ul>

## Recommendations

1. Note the Quarter 2 position of corporate risks for the period April 2019-September 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 2 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 2 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.

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

### **Employment**

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

## **Legal (Including Equalities)**

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

## **5. Background Papers**

Corporate Risk Register **Annex B**

Corporate Risk Management Strategy



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK SUMMARY REPORT

QUARTER 2 APRIL 2019- SEPTEMBER 2019



## CORPORATE RISK EXECUTIVE SUMMARY:

### Overview:

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

### Risk Statuses:

- 3 risks 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 Deprivation of Liberty Safeguards risk that has dropped from a high (12) position on the Register to a medium/high (8) status. (**See Section 2**)

### Direction of Travel:

- The majority of risks on the Register have remained static. The Deprivation of Liberty Safeguards risk score has decreased from a score of 12 (High) to a score of 8, giving it a medium/high status.
- Although the resource pressures and demand for assessments continues to exist, we have made good progress in putting in place mitigations to reduce the risk from a high (12) to a medium/High (8) status. This risk status has been reviewed and considered in context of other risks contained within the Register which are equally high risk e.g. Brexit. (**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 2 in relation to the actions associated with the Risk Management Plans across all aspects of the Register.
- In total there are 162 mitigating actions currently being monitored via the Register, the majority of which are linked to a Corporate Plan activity. During quarter 2, we have been able to assign a RAG status to 159 of these mitigating actions. (**See Section 5**)
- During quarter 2, a total of 13% actions (20) were completed, 77% (123) were on track and allocated a Green status. 2% (3) of actions were allocated an amber status for minor slippage and 8% (13) slipped and were allocated a red status. A breakdown of these individual exceptions is provided in **Section 6**.

### Emerging risks and issues:

- **Additional Learning Needs Update**- We have continued to respond positively to the challenges associated with the Additional Learning Needs (ALN) risks. It is recognised that the challenges we face are similar to that experienced at the national level. The key driving forces associated with this facet of risk relate to growth in demand, our capacity and financial viability to meet the growing needs which have been further compounded by the impact of new responsibilities and duties arising from the Additional Learning Needs (Wales) Act.
- There has been a growth in numbers of children presenting with increasingly more complex additional learning needs. This impacts not only on the capacity of existing provision at Ysgol Y Deri (currently operating overcapacity) but also places a significant cost pressure on our budgets; with every pupil placement at Ysgol Y Deri costing an average of £25K. We are looking at ways to add further placement capacity within the existing Ysgol Y Deri site, with the view in the longer term of building a new Ysgol Y Deri Site 2 as part of the 21<sup>st</sup> Century Schools programme.
- We are increasingly faced with growing demand in relation to children and young people experiencing social, emotional and mental health difficulties. There is currently a lack of sufficient provision to meet this need at a local and national level. We are seeking to address this through our level through Social, Emotional and Mental Health action plan but it is a key challenge going forward.
- Many of the above issues have been compounded by the introduction of the ALN Act which has further expanded our duty of care to a wider age range of children and young people from 0-25 years old. The duty to support the early years and post 19 not only puts us under greater financial pressure but also impacts on our workforce capacity and the need for us to further expand to enable us to widen our services and bring in more specialist skills/support.

- However, adding further capacity to meet these growing pressures places our budgets under further financial pressure. Therefore, the focus of this risk becomes more about risk and cost avoidance rather than looking at cost savings.
- **Deprivation of Liberty Safeguards (DoLS) Update-** Nationally DoLS is recognised as an ongoing challenge across health and social care services and the issues we face locally are mirrored at the national level. The risk was previously scored high (12) due to the scale of the risk and its associated likelihood and impact. Unlike other areas within Social Services, there a greater likelihood of us defaulting on our statutory responsibilities in relation to DoLS. Due to the presence of assessments for the need for care and support the impact of this risk is predominately a financial one, with some reputational risks also. It is felt that given the additional mitigations we now have in place for example the additional legal resource that has given us added capacity to process applications and agree Deprivations of Liberty via the Courts in a timely way. Further, new legislative developments in relation to Mental Capacity (Amendment) Act and the associated Liberty Protection Safeguards (LiPS) will also go some way in providing us with greater resilience around this issue. It is hoped that the LiPS scheme will help to address the resource /capacity issues once this legislation comes into force. It is anticipated that the new legislation will run alongside the existing DoLS requirements from 2020 with the view of full implementation by 2021. In preparation for this, we will need to ensure our service complies with the new requirements. Over this coming year our focus will shift onto review our service to identify our readiness for these changes and to work with legal services to gain advice on the next steps of implementation. Further work on this will be progressed once the Code of Practice regarding this legislative change has been published. Although resource and capacity limitations will continue to impact on this risk, we recognise that the risk cannot be fully removed or mitigated against. Instead the focus is on how we can tolerate the risk using our existing capacity and resources effectively to mitigate the risk where possible.

That Audit Committee:

- Note the Quarter 2 position of Corporate Risks for the period April 2019-September 2019.
- Refer the Risk Register to Cabinet for consideration and endorsement.

## SECTION 1: RISK DESCRIPTIONS

Risk Ref	Risk	Scope
CR1	<b>Reshaping Services</b> <b>Appendix 1</b>	Risk that the Council fails to deliver the Reshaping Services Programme and does not utilise alternative methods of service delivery and other approaches to mitigate the impact of budget reductions and demand for services which could result in further cuts to services impacting on their availability and quality.
CR2	<b>Legislative Change &amp; Local Government Reform</b> <b>Appendix 2</b>	Inability to appropriately respond/adapt to new and emerging legislative change and reform developments across the breadth of Council services.
CR3	<b>School Reorganisation &amp; Investment</b> <b>Appendix 3</b>	Inability to invest in improving and developing the quality of our school buildings. This could result in schools no longer being 'fit for purpose' and not meet the Welsh Government's '21 <sup>st</sup> Century Schools' agenda. Failure to effectively plan and provide sufficient school places to meet demand in relation to both English and Welsh Medium provision.
CR4	<b>Waste</b> <b>Appendix 4</b>	Failure to fund the national waste agenda and its associated targets.
CR5	<b>Workforce Needs</b> <b>Appendix 5</b>	Inability to anticipate and plan for workforce needs in the future in order to meet the changes in demand and provision of services. (Risk links to Reshaping risk and legislative reform risk)
CR6	<b>Information Security</b> <b>Appendix 6</b>	Failure to implement adequate information management controls and systems across the Council.
CR7	<b>Environmental Sustainability</b> <b>Appendix 7</b>	Failure to reduce our carbon foot print and mitigate against the impact/effects of climate change.
CR8	<b>Welfare Reform</b> <b>Appendix 8</b>	Roll out of Welfare Reform programme has a detrimental financial and social impact on residents.
CR9	<b>Public Buildings Compliance</b> <b>Appendix 9</b>	Failure to comply with our statutory responsibilities for ensuring the health, safety and welfare of both our staff and citizens when using Council owned and leased assets.
CR10	<b>Safeguarding</b> <b>Appendix 10</b>	Failure to meet our statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.
CR11	<b>Integrated Health &amp; Social Care</b> <b>Appendix 11</b>	Inability to develop, commission and implement alternative models of service delivery that fully integrate how we deliver health and social care services across organisational boundaries and on a regional footprint.
CR12	<b>Unauthorised Deprivation of Liberty Safeguards</b> <b>Appendix 12</b>	Failure to effectively safeguard adults who are at risk of deprivation of liberty.
CR13	<b>Welsh Community Care Information System (WCCIS)</b> <b>Appendix 13</b>	Failure to fully maximise and mobilise WCCIS functionality to ensure full implementation/development of the system across Social Services and over a regional footprint.
CR14	<b>Brexit</b> <b>Appendix 14</b>	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 <sup>1</sup>	Forecast Direction of Travel <sup>2</sup>
				Likelihood	Impact	Total		
1	Reshaping Services	9 (M/H)	4 (M)	2	2	4 (M)	↔	↑
2	Legislative Change and Local Government Reform	12 (H)	2 (M/L)	2	3	6 (M)	↔	↔
3	School Reorganisation & Investment	12 (H)	4 (M)	2	2	4 (M)	↔	↔
4	Waste	12 (H)	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)	2 (M/L)	4	2	8 (M/H)	↓	↔
13	Welsh Community Care Information System (WCCIS)	16 (VH)	2 (M/L)	2	3	6 (M)	↔	↔
14	Brexit	12 (H)	2 (M/L)	3	3	9 (M/H)	↔	↔

<sup>1</sup>

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

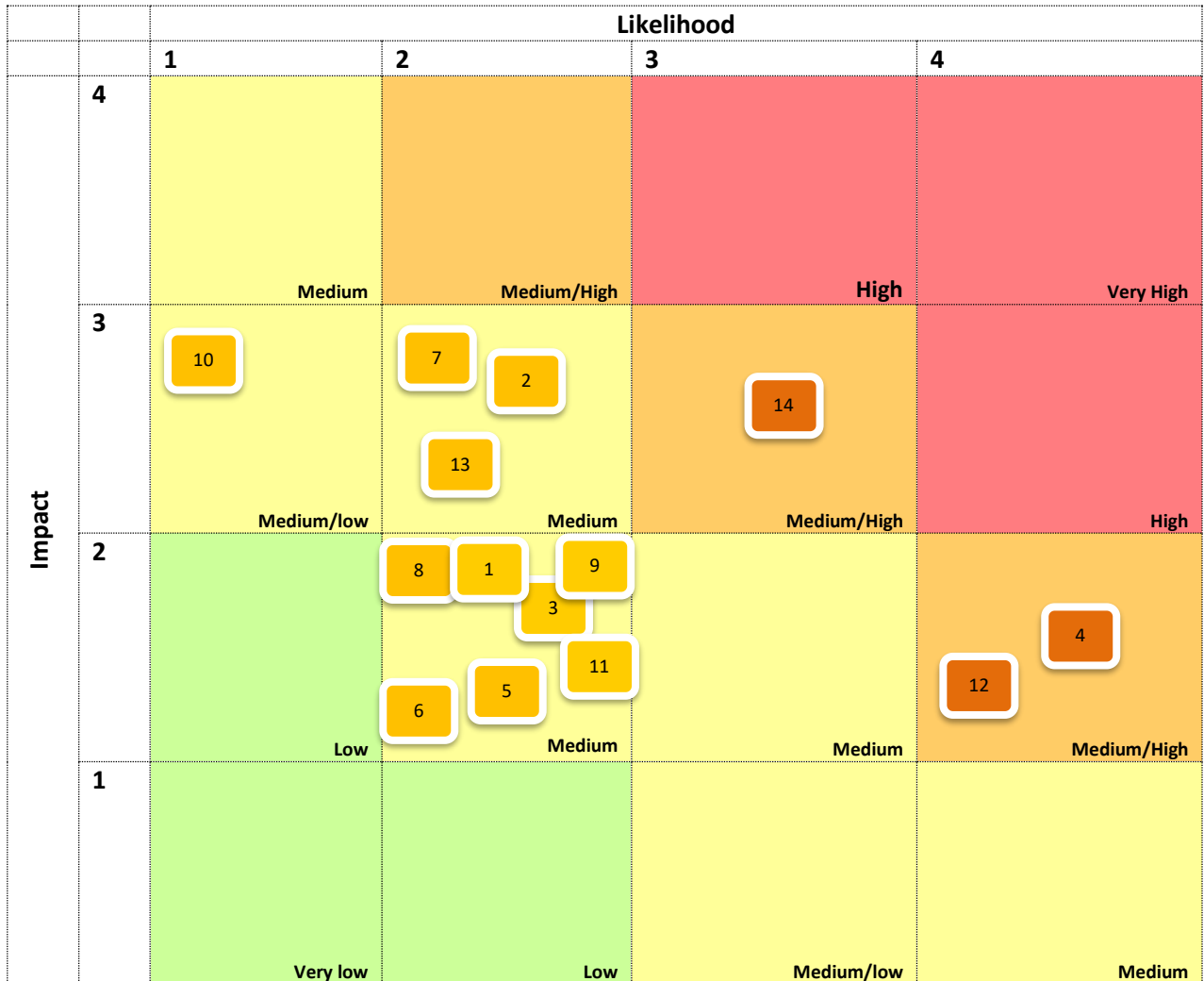
<sup>2</sup> **Forecast direction of travel** anticipates the future direction of the risk by taking into account factors that are likely to impact on it

 Risk increasing, 
  Risk is decreasing, 
  Risk remaining static

## SECTION 3: OVERALL RISK HEAT MAP

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

- The heat map for quarter 2 shows that the greatest number of risks congregate at medium status.
- Deprivation of Liberty Safeguards has reduced to a Medium/High (8) status.
- Safeguarding has maintained its Medium/Low (3) status.



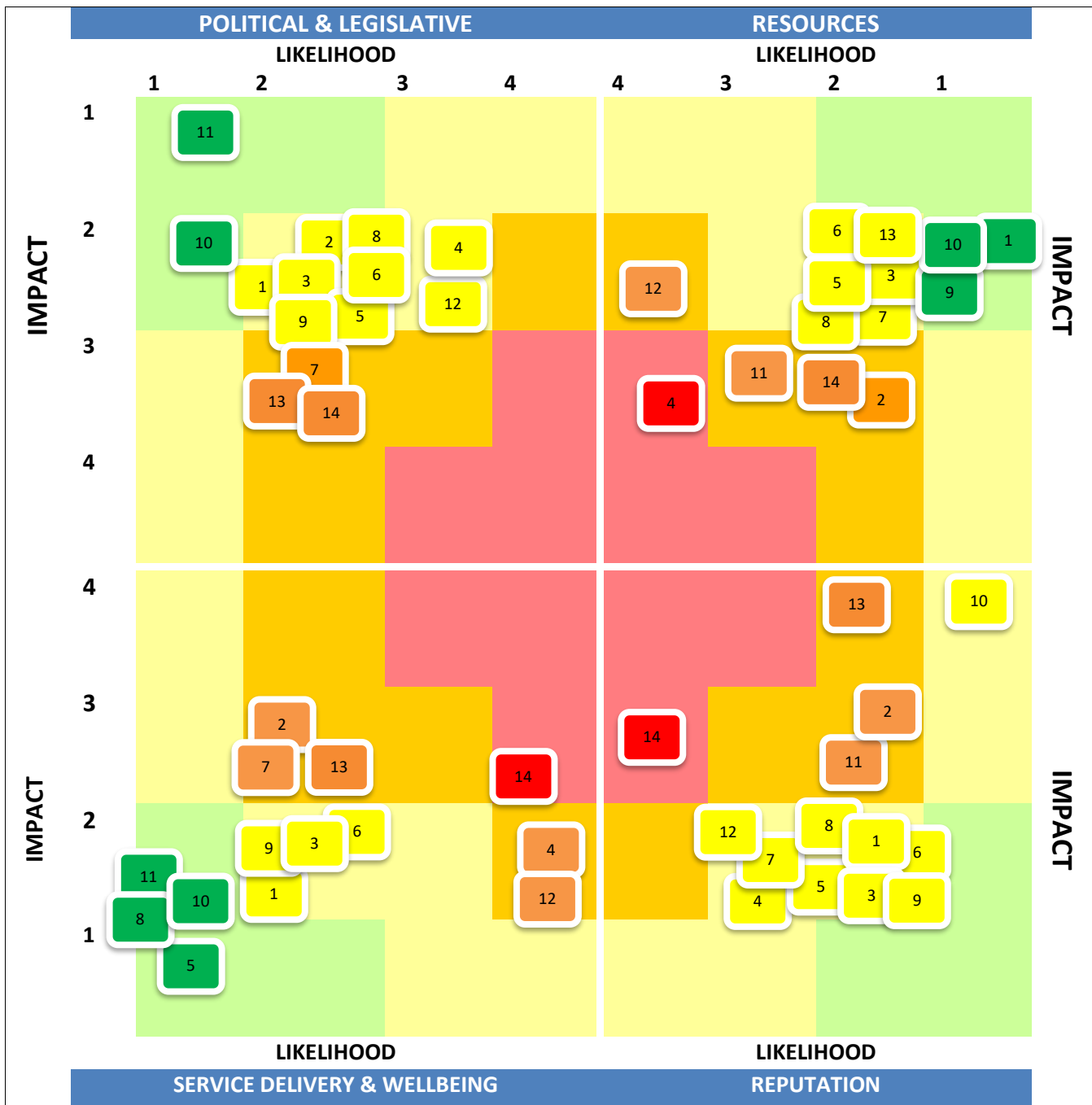
Risk Reference Glossary			
1	Reshaping Services	8	Welfare Reform
2	Legislative Change and Local Government	9	Public Buildings Compliance
3	School Reorganisation & Investment	10	Safeguarding
4	Waste	11	Integrated Health and Social Care
5	Workforce Needs	12	Unauthorised Deprivation of Liberty
6	Information 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 service delivery-based risks.
- Deprivation of Liberty Safeguards sits in the medium/high category of the quadrant (with a residual score of 12) across two of the four risk categories in relation to service delivery and the resources aspects of the risk.
- 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 & 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.

- 90% (143) of actions were allocated a Green status (either completed or on track for completion), 2% (3) were given an Amber status and 8% (13) were allocated a red status at Quarter 2.
- 100% of risk actions contained in the Risk Management Plan for CR1: Reshaping, CR3: School Reorganisation and Investment, CR4: Waste, CR6: Information Security, CR9: Public Buildings Compliance, CR10: Safeguarding, CR13: WCCIS and CR14: Brexit have been completed or are on track for completion so have been allocated a green status.

Corporate Risk	RAG Status		Amber (Minor Slippage)	Red (Slippage)	Total number of Actions	Total number of actions where RAG is applicable.
	Completed (On track)	Green (On track)				
CR1: Reshaping Services	7% (1)	93% (13)	N/A	N/A	14	14
CR2: Legislative Change & Local Government Reform	11% (3)	74% (20)	N/A	15% (4)	27	27
CR3: School Reorganisation & Investment	33% (2)	67% (4)	N/A	N/A	6	6
CR4: Waste	N/A	100% (10)	N/A	N/A	10	10
CR5: Workforce Needs	6% (1)	62.5% (10)	19% (3)	12.5% (2)	16	16
CR6: Information Security	N/A	100% (10)	N/A	N/A	10	10
CR7: Environmental Sustainability	6% (1)	88% (16)	N/A	6% (1)	18	18
CR8: Welfare Reform	43% (3)	43% (3)	N/A	14% (1)	7	7
CR9: Public Building Compliance	50% (4)	50% (4)	N/A	N/A	8	8
CR10: Safeguarding	11% (1)	89% (8)	N/A	N/A	10	9
CR11: Integrated Health & Social Care	N/A	69% (11)	N/A	31% (5)	16	16
CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs)	N/A	N/A	N/A	N/A	2	0 <sup>3</sup>
CR13: Welsh Community Care Information System (WCCIS)	N/A	100% (3)	N/A	N/A	3	3
CR14: Brexit	27% (4)	73% (11)	N/A	N/A	15	15
<b>Totals</b>	<b>13% (20)</b>	<b>77% (123)</b>	<b>2% (3)</b>	<b>8% (13)</b>	<b>162</b>	<b>159</b>

<sup>3</sup> CR12: DoLS- There were no risk actions due to commence during the quarter 2 period, as a result no actions were allocated a RAG status.

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

Risk	Action Ref/Description	Commentary
<b>CR2: Legislative Change &amp; Local Government Reform</b>	RM/A028: Review the effectiveness of the Information, Advice and Assistance Service and its associated pathways in relation to the provision of Family Information and Support.	Temporary Manager Vacancy within FACT has resulted in postponement of review to quarters 3 and 4. Recruitment process in place.
	CS/C040: Implementation/delivery of projects awarded Transformation funding.	A decision is still awaited from WG re the Directorate's second bid.
	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.	The post 16 work has not progressed as hoped in Q2. No further meetings have taken place, but these are scheduled for Q3. The Welsh Government have recently put back the implementation date for the ALN Act by a year to September 2021 in order to provide more time to prepare for the impact of the Act. This is a particularly complex area of change and the additional time provided by the delay in the implementation of the Act will be needed.
<b>CR5: Workforce</b>	AA/A035: Engage in discussions with the Welsh Government about roles, responsibilities and resources for post-16 ALN provision.	The post 16 work has not progressed as hoped in Q2. No further meetings have taken place, but these are scheduled for Q3. The Welsh Government have recently put back the implementation date for the ALN Act by a year to September 2021 in order to provide more time to prepare for the impact of the Act. This is a particularly complex area of change and the additional time provided by the delay in the implementation of the Act will be needed.
	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.	Two placements continue to be employed via agency in the Council. Further work is required to look at how we integrate this within our wider work experience offering. We will make contact with DWP and discuss how we further utilise this offering.
<b>CR7: Environmental Sustainability</b>	HR/W068: Refine how learning is delivered corporately by developing, implementing and supporting a self-directed approach.	The review was undertaken, and the findings have yet to be actioned. The intention is to step up this action into Q3 to enable the majority of work to be completed by Q4. This is in line with the aim of supporting every competency to have associated training by the end of Q4
<b>CR7: Environmental Sustainability</b>	FIT/A006: Implement the Re:fit (energy efficiency improvement) programme across the Council and work with services to ensure they benefit from the scheme.	There have been some delays in respect of the investment grade proposals (IGPs) received from the contractor which in some cases fail to meet the Salix loan criteria. We will be organising a project board meeting to discuss the options. It is likely that with the project board's approval we can move forward and deliver the majority of the projects in the IGP documents in a slightly different way.

Risk	Action Ref/Description	Commentary
<b>CR8: Welfare Reform</b>	HS/A076: Develop a co-ordinated approach to tackling fuel poverty recognising the expertise and contribution of Registered Social Landlords towards achieving this goal.	Adopting a fabric first approach to new build development at Mas y Ffynnon and continuing to identify a suitable zero carbon development at the former colcot Clinic. Attendance at Welsh Government seminars to explore new standards for WHQS. Renewable technology solutions being assessed at Longmeadow Court.
<b>CR11: Integrated Health and Social Care</b>	AS/A042: Implement a 'Team around an individual' approach to Dementia Services.	The service model has been reviewed and clinical leadership will change as a consequence of pending retirement. Challenges in getting the model and staffing correct. Ongoing discussions to remedy this and ensure that the planned project outcomes are delivered accordingly.
	AS/A043: Work with partners to develop a Vale Locality Model in response to the recommendations of the Parliamentary Review.	Funding only confirmed at end of September through Transformation monies. Research into other models of Alliancing being explored and set up visits for early in Quarter 3, plans to then recruit Project Management/Consultancy resource to progress this work under Transformation scheme for the next 12 - 15 months.
	AS/A044: Explore the development of an integrated model for Long Term Care Service and Nurse Assessor Team at Ty Jenner.	Health partners are not in a position to jointly fund the Integrated Team Manager post, so this is on hold. Meeting planned with UHB Organisational Development, HR and the Leadership Team to endeavour to provide assurance and move forward in Qtr 3 and 4.
	AS/IT053: Explore the use of technology to further enhance integration and communication with our partners.	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. There has been no further progression during quarter 2.
	<p>RM/A041: Undertake a formal review of existing pooled arrangements and where necessary put in place formal agreements.</p> <p>AS/AM044: Consider our assets in partnership with other partners to make best use of our pooled resources.</p> <p>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.</p>	<p>Existing pooled arrangements are monitored as part of the Regional Commissioning Board.</p> <p>Given the integrated nature of our Division through the Vale Locality we continue to use our buildings flexibly across Health and Council. We explore the opportunities for joint ventures through the Reshaping Asset Board which the Head of Adults Service is a member for the Directorate. The 'shared properties' meeting for the quarter was cancelled, and hence progress has stilted in regards to getting formal arrangements written and signed, but we continue to work in partnership with Health colleagues re our assets and identify opportunities for investment and renewal.</p>

## 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 <i>MEDIUM</i>	8 MEDIUM/HIGH	12 HIGH	16 VERY HIGH
	High	3 <i>MEDIUM/LOW</i>	6 <i>MEDIUM</i>	9 MEDIUM/HIGH	12 HIGH
	Medium	2 LOW	4 <i>MEDIUM</i>	6 <i>MEDIUM</i>	8 MEDIUM/HIGH
	Low	1 VERY LOW	2 LOW	3 <i>MEDIUM/LOW</i>	4 <i>MEDIUM</i>
Low 1-2 Low/Medium 3 Medium 4-6 Medium/High 8-10 High 12-16		Very Unlikely	Possible	Probable	Almost Certain
<b>Likelihood/Probability of Risk Occurring</b>					

### 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)

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



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK REGISTER

QUARTER 2 APRIL 2019 - SEPTEMBER 2019



Strong  
Communities  
with a Bright  
Future

## 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
<b>Political &amp; Legislative</b>	Yes	Failure to continue to provide priority services. Failure to develop new approaches to service delivery which can be sustained in the long term and which are accessible and meet local needs, with clear and cohesive links made with the Wellbeing of Future Generations Act and the developing Local Government Reform agenda.
<b>Resources</b>	Yes	Projects fail to develop and deliver business cases which meet the Reshaping Services financial savings targets as outlined in the Council's medium term financial plan.



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











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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>undertaken; a new process is expected to be launched in 2018/19 with a significantly improved customer experience.</p> <ul style="list-style-type: none"> <li>• CAT guidance has been produced and implemented. Support continues to be given to groups who approach the Council with applications for Community Asset Transfers (CATs). A review of the way in which the CAT process works has commenced with a view to streamlining this where possible for both applicants and the Council.</li> <li>• Supported Accommodation provision at Rhoose Road has been established. One person moved in and plans for two further people are in place.</li> <li>• Always-on VPN and GovRoam have been introduced and are being used to provide staff connectivity to ICT services. This technology is also available to other service areas and is being rolled out as part of the Windows 10 upgrade process.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Risk management contained within project documentation.</li> <li>• Regular updates to Cabinet and Programme Board on status of the programme.</li> <li>• Consultation on the Council's budget annually includes questions relating to the approach being taken on Reshaping Services.</li> <li>• Programme Board includes representatives of partners (Voluntary Sector and Town &amp; Community Councils)</li> <li>• Communications campaign to support the Strong Communities Grant Fund where there is a sound business case for the Council to transfer assets to others.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## 2.3 Residual Risk Scoring & 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	3	2	6	1	2	2		
Service Delivery & Well-being	3	3	9	2	2	4	2	2	4		
Reputation	3	3	9	2	2	4	2	2	4		
<b>Average risk score/ direction of travel</b>	3	3	<b>9</b>	2	2	<b>4</b>	2	2	<b>4 (Medium)</b>		

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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/ER	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	<p>Good progress has been made during quarter 2 in relation to delivery of Tranche 4 projects associated with the Reshaping Services programme. Outlined below is a summary of the progression of some of these proposals.</p> <p>In relation to Neighbourhood Services, meetings have been arranged to progress procurement of a camera car to support parking enforcement with a viewing of purchasing during quarter 3. The enforcement team now in place for environmental (waste) aspects of work cameras are currently being purchased and associated software is being implemented. In the meantime, paper tickets are being issued. CPE TUPE is in process for Parking Enforcement. Good progress has been made in relation to CAT of Bowling Clubs. Bowling clubs are taking over the responsibility of own clubs. Parking Charges associated with the Parking Strategy are due to be reconsidered in Quarter 3 and School Transport provision remains under review.</p> <p>The Catering project team continues to prepare for the launch of The Big Fresh Catering Company. The team are on track to take a report to Cabinet to present the updated Business Plan in the coming months. The company has now been incorporated and the purchase and delivery of the Airstream trailer for the company's commercial mobile arm has taken place. A TUPE timeline has been created to begin this process, subject to Cabinet approval.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/MI/JR	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	<p>Good progress has been made during quarter 2 in relation to delivery of Tranche 4 projects associated with the Reshaping Services programme. Outlined below is a summary of the progression of some of these proposals.</p> <p>In relation to Social Services, Ongoing monitoring is in place for the Resource Management and Safeguarding division and progress continues to be made. Within the Adults Division, the identified savings are on track for this financial year in relation to the value. However, some projects that we identified have been delayed due to the need to engage and consult and seek cabinet approval - these areas will not deliver savings in this financial year as we complete the consultation exercise in September and will need to present findings to Cabinet. Programmes relating to the Reshaping Services and Social Services Budget Programme have been achieved in relation to the Children and Young People's Service division.</p> <p>Within Regeneration and Planning, the service continues to work with the reshaping board to identify efficiencies and possible savings. Examples of proposals include streamlining and improving the process around filming agreement, improving sponsorship opportunities including the use of Building Control vehicles, and planning publications. Other site-specific opportunities continue to be progressed including the production of a new brochure for 2020/21. The planning department has continued to offer further commercialisation with inter-departmental consultancy work and Planning Performance Agreements bringing in further income. This work is an ongoing process and will be undertaken throughout 19/20.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>Within Strategy, Community Learning and Resources, the Microsoft Remote Desktop Services are now being actively used in the 5 schools that were reliant on SIMS Learning Gateway. The Management Information Service team (MIS) is going through a period of change, and a restructure of the MIS team has been approved by DMT with a view of completing the recruitment process by Q4.</p>												
PD/F069 PD/SR/001 <b>Digital:</b> PD/IT076 PD/IT077 PD/IT078 HS/IT050 HS/IT054 DS/IT044 AS/IT038 AS/IT052 <b>Third Party Spend/Procurement:</b> FIT/F047 FIT/A026	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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/MI/CL /ER/JR/ DM	March 2020	<b>Green (On track)</b>



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/F021 LS/F040 <b>Income Generation:</b> FIT/F008 DS/F041 NS/F020 NS/F021 LS/F041 RP/F018 HR/F063 RM/F024													
<b>ACTION UPDATE:</b>	<p>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.</p> <p><b>Digital:</b>            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). Work is ongoing to establish the functional requirements and a business case for a digital platform which will enable implementation of the council's digital strategy. In relation to implementing a customer contact system for C1V, there have been delays with the move to the new telephony platform. A new target date of 15 November has been proposed and agreed by the project board. In terms of exploring the use of Robotic Process Automation, work is continuing to develop a business case and implementation plan for a pilot of RPA in care service provision.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>In relation to Housing and Building Services, now that the Customer Portal is now 'live' and tenants have registered to use the service our work has focused on the promotion of the Portal and this has taken place with an email bulletin shared with all tenants who hold a valid email address. This has proved to be effective and resulted in over 50 new requests for access to the Portal. Work has been undertaken to explore potential for online repairs reporting to be offered, however discussions with our ICT software provider has identified that the work required would cost in the region of £50k. Given the high costs, this work will not be progressed at this time and will be put on hold pending the replacement the OHMS system. In relation to progressing a Digital Transformation Strategy for Housing and Building Services, an IT Consultant appointed in September following discussions with Corporate IT and Business Improvement team. A number of client workshops have been held to identify IT needs. An interim report is due in December. The Strategy will follow in Q4.</p> <p>Developing an options paper on the future use of the Records Management Unit that focuses on maximising the use of digital technology is on hold pending the review as to whether the Records Management Unit accommodation is required for alternative use. Within Adult Services, proposals have been drafted to utilise technology for supporting payment of Telecare Services. The draft proposals are due to be considered by the Telecare Group during quarter 3.</p> <p><b>Third Party Spend/Procurement:</b></p> <p>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 &amp; 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, despite some slippage in the previous quarter, a review of ICT systems commenced in quarter 2.</p> <p>In relation to procuring and implementing a Hybrid Mail solution, work is progressing to deliver the proof of concept on the basis of the initial project plan. Discussions are being held with Directorate representatives, Business Improvement Team and the solution provider to identify specific user requirements.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p><b>Income Generation:</b></p> <p>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. 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 ongoing to implement a new income management system which will improve the Council's ability to collect income at the point of purchase. There is also ongoing discussion with officers regarding the licensing of future approved premises for wedding ceremonies.</p> <p>Project group meetings continue to be held in relation to implementing a single user full cost recovery policy for clubs / organisations that do not take on transfer responsibilities. Discussions are on-going in relation to tranche 2 sites with licences rather than leases likely to be the outcome. In relation to the review current fees and charges for Neighbourhood Services and Transport a report is due to be presented to Cabinet in Quarter 3. Within Regeneration and Planning, the service continues to work with the reshaping board to identify efficiencies and possible savings. Examples of proposals include streamlining and improving the process around filming agreement, improving sponsorship opportunities including the use of Building Control vehicles, and planning publications. Other site-specific opportunities continue to be progressed including the production of a new brochure for 2020/21. The planning department has continued to offer further commercialisation with inter-departmental consultancy work and Planning Performance Agreements bringing in further income. This work is an ongoing process and will be undertaken throughout 19/20. Income for external DBS processing has increased slightly over the target for the first 5 months of 2019/20. From October 2019, the DBS have introduced changes to reduce the fees and we will communicate those changes during Q3 and explore other options for generating income with the DBS process and within the Occupational Health function.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>In relation to Neighbourhood Services, we have put together a marketing plan to assist the development of the commercial waste service which is being presented in the October 2019 income generation board meeting. With the changes being implemented in the new waste service we have streamlined the collections for commercial customers to be more efficient in our collections.</p> <p>Implementation of discretionary charging for social care continues to be progressed. The savings associated with this have been identified and legal surgeries are in place to proceed with court action.</p>												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/JR	March 2020	Green (On track)
<b>ACTION UPDATE:</b>	<p><b>Town and Community Councils.</b> Work has continued on the corporate project workstreams. A workshop with town and community councils was held in July 2019 to discuss future working relationships. This has now culminated in the update to the Charter with town and community councils and an approach for Cabinet's consideration in Q3 of how to progress these discussions. The work with the voluntary sector is being led by a review of funding arrangements, in accordance with guidance from the WAO. This was discussed at the Voluntary Sector Joint Liaison Committee in July, where proposals to focus activity around an area of Reshaping Services (for example, volunteering) were explored. During Q3 an Insight Board discussion on volunteering will be held to feed into the Voluntary Sector Joint Liaison's meeting in October.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p><b>Demand Management</b></p> <p>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 barriers (Oracle) can be overcome. Oracle have been in to meet with a wider project team to discuss their cloud services and how one would migrate the current on-premise system to the cloud. Other cloud systems are being reviewed in Visible Services, Housing and Council Tax &amp; Benefits Services, with a consultant being commissioned to carry out the pre-procurement work on the Housing project. We have continued to focus on develop provision to address the increasing demand for placements in relation to pupils with Autistic Spectrum Disorders (ASD) and complex social, emotional and behavioural difficulties within the Vale. For example, Additional provision has been established for foundation phase and KS2 pupils and these are now operational. Consideration is still being given to the provision required at KS3 and 4. Good progress has been made with developing a new dashboard application for the monitoring of care packages. A service request form has been produced for development using the Welsh Community Care Information System (WCCIS). The new functionality will fulfil a number of tasks currently undertaken via email including requests for care packages. It is anticipated that the move to completing, authorising and brokering care packages via WCCIS will be fully implemented by quarter 3. In relation to Adult Services, we continue to increase provision and take up of Direct Payments. It continues to be offered as the first option for all care and support at home arrangements. The transition to CHS for people receiving Direct Payments remains problematic and a significant barrier to update for people with complex needs.</p> <p><b>Voluntary &amp; Third Sector</b></p> <p>The library service is currently refreshing the Service Level agreements with all 5 Community libraries and will continue to support them with peripatetic staff. The Friends of the Arts Central gallery Group have increased their numbers in the past year and the friends of Library Groups have continued their programme of fundraising and awareness events across the Vale including attending School Fetes. In relation to extending our work with voluntary, private and public sector bodies to further enhance Education Other Than at School (EOTAS) provision for Vale pupils, the EOTAS provision endorsed by the Council has been compiled into a directory for schools detailing the relevant information. The new Social Emotional Mental Health Panels (SEMHP) will deliver this more widely to schools and services and will ensure the best fit for clients faced with needing EOTAS support. A new Bi-Weekly meeting with the EOTAS leads and Martin Dacey has been put in place to monitor young people's progress.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
PD/F070	Develop proposals for Tranches 5 and 6 for Reshaping Services programme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2020	Green (On track)
<b>ACTION UPDATE:</b>	Work has continued to develop an approach to future phases of Reshaping Services projects. CMT have discussed the need to align Reshaping Services with the transformational change work underway across the Council and how this approach can help in mitigating future challenges.												
PD/F072 FIT/F043 LS/F039 RP/F017 HR/F062 SL/F042 AA/F027	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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/CL/ DM	March 2020	Green (On track)
<b>ACTION PLAN:</b>	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 and are on target to be achieved. Legal and Democratic savings have been allocated and the budgets amended accordingly. (This action completed in quarter 1). 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 will need to continue during Q3 and Q4 to explore and deliver the identified Directorate savings and explore efficiencies. The revised Senior HR management structure has been implemented with a new Head of HR & OD appointed and the post of Operational Manager HR will be deleted. HR Employee Services have also contributed savings for 19/20 with the introduction of the new online recruitment portal. Within the Strategy, Community Learning and Resources division, progress on the development of paperless panels has continued into quarter two which will significantly decrease printing costs. In												

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>addition, full utilisation of parental email during the admissions process is now firmly embedded instead of using traditional written correspondence. Within the Achievement for All division, the consultation period has ended, and we are waiting commentary from the ERR committee meeting to determine possible redundancies.</p>												
PD/AM073 FIT/AM055	Agree and progress delivery of the next phase of SPACE project to improve efficiency in the way services operate and deliver financial savings.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/CL/LC/ER	March 2020	<b>Green (On track)</b>
FIT/AM003	Continue to review office and non-office accommodation, facilities management and corporate buildings as part of the next phase of the SPACE project.												
NS/AM011	Work towards operating from one depot at the Alps with satellite parking areas.												
<b>ACTION UPDATE:</b>	<p>The occupancy studies progressed well at the Docks Office during Q2. Using the electronic sensors to measure occupancy has given a more detailed data set to review with service managers in considering future office accommodation requirements. Occupancy studies have been completed in the Dock offices with phase 2 commencing imminently in Civic Offices (sensors will be relocated to the Civic Offices).</p> <p>The next phase of the space project is moving forward with the commencement of desk utilisation studies using electronic data capture devices.</p>												

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
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.												
<b>ACTION UPDATE:</b>	<p>Reports on the potential disposals of sites, continue to be presented to Insight Board and onto Cabinet as required. The Asset Review Group has completed the review of the St Brides major pilot area and the findings have been reported to Insight Board. The team are now moving on to review the Cowbridge ward. Within Regeneration and Planning, there are ongoing land disposal negotiations with Cardiff and Vale College and the Welsh Government regarding the proposed two-site campus at (i) the Council owned IQ Southern Debts Site (Barry Waterfront) and a (ii) Council owned site near Airport business park.</p> <p>The disposal of Eagleswell site, Llantwit Major, Housing Development Land Disposal Project is no longer a project being managed by the Project Management Team within Regeneration and Planning. Instead, Housing and Building services are taking forward this action in respect of affordable</p>												



Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	housing. Housing and Building Services are currently reviewing the potential development of this site along with obtaining an appropriation value for the land. Initial discussions are being held with the development board on potential development proposals. 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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AU/JB/SA	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	<p>The HR Business Partnership continue to maintain their business relationships with their allocated managers and to support Change Management exercises. Support has been available throughout Q2, some of the on-going projects and highlights include; the successful transfer of Civil and Parking Enforcement and continued support to the Head of Audit to develop a new structure for the Service receptive to the collaboration. Engagement will continue with the recognised trade unions and attendance on the Project Board to support the on-going Catering Project, as well as attendance at various Corporate and Directorate JCFs to support internal engagement and change processes.</p> <p>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 continues to be a key activity of the Team to keep the unions abreast of current and potential new projects. As above, meetings of the joint Change Forum, Terms and Conditions, Scrutiny Committee as well as Directorate JCF and H &amp; S are supported by HR Business Partners to support the achievement of the Council's change programme.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
PD/AM075	Explore and promote further opportunities for Community Asset Transfers informed by the revised Community Asset Transfer model.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	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.												
<b>ACTION UPDATE:</b>	<p>The workshop with Town and Community Councils has helped to shape an approach to the future operation of services and assets by those organisations. Welsh Government is due to revise its CAT guidance during Q3 and the Council is waiting to see how this changes before revising the guidance. The guidance will also make clear that CATs are one approach amongst others such as licences and leases that can be used when working with others to operate assets.</p> <p>In relation to co-ordinating the CAT process corporately, discussions were held with Town and Community Councillors and the relevant Council Officers in July 2019 and a report is being prepared for consideration by Cabinet in October / November 2019 regarding Council assets and services, where the CAT process will be considered as part of this process.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Cabinet approved the transfer of Wick Memorial to the community and during quarter 2, legal colleagues have been instructed to complete the transfer of Wick memorial. Detailed negotiations are continuing with GVS in respect of the terms and conditions for the transfer of the WVICC building in Llantwit Major. During quarter 3 (1 <sup>st</sup> October 2019), all eight Bowls Clubs will transfer. There are now discussion recommencing regarding potential tranche 2 transfers.												
PD/C074 PD/C080	Explore emerging collaborative opportunities arising for appropriate council services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2020	Green (On track)
<b>ACTION UPDATE:</b>	Work has continued to identify opportunities for collaboration as part of the development of future tranches of Reshaping Services projects.  All services within scope have been successfully transferred. Health and safety was the last one transferred at the beginning of May in Q1.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL/DM	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	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. This includes income generation, digital strategy, strategic Assets and Reshaping Service Programme Board												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Within Legal Services, there are adequate resources inhouse, and when the need arises these resources maybe sourced externally. Expertise gained across the teams is shared in order to grow resilience.												
FIT/W048	Maximise opportunities for agile working across the Council in line with the Reshaping Services Programme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NW/RH	March 2020	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NW	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	This review continues and it has since been decided to include ICT support to Schools in the scope of this review.												

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

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

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

Whilst the Welsh Government has indicated that merger arrangements are not to be progressed for all local authorities, there is uncertainty relating to the reform agenda. A working group has been established by WG and are currently working on a number of key themes, including collaboration and shared services as part of delivering the Local Government Bill, which is due to be introduced to the National Assembly for Wales in November 2019 for consideration.

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

	<p>Act also has a much greater focus on working collaboratively, particularly in relation to health bodies. The Act also allows for greater involvement and participation amongst children and young people and gives parents/carers and young people the right to appeal against decisions made regarding their ALN and/or IDP. Local Authorities will also be required to provide access to independent advocacy services. There is also the expectation that services will be available through the medium of Welsh to create parity of provision, which is likely to have an impact on our ability to meet Additional Learning Needs. To support the implementation of this transformation programme, the Minister for Lifelong Learning and Welsh Language announced a £20million funding package. The overall risk associated with this new legislation, relates to our capacity and capability to effectively meet the Additional Learning Needs of our learners from birth to 25. This is against a backdrop of growing demand for ALN provision due to increasing numbers of children and young people presenting with increasingly more complex needs. This is likely to impact on our ability to meet those needs in line with requirements of the legislation at a time when our budgets are already under pressure.</p>
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<b>1.2 Risk Owner</b>	<b>Corporate Management Team</b>
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<b>1.3 Impact on our contribution to the Wellbeing Goals</b>						
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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

<b>1.4 Risk Categories</b>		
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Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	<p>Political and legislative repercussions of failing to meet the requirements of the Social Services Wellbeing Act, Wellbeing of Future Generations Act and the proposed new Local Government Bill and Additional Learning Needs and Education Tribunal Act could lead to litigation, fines and/or political instability.</p> <p>Failure to fully embrace and participate in discussions/collaborative opportunities as a result of the proposed new Local Government Bill could have detrimental impact on political leadership of the Council.</p>

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



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

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

## 2 – Risk Evaluation

### 2.1 Inherent Risk Scoring

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

### 2.2 Controlling Inherent Risk

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

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

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

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

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>The Well-being Plan has been approved by the Public Service Board (PSB) and by the relevant boards of the statutory partners. The Plan was informed by the detailed Well-being Assessment published in 2017 and sets out how partners will work together to improve well-being across the Vale.</li> <li>We have reviewed our Well-being objectives as part of the Council's annual self-assessment process to ensure the well-being objectives remain relevant in contributing to the Council delivering our corporate priorities and contributing to the national well-being goals.</li> <li>At each Public Services Board (PSB) meeting there is a focus on one of the four objectives with key officers attending to provide updates and discuss issues.</li> <li>Continue to promote 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.</li> <li>Implemented new assessment processes to ensure compliance with the requirements of the Social Services Wellbeing Act.</li> <li>Processes at the Customer Contact Centre to support the provision of an Advice and Assistance Line have been reviewed and updated. There is also ongoing review of our Quality Assurance and Performance Management procedures that is now business as usual.</li> <li>The Welsh Community Care and Information System was launched in November 2017 to enable the safe sharing of information and deliver improved care and support for</li> </ul>			

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

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



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

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AS/A038	Update the referral management processes at the Customer Contact Centre.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC/AC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	<p>This action is in two parts:                      1. Intake and Assessment: Referral pathways re-established to remove blockages within the referral pathway. Princess of Wales referrals directed toward Integrated Discharge Service.                      2. 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.</p>												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	<p>As per Qtr 1, this work progresses well. We now have additional Community Liaison (former brokers) Officers that are supporting this work, and a pilot is due to commence in Qtr 3 for Visiting officers to further enhance this IAA function to support lower level care and support needs and enquiries. This Qtr we have secured a joint tender with Cardiff and Vale UHB for a provider to support low level discharge support for people to promote earlier discharge home and giving people confidence and support in their first few days to resettle at home. Wellbeing Posts (AS/A038) have also been recruited to and will commence in Qtr 3.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RM/A028	Review the effectiveness of the Information, Advice and Assistance Service and its associated pathways in relation to the provision of Family Information and Support.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GJ	March 2020	Red (Slipped)
<b>ACTION UPDATE:</b>	Temporary Manager Vacancy within FACT has resulted in postponement of review to quarters 3 and 4. Recruitment process in place.												
AS/A039	Monitor and improve the Information, Advice and Assistance sign off.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC/AC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Four existing CSRs are being upgraded to Wellbeing Officers within C1V Outbound to offer enhanced Information as well as Assistance and Advice following proportionate assessment via telephone calls. In addition, we are recruiting 2 newly funded Wellbeing Visiting Officers to outreach the provision of IAA and non-complex Care & Support (including provision of OT equipment) to enhance independence and wellbeing.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Increased staffing establishment in place. Call activity increasing. Evaluation of activity and progress being completed Q3 on Q2 data and comparison from same period 2018/19.												

### 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			
PD/A031	Continue to work with partners to improve self-service options to ensure that customers' enquiries are resolved as quickly as possible, complying with the Social Care and Well-being (Wales) Act 2014.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Concessionary Travel Pass applications are now available online via Transport for Wales with links on Vale of Glamorgan Council website. Detailed information about access to social care services or make referrals in the Vale of Glamorgan is available on the Councils website. Dewis Cymru, the central resource for well-being services across Wales, is promoted prominently across the website.												
CS/AC039	Promote the Children's Advocacy Service to increase the local take up of the 'active offer'.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KC/AC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	On-going promotion of the advocacy service, significant increase in the active offer.												
CS/C040	Implementation/delivery of projects awarded Transformation funding.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	RE	March 2020	Red (Slipped)
<b>ACTION UPDATE:</b>	A decision is still awaited from WG re the Directorate's second bid.												

### 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/A026	Continue to identify opportunities for joint commissioning where it can be evidenced to be of benefit in line with duties set out in Part 9 of the Social Services and Well-being (Wales) Act.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/GJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Monthly meetings of the Regional Commissioning Board, with colleagues from Cardiff Council and Cardiff and Vale UHB, continue to take place, with this being discussed as a standing agenda item.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NJ/SM	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Work on the development of the regional policies is in progress with the first phase of our implementation plan close to completion. A number of policies have now been produced for children's services to bring them in line with the policies for adults and these are now undergoing final review. We are looking to recruit to the post of regional policy officer to help support this area of work, and interviews are taking place this week.												
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.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	RE	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Part 4 care and support plans developed and live on WCCIS. Part 6 plans in development and due to be live 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			
RM/A032	Contribute to the ongoing review of the Social Services Performance Management Framework and its implementation.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	SM	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The Regional Coordinator for Sustainable Social Services attended the Welsh Government Business Intelligence Group, where the findings of the all wales consultation were considered. A revised framework will now be produced, and we are working with our colleagues across the region to ensure we have systems in place that will enable us to report on the new matrix												
RM/A036	Establish a monitoring process for the implementation of the Social Services and Well-being (Wales) Act via the Steering Group.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	SM	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The Regional Steering Group continues to meet, and its development plan is monitored to ensure the regional workstreams continue to deliver the agreed priorities.												
RM/W02 7	Deliver a programme of training to staff in relation to meeting the requirements of the Social Services and Well-being (Wales) Act.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	SM	March 2020	Green (Completed) Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	All training now has the Act embedded within it. This objective is now business as usual.												

### 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/C032	Develop a Regional Carer's Strategy in line with requirements of the Social Services and Well-being (Wales) Act 2014.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GJ	March 2020	Green (On track)
<b>ACTION UPDATE:</b>	Deliver a programme of training to staff in relation to meeting the requirements of the Social Services and Well-being (Wales) Act.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Work is progressing to deliver a range of actions and a workshop has been arranged for the 24th September to bring all those leading on objectives and actions together to prioritise activities for the coming year for the PSB to consider in October. A Healthy Travel Charter will be launched in October and plans are being developed for the December PSB meeting to involve young people to help embed work around the rights of the child.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			TB	March 2020	Green (Completed)  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	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 raising the profile of the PSB.												

### 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			
PD/C087	Engage with residents, partners and council colleagues in developing a new Corporate Plan for 2020-25.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	The consultation on the draft plan will begin on the 15th October however some initial engagement work has already taken place. Officers will visit events across the Vale including international older peoples day and the Youth Forum conference. In addition, officers will run consultation sessions in libraries and there will be an on-line survey. There has already been considerable engagement with senior managers to develop the objectives and actions in the plan.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			TB	March 2020	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	Work has been completed on the production of the Council’s Annual Report that meets the requirements of the Well-being of Future Generations Act and the Local Government Measure. The draft Annual Report was reported to Scrutiny Committees in September 2019 and then onto Cabinet and Council where it was approved. The Annual Report in line with statutory requirements was published on 16th October 2019.												
AA/C028	Identify and progress potential areas of service delivery and provision that can be delivered on a regional basis.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	Directors of Education have commissioned a consultant to progress this work and to report back to directors with proposals for consideration.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SR	March 2020	<b>Red (Slipped)</b>
<b>ACTION UPDATE:</b>	The post 16 work has not progressed as hoped in Q2. No further meeting have taken place but these are scheduled for Q3. The Welsh Government have recently put back the implementation date for the ALN Act by a year to September 2021 in order to provide more time to prepare for the impact of the Act. This is a particularly complex area of change and the additional time provided by the delay in the implementation of the Act will be needed.												

### 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/A035	Engage in discussions with the Welsh Government about roles, responsibilities and resources for post-16 ALN provision.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD/SR	March 2020	Red (Slipped)
<b>ACTION UPDATE:</b>	The post 16 work has not progressed as hoped in Q2. No further meeting have taken place but these are scheduled for Q3. The Welsh Government have recently put back the implementation date for the ALN Act by a year to September 2021 in order to provide more time to prepare for the impact of the Act. This is a particularly complex area of change and the additional time provided by the delay in the implementation of the Act will be needed.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD/SR	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The task and finish groups are meeting on a regular basis, the work is ongoing and on track for completion by the end of the academic 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			
AA/A041	Develop a new ALN Strategy in light of the ALN Act and local priorities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD/SR	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The work to develop the strategy is ongoing and is on track for completion by April 2020.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD/SR	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	All local authorities are undertaking an audit of current resources and these are being collated on a consortium wide basis. This will form the basis of a map and gap exercise which is identifying what further activity will be required to improve access to welsh medium resources.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD/SR	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	All of the groups described in quarter1 have been established and are meeting on a regular basis. All of the workstreams are progressing well. There are no outputs from the groups expected until Q4.												

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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD/SR	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	All local authorities are undertaking an audit of current resources and these are being collated on a consortium wide basis. This will form the basis of a map and gap exercise which is identifying what further activity will be required to improve access to welsh medium resources.												

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

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	<p>Inability to meet Welsh Government guidance by failing to retain no more than 10% surplus places. Failure to improve the quality of buildings to make them safer and more accessible, resulting in a breach of our duties under the Health and Safety Act Disability Discrimination Act.</p> <p>The Council could fail to meet the statutory requirement to meet the demand for Welsh medium school places and the need to meet the Welsh Government commitment for one million Welsh speakers by 2050.</p>

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

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

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











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



<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
	<ul style="list-style-type: none"> <li>• Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school).</li> <li>• Colcot Primary School Barry – Refurbishment (fully funded by Local Authority)</li> <li>• Romilly Primary School, Barry – new foundation phase block. (Band A)</li> <li>• New 60 place part-time Fairfield Nursery opened.</li> <li>• Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now open and operating successfully.</li> <li>• School Development needs assessments will continue to inform the new school modernisation programme. This work will require liaison between School Organisation and the newly established 21st Century Schools team looking at need as it relates to place planning up to 2026.</li> <li>• New admission arrangements for 2020/21 has now been concluded and approved by Cabinet and proposals for 2021/22 are currently being formulated.</li> <li>• Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Survey demand for school places in line with the Council's Welsh Education Strategic Plan.</li> <li>• Periodic review rolling 25 year plan for schools asset renewal.</li> <li>• Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity.</li> <li>• Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## School Reorganisation

### 2.3 Residual Risk Scoring & Direction of Travel

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	4	12	2	2	4	2	2	4		
Resources	3	4	12	2	2	4	2	2	4		
Service Delivery & Well-being	3	4	12	2	2	4	2	2	4		
Reputation	3	4	12	2	2	4	2	2	4		
<b>Average risk score/ direction of travel</b>	3	4	<b>12</b>	2	2	<b>4</b>	2	2	<b>4 (Medium)</b>		

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term			
SL/A040	Progress Barry Secondary Learning Communities by gaining approval of final business cases (FBCs) and commence construction.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	July 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Planning applications have been approved for both schemes and construction has started on site from September 2019. There was a delay to the start date due to the new SAB process.												

### 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/A041	Confirm brief of Barry Centre of Learning & Well-being.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/LL	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	A number of potential sites have been identified during Q2. The 21st Century Schools Team met with the Welsh Church Act Estate regarding potential land in Sully. Continuing to work with Development Control to assess the range of options available. Draft internal layouts have been shared with the Head of Additional Learning Needs and Well-being and Head of Standards and Provision for feedback.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Barry Waterfront: Proposal to expand Ysgol Sant Baruc approved by Cabinet 29.07.19. Welsh government approved business case July 2019. St David's: Cabinet approved proposal to expand the school on 15.07.19 St Nicholas: Cabinet approved proposal to expand the school on 23.09.19. Cowbridge: Developed an initial proposal for Primary Provision in Cowbridge. Draft Cabinet report distributed for comment.												

### 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/A043	Clarify requirements for Primary Welsh medium and English medium education in the Western Vale and Penarth.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2020 (Ongoing)	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	A proposal has been established to address English and Welsh medium primary education in Cowbridge (Western Vale). A phased approach is being proposed with English medium being addressed as part of phase 1 and Welsh medium being addressed as part of phase 2. This proposal will be considered by Cabinet on 4 November 2019. Proposals for Penarth are subject to planning permission being granted for the Cosmeston development.												
SL/A045	Contribute to increasing the range of Welsh Medium provision for Vale pupils aged 14-19.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/LL	March 2020 (Ongoing)	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	Work to expand Ysgol Gymraeg Bro Morgannwg has started on site and is progressing in line with programme. Met with Development Control in August to undertake an appraisal of land option for future Welsh Medium expansion. Follow up meeting arranged for Q3.												

### 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).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/LL	March 2020 (Ongoing)	Green (On Track)
<b>ACTION UPDATE:</b>	All local authorities are undertaking an audit of current resources and these are being collated on a consortium wide basis. This will form the basis of a map and gap exercise which is identifying what further activity will be required to improve access to welsh medium resources.												

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 3<sup>rd</sup> 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 roll out of the Waste Blue Print has commenced. This is seeing 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 as a phased roll out that started in the rural Vale on the 14<sup>th</sup> October 2019, 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
<b>Political &amp; Legislative</b>	Yes	Failure of contract agreements associated with our waste collaborations. Failure to comply with statutory waste targets and the associated Welsh Government guidance.
<b>Resources</b>	Yes	<p>Inability to streamline our approach to optimise productivity as consequence of budgetary cuts and/or staff shortages that will impact on our performance against waste reduction targets.</p> <p>Inability to effectively monitor and manage our contract agreements resulting in poor contractual compliance and performance.</p> <p>Council incurs fines as a result of failing to meet statutory waste reduction targets.</p> <p>National Welsh Government grants are withdrawn as a result of failing to meet statutory waste reduction targets.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including:</p> <p>i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales);</p> <p>ii. pollution of the local environment (e.g. contamination of groundwater; soil contamination).</p> <p>Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates.</p> <p>Poor engagement with the hard to reach section of our community resulting in lower recycling and composting take up rates.</p> <p>Poor communication following any change in collection methodology resulting in poor take up of recycling and composting services.</p> <p>Increasing waste budget pressures as a result of new developments and an inability to deliver savings in waste management services.</p>
<b>Reputation</b>	Yes	Failure to meet the statutory waste targets and comply with the Welsh Government's waste strategy would have a detrimental impact on the resident's perception of Council services and would attract criticism from our external regulators and Welsh Government.



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

<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running</li> <li>Waste Resource Action Programme (WRAP) is completed. Cabinet agreed a black bag restriction for 2018/19 to move on a phased basis to the Welsh Government Blue Print which commenced on the 14<sup>th</sup> October 2019.</li> </ul>	1	2	2
<b>Resources</b>	<ul style="list-style-type: none"> <li>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</li> <li>The 25 year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place.</li> <li>Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council.</li> <li>Household Waste Recycling contract operated by the company FCC.</li> <li>A revised waste strategy will be presented to Cabinet during 2019/20</li> </ul>	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>that will take into account the targets up and including 70% recycling 2024/25. In line with this Strategy, Capital funding has been received to implement the service changes for kerbside collections and to construct a Waste Transfer Station during 2018/19 and 2019/20. Mapping of all the new rounds are completed for Residual, Recycling &amp; Food, in preparation for September 2019.</p> <ul style="list-style-type: none"> <li>• Full review of our Enforcement Policy for littering and fly tipping has been completed with an update presented to Scrutiny Members and Cabinet Members noting the progress that has been made and lessons learnt since the contract with the 3GS (environmental enforcement officers) commenced on the 7th October 2016.</li> <li>• Since October 2019, the environmental enforcement service has been brought back in house under a new enforcement team.</li> <li>• Annually bid for Welsh Government Environment Grant to deliver improvements to the waste management infrastructure.</li> <li>• Waste Vehicle savings for 2018/19 have been met.</li> <li>•</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Increased waste awareness initiatives including a litter summit.</li> <li>• Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</li> <li>• Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery.</li> <li>• Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced.</li> <li>• 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</li> </ul>	1	2	2

<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
	<p>letter drops to residential areas where there is poor participation, roadshows with the event trailer and a school education programme.</p> <ul style="list-style-type: none"> <li>• The interim Waste Transfer Station (WTS) at Cowbridge is operational.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Regularly implement high profile campaigns in the community to raise awareness of the importance of recycling, composting. Consultation regarding possible changes to waste service including a series of engagement events through throughout the Vale of Glamorgan area.</li> <li>• Maximise the use of Social Media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner to raise awareness of dog fouling/littering issues.</li> </ul>	1	2	2
<b>Overall Effectiveness of Controls</b>		<b>1</b>	<b>2</b>	<b>2</b>

### 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		
<b>Average risk score/ direction of travel</b>	4	3	<b>12</b>	1	2	<b>2</b>	4	2	<b>8(Medium /High)</b>		

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/BT	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Waste wardens continue to promote dry and food waste recycling and are actively involved with the implementation of the collections blueprint.												
NS/A064	Achieve the national recycling target of 64% for 2019/20.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	All vehicles and plant equipment that has and is being purchased, leased or hired during this financial year meet current EU emission standards. Additional to this on purchasing vehicles and plant all alternative fuel options are explored prior to purchasing a diesel engine model. On selecting a diesel vehicle this vehicle is then run on 5% biodiesel.												
NS/A068	Bid for the annual Welsh Government Environment Grant.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER/CS/MS	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Bids submitted in Quarter 4 for new grant. No further update for the quarter 2 period available.												

### 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)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/CH/ BT	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The temporary Waste Transfer Station in Cowbridge is operational and the permanent site planned for construction at Atlantic Trading Estate is at detail design stage. Submission for planning permission is being prepared and the Environmental Permit application has started. Construction is planned to start in quarter 4. Consideration to an alternative depot to Court road is being considered as part of this project with land availability near to the proposed WTS being considered.												
NS/A023	Develop/implement a Waste Reduction Strategy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/BT	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Waste wardens continue to promote dry and food waste recycling and are actively involved with the implementation of the collections blueprint. The wardens also continue to monitor the 2-bag limit that was introduced last year and providing eligible residents with additional purple bags where it is deemed appropriate.												
NS/A024	Remodel our waste management infrastructure.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/BT	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	All relevant staff have received full training on the RomaQuip vehicles. 11 of the vehicles are now operational and collecting source separated material across the Rural Vale. Work is ongoing for the planning and environmental permit for the permanent waste transfer station at Atlantic Trading Estate, 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/A025	Develop a 7 year Waste Management Plan (2018-25)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/BT	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The restriction of 2 bags per fortnight was introduced across the whole of the Vale last year. These changes saw a 26% decrease of residual waste from kerbside collections. The first phase of the implementation of the collection blue print was introduced week commencing 14.09.2019 throughout the Rural Vale. These changes have been well received by residents.												
NS/A070	Explore the options for a new Western Vale Household Waste Recycling Centre once the existing site lease expires.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS	December 2019	Green (On track)
<b>ACTION UPDATE:</b>	An advert for expressions of interest sent to managing agents and an offer has been received from the existing land owner where the current site is located. The options will be presented to Cabinet in quarter 3.												
NS/A072	Consider options to bring Household Waste Recycling Centre sites back in-house during 2019 or 2020.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS	April 2019	Green (On track)
<b>ACTION UPDATE:</b>	As the blueprint will take until the end of 2020 to phase in, it has been considered not to take the sites back in-house until July 2021 where there is an opportunity to do so where there is a natural break in the annual extensions that are available under the existing contract.												
NS/A067	Introduce the Collections Blueprint on a phased approach.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/BT	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Preparations complete for a phased roll out of the Rural Vale planned for 14th October 2019.												

1 – Risk Overview	
1.1 Risk Description	<p>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.</p> <p>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.</p>

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

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	Political and legislative repercussions of failing to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.
<b>Resources</b>	Yes	<p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on a range of factors including the commitments to increase the number of apprenticeships within the Council (and wider community), the increase of younger employees (as a percentage of the wider workforce) and the aims within the Council's Equalities Strategy.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan (and specifically in relation to change</p>



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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>its focus and appeal to a wider section of the workforce.</p> <ul style="list-style-type: none"> <li>• The Management Competency Framework continues to be used to enhance skills and expertise at our Team Manager level. The competency frameworks are now complete and integrated into both iDev and the #itsaboutme process.</li> <li>• Management Competency Framework is live and is used with the #itsaboutme 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.</li> <li>• The Staff Engagement Strategy has now been embedded with mechanisms to evaluate ongoing engagement. There are quarterly joint CMT engagement meetings. The Vale Induction Programme contributes to our ability to build a resilient workforce, strengthen staff knowledge and understanding of the Council's vision, values and contribution to the achievement of our corporate priorities.</li> <li>• HR Business Partners and Assistant Business partners continue to support managers in Change Management Reviews. Support was successfully provided in relation to the extension of the Shared Audit Service.</li> <li>• Chief Officer briefing sessions and management development sessions were held support reshaping and discuss the staff results.</li> <li>• Apprenticeship pathway is in place to enable direct recruitment of apprentices and enables us to better support succession planning.</li> <li>• Regional Training and Workforce Development Unit has been established</li> </ul>			

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.			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Workforce planning processes delivered with a focus on alternative service delivery and workforce implications.</li> <li>• The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data.</li> <li>• We continue to move towards a HR Self-Service model.</li> <li>• Organisational Development support provided to the Reshaping Services Programme continues to influence how we deliver alternative models of service delivery.</li> <li>• #itsaboutme staff appraisal process has been reviewed to ensure it remains relevant year on year to staff to connect staff activity to corporate priorities and ensures it continues to contribute to the Staff Charter and Reshaping Services Agenda. The appraisal process has been launched on i Dev.</li> <li>• The Council is a Stonewall Champion committed to ensuring we have an inclusive work place for all lesbian, gay, bi and trans-sexual staff. We have developed an action plan to further evidence that we have an inclusive work place. The Council has contributed to the Stonewall 2018/19 Employment Index Survey and increased the number of respondents to the survey and improved our Index position. During the year we contributed to the development of GLAM, a new brand for the Council's network for LGBT colleagues and allies.</li> <li>• The NJC Single Status 2019 pay award has been assimilated into a new pay and grading structure which has been agreed. This will meet our national and local reward strategy obligations and place the council lowest pay rate for employees above the Foundation Living Wage rate.</li> <li>• The Management Competency Framework is in place. Several management development sessions continue to be held with managers focusing on managing the future, the</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>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.</p> <ul style="list-style-type: none"> <li>• We have procured an E Bulk solution to provide a significant reduction administration and the time in accessing Disclosure and Barring Services (DBS) certificates. The E Bulk system service is now operational.</li> <li>• The new HR Structure has been embedded and all posts within the Business Partnership, Organisational Development and Employee Services teams have now been filled. Transition arrangements are nearing completion along with a programme of streamlining processes and exploring digitalisation opportunities. The new HR model helps to streamline the delivery of HR services to provide a framework for up skilling staff and sharing skills.</li> <li>• Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process is under development.</li> <li>• Launched the Employee Core Competency and Management Competency Frameworks to help identify and address skill gaps across the Council to embed these within the #itsaboutme appraisal system.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• All recruitment adverts promote the Council as an equal opportunities employer.</li> <li>• The 'Staff Charter' continues to be embedded following consultation and refinement. The majority of objectives in the Charter have now been achieved and will be further developed following the feedback from the Big Conversation 2.</li> <li>• The Council's Staff Engagement Strategy continues to be strengthened alongside an effective method of continuing evaluation. The profile of the Council as an attractive employer has been raised</li> </ul>	2	2	4

<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
	<p>Contribution to the wider HR network across Wales as a promoter of innovative workforce practice.</p> <ul style="list-style-type: none"> <li>Developed good relationships with local education establishments (Cardiff University &amp; Cardiff and Vale College) as well as independent Apprenticeship providers.</li> </ul>			
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## 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		
<b>Average risk score/ direction of travel</b>	3	3	<b>9</b>	2	2	<b>4</b>	2	2	<b>4 (Medium)</b>		

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
HR/A008 HR/A013 NS/C031 AS/W045	<p>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.</p> <p>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.</p> <p>Implementing across relevant divisions an apprenticeship scheme (Adult Services)</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GW	March 2020	<b>Amber (Minor Slippage)</b>
<b>ACTION UPDATE:</b>	<p>We have continued to work with service departments and our key partners to increase the proportion of 16-24 year- old employees in our workforce. During quarter 2, we have attended Careers Fairs to discuss apprenticeship opportunities and we continue to challenge managers on opportunities to use apprenticeships, graduate and trainee opportunities in recruitment to develop our 16 - 24 age bracket. Also, during the quarter 2 period there has been a greater focus on the use of digital technology to enhance our reach to the 16-24-year-old age group to attract them to roles within the local authority. We have attempted to progress this through the launch of e-recruit portal and the development of a mobile enabled web page that assists candidates to apply for positions more easily via their mobile devices. During quarter 3, our focus will be working with our recruitment colleagues to discuss ways of further promoting</p>												



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>these opportunities within the new e-recruit world.</p> <p>Attended Careers Fairs to discuss apprenticeship opportunities, and we continue to challenge managers on opportunities to use apprenticeships, graduate and trainee opportunities in recruitment to develop our 16 - 24 age bracket.</p> <p>We have further progressed opportunities to promote careers within in the Council including apprenticeships by attending two local schools to discuss career opportunities that exist. Within Legal Services we are progressing plans to put in place a Stonewall work experience candidate. Within Neighbourhood Services, additional apprenticeship fitters have been employed along with two apprenticeship administrators within our Business Support division.</p> <p>Further work on looking at opportunities to raise the profile of the Council as an appealing place to work for 16 – 24 using the employer as a brand will be explored with the new Head of HR who is in post from October (Quarter 3 period).</p>												
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.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GW	March 2020	<b>Red (Slipped)</b>
<b>ACTION UPDATE:</b>	Two placements continue to be employed via agency in the Council. Further work is required to look at how we integrate this within our wider work experience offering. We will make contact with DWP and discuss how we further utilise this offering.												

### 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/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).		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AU	March 2020	Amber (Minor slippage)
<b>ACTION UPDATE:</b>	The activities as identified in Q1 have continued throughout Q2. Work will need to be progressed during Q3 to progress a review of our HR Strategy and a refresh of the Council's Staff Charter to ensure linkage of both initiatives is achieved through engagement with the trade unions and staff.												
HR/W061	Launch the Management Competency Framework to support the development of leadership and management qualities in line with the Reshaping Services Programme.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GW	March 2020	Green (On Track)
AS/W046	Review delivery of a pilot leadership programme for Adult Services.												
<b>ACTION UPDATE:</b>	The management competencies are part of the #itsaboutme process, with a deadline of October 31st for completion of the initial discussion based around the new framework. Following that date completion will be assessed. The service is working alongside to chase up any outstanding returns. Q3 will see further work done in order to support the learning and development in line with more and more training mapped to the framework each week, with the intention to have every competency mapped to several types of learning by the end of Q4.												

### 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/W038	Continue to review and enhance the Council’s Succession Planning and Talent Management Scheme.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GW	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The #itsaboutme process closed on the 30th September and we are now analysing results in order to begin the process of laying out a Succession Plan and talent management strategy. This will need to be completed strategically across the organisation as the Workforce plan is due for renewal by the end of Q4.												
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.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GW/AU HR DMT	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The #itsaboutme process closed on the 30th September and we are now analysing results in order to begin the process of laying out a Succession Plan and Talent Management Strategy. This will need to be completed strategically across the organisation as the Workforce plan is due for renewal by the end of Q4. Within Finance and ICT, the possibility of engaging apprentices as part of succession planning is being considered with the Regional Internal Audit Service and ICT service. In Legal Services, Q2 saw the appointment of the Assistant Lawyer Planning and Property to the Senior Lawyer post Planning and Highways post. The Assistant Lawyer post is now vacant but recruitment process underway with internal advert currently live. The anticipated qualification of the Trainee Lawyer on the 1st November sees the commencement of a new training contract following selection of an appropriate candidate this quarter. 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. We continue												

### 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			
	to attract good quality students looking to undertake year out work experience and this has provided an invaluable method of recruitment going forward. Neighbourhood Services, continues to focus on succession planning for critical posts trainees in place and a team approach to management of the service. Also posts multi-functional to enable development and resilience for services. The Children and Young Peoples Service Division continues to make effective use of the Team Manger Development Programme, by supporting the nomination and attendance of relevant managers.												
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)
<b>ACTION UPDATE:</b>	<p>The sickness absence figures for both Q1 and Q2 are higher than the previous year and higher than the target. Directors are required to consider the data at DMTs and are required to undertake a detailed review and develop local actions as appropriate in consultation with their HR Business Partner. CMT recently agreed that the MD and the Head of HR &amp; OD meet to consider the existing policy and explore opportunities to bring the Council within target. In addition, a workshop was held in July 2019 facilitated by a HR Business Partner with a number of Service Heads and Managers, which considered in depth the pros and cons of the existing policy and procedure. This information will be shared with the MD and HR &amp; OD as part of the scheduled bi-annual review of the policy.</p> <p>The Council will be progressing the annual Flu inoculation excise during Q3 and the Health and Safety Wellbeing team are in the process of arranging a health fair to be held during Q4. The trained Mental Health Champions have been arranging coffee mornings and other activities to encourage staff to talk about mental health and to assist in staff wellbeing.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Monthly Case Management reviews continue to take place with the relevant HR Business Partner, Occupational Health and the Operational Manager HR to ensure the policy is being applied in a consistent manner, to instigate checks to any potential error/updates in the data and identify appropriate steps to address continued absence. We will also be exploring absence reporting at Team level for the Environment and Housing Services directorate in Q3.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GW	March 2020	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	This action is now complete - reporting will be made available from November 1st 2019 following initial dip checks.												
HR/W043	Support the development needs associated with the Council's Digital Strategy.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LB	March 2020	<b>Amber (Minor slippage)</b>
<b>ACTION UPDATE:</b>	Work is ongoing on the Digital Employee strand of the digital project. Testing continued during Q2 on the E-payslip system, and due to some system changes required, this will continue into Q3. The StaffNet Plus (Intranet site) is also progressing well with the Communications Team taking the lead in developing the pages with support from HR. Further work is required during Q3 to finalise the pages before being made live.												

### 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/W068	Refine how learning is delivered corporately by developing, implementing and supporting a self-directed approach.		✓	✓	✓	✓		✓	✓	✓	GW	March 2020	Red (slipped)
<b>ACTION UPDATE:</b>	The review was undertaken, and the findings have yet to be actioned. The intention is to step up this action into Q3 to enable the majority of work to be completed by Q4. This is in line with the aim of supporting every competency to have associated training by the end of Q4												
HR/W069	Review key employment policies to help deal more effectively with issues of capability.	✓	✓	✓	✓	✓		✓	✓	✓	AU/JB	March 2020	Green (on track)
<b>ACTION UPDATE:</b>	Redeployment, Grievance, Flexible Working, Career Break, Disciplinary, Social Media and Drug and Alcohol policy have all been reviewed and agreed at Terms and Conditions, CMT, Change Forum and at Corporate JCF and have been updated on Staffnet and are now in place. The Unacceptable Actions of Citizens policy has also been successfully consulted and endorsed but has yet to be approved by CMT (which is necessary given the interaction and implications on elected members and citizens). HR Business Partner is in the process of concluding a review of the Capability policy and procedure during Q3.												
SL/W065 NS/W005	Develop and implement strategies/initiatives to address ageing workforce profile in key service areas.		✓	✓	✓	✓		✓	✓	✓	TB/ER	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Within Neighbourhood Services. The average age of the work force has reduced since the implementation of the new Neighbourhood Service model. Several retirements will allow for recruitment to take place, but the profile of our workforce remains an area under continual review. Within Strategy, Community Learning and Resources a new recruitment strategy has been developed for the Catering service as part of the rollout of the LATC. Early discussions have even had regarding apprenticeship opportunities via Cardiff and Vale College (CAVC) aligned to their vocational courses on offer.												

### 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			
PD/W084 FIT/W017 FIT/W020 LS/W052 DS/W046 SL/W066 SL/W044 AA/W029 RP/W053 RP/W030 NS/W029 RM/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.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/CL/ DM/JR TB/DD ER/MG AP	March 2020	<b>Green (On track)</b>
<b>ACTION UPDATE:</b>	<p>A focus of the new Head of Policy &amp; Business Transformation is on further up-skilling and flexibility between Policy teams (Strategy &amp; Partnerships, Corporate Performance and Equalities). Co-locating these teams and developing the corporate plan and strategic equalities plan conterminously is assisting in developing these linkages.</p> <p>The Strategy and Resources service continues to progress this and is effectively working towards completing its responsibilities within the Competency Framework. Opportunities to develop staff continue to be explored. An example of this relates to the high level of compliance with Safeguarding and other key training programmes. The division continues to explore opportunities for further collaboration, but limitations with regard to back office systems has limited scope. No opportunities have been identified this quarter. Within the Achievement for All service, all officers are engaging in the #itsaboutme process and managers have attended the corporate engagement sessions. As a Directorate work is being progressed to improve engagement with staff. A recent Directorate training day was attended by over 90 staff and was evaluated positively by attendees.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>All #itsaboutme meetings have been undertaken and the training requirements from that are now being evaluated. A culture of ongoing continual professional development continues to be a focus for service areas such as Legal Services. We also continue to support staff to develop skill sets through attendance at relevant training and other courses to encourage skills development, with a particular focus on developing knowledge and skills in key areas of new legislation and guidance especially within the Regeneration and Planning division. In Finance and ICT Services, the joint working in the Internal Audit and the ICT services is continuing and the Property Section are involved in regional working with partners to identify good practice and improve the management of assets across the public sector in the area. 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. We continue to attract good quality students looking to undertake year out work experience and this has provided an invaluable method of recruitment going forward.</p>												
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	March 2020	Green (On track)
<b>ACTION UPDATE:</b>	<p>During Q2 the Equalities Team have been co-located with the performance and policy teams to bring this work closer together, notably in the development of the new corporate plan and strategic equality plan. An Intern within Corporate Communications is enabling skills to be developed in consultation and engagement on these and other issues in order to exploit the synergies across teams.</p>												



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
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 Community Investment team. This includes also implementing a single integrated management structure in relation to the Long-Term Care Service and Nurse Assessor Team.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/MI JR/SC AP	March 2020	Green (On track)
<b>ACTION UPDATE:</b>	<p>Good progress has been made in implementing the Democratic Service restructure, as recruitment to vacant positions has been completed for 4 out of the 5 posts. Applications for the Cabinet and Committee Services Officer post are currently being considered with a view to interviews being undertaken early October 2019. It is anticipated the action will be completed and all posts recruited to by the end of November 2019. A Head of HR position was advertised, and successful candidate was offered the position in June. The new Head of HR is due to commence position during quarter 3 (October 2019).</p> <p>Progress against the Community Investment Strategy is being reported to Homes and Safe Communities Scrutiny shortly. The draft report shows significant progress in all areas and all key actions have been completed. The Strategy will be reviewed over the next 6 months to identify priority. There is also a need to align some of the work with other areas including the Public Service Board, the Corporate Plan and other partnerships e.g. employment and training. In terms of staffing, the vacant Senior Neighbourhood Manager position, which leads of CI initiatives is vacant, however a second attempt at recruitment will be made over the next few weeks. This is a key role in terms of driving further projects and drafting the new Strategy.</p> <p>In relation to Strategy, Community Learning and Resource Division the Business Plan for restructuring the Management Information Service has been approved and the launch of the Local Authority Trading Company in relation to catering is imminent.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>We continue to explore with our health partners opportunities for joint posts. However, the Health Board are not in a position to jointly fund the Integrated Team Manager post at present, this means that the Vale Funded Integrated Manager post will be ringfenced to VOG staff only in first instance, so consultation events on hold. Meeting planned with UHB OD, HR and leadership team to endeavour to provide reassurance and move forward in Qtr 3 and 4. Within Resource Management and Safeguarding Division, the appointment of the Safeguarding Team Manager and IROs (with market forces) commenced to bring permanence and resilience to the safeguarding structure.</p>												
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.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER/MG RE		<b>Green (On track)</b>
<b>CTION UPDATE:</b>	<p>Within Human Resources, we are in the process of reviewing our roles and responsibilities in the context of critical posts and how we support service areas in address these issues. 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. We continue to attract good quality students looking to undertake year out work experience and this has provided an invaluable method of recruitment going forward.</p> <p>In relation to Neighbourhood Services, market forces supplement agreed for fitter posts. Senior Structures post and highway maintenance neighbourhood manager to be considered for further advertisement in Quarter 3. This is ongoing and continually being reviewed.</p> <p>Within the Children and Young Peoples Service Division, the service continues to seek to recruit permanently to all of its posts. This has been successful in the majority of teams but with some continuing challenges in CPP where a bespoke advert is being prepared. The open advert for SW vacancies outlined in Q1 has been implemented.</p>												



**1 – Risk Overview**

<b>1.1 Risk Description</b>	<p>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.</p> <p>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.</p> <p>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 25<sup>th</sup> May 2018. The principles of the GDPR are similar to the those set out in the Data Protection Act, but with additional details regarding accountability and governance requirements and specifically requires organisations to show how they comply with the principles by documenting decisions the organisation takes in relation to processing activities. The Regulations have been designed to further minimise the risk of data breaches and uphold the protection of personal data, which is likely to result ensuring robust policies and procedures to ensure good governance measures are in place. The key risk associated with this is that we fail to meet the requirements of this regulation and safeguard our information and data.</p> <p>The key risk associated with this is the failure to implement adequate information security management systems across the Council.</p>
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**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
<b>Political &amp; Legislative</b>	Yes	Political and legislative repercussions of failing to meet the requirements of key legislation including Data Protection Act 1998, Computer Misuse Act 1990 and the new General Data Protection Regulations (GDPR).could lead to litigation and/or political instability.

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

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

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

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

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



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
FIT/IT005	Support the implementation of the Council's Digital Strategy (Tranche 3) by working with Theme Leads to deliver key projects.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NW	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	ICT continue to support reshaping and 'Digital' projects. The eRecruitment system is now live with the online payslips system going live imminently. Housing and Visible Services are moving closer to procurement stage - quickly followed by implementation, both of which will require ICT resources to deliver.												
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.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	EW	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The hybrid (cloud ready) storage is in place and working. There is ongoing investigation around projects and tasks that could utilise cloud-based storage.												
FIT/IT046	Continue to review ICT systems and software across the Council to ensure they are fit for purpose.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NW	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	This is an ongoing review and as new systems are being introduced such as Office 365 (which has now started to be rolled out across the council) older legacy systems that provide similar or duplicate functionality will be removed.												

### 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/IT045	Work with colleagues across the Council to comply with relevant security standards, including GDPR, PCI and PSN.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NW	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	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 which is now due to go live in December 2019 following a lot of work with the software suppliers.												
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.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NW	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Office 365 has now been rolled out to all Chief Officers and their respective Personal Assistants. October will see the roll-out move on to Legal, Democratic Services and Finance.												

### 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/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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NW	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	<b>Completed in Q1-</b> 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.												
SL/IT061	Work with schools to develop appropriate strategies to enable them to effectively meet their requirements in relation to GDPR.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2020	Green (On track)
<b>ACTION UPDATE:</b>	The Welsh Government's Microsoft 365 A3 Licensing is now available in all Primary schools throughout the Vale. We continue to be heavily involved in WG's Schools Change Programme, IT baseline assessments have been completed for all schools with a LA support contract.												
DS/IT036	Undertake refresher training on GDPR and information sharing for all relevant staff.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Further liaison has taken place with the Organisational Development team to deliver a refresher programme for staff by the end of this calendar 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			
DS/IT051	Review the Vale of Glamorgan’s Retention Policy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Since the last report, a Working Group has been established and met. it has been agreed in principle that the Corporate Retention schedule should be defaulted as much as possible to a standard 7 years as per the Limitation Act. Certain areas are required to hold data in excess of this under statutory provision and these are currently being assessed.												
RM/IT031	Work with the other Social Services divisions to support compliance with GDPR practice.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Privacy notices written and will be placed on intranet and Council website.												

## 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 29<sup>th</sup> 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.

	<ul style="list-style-type: none"> <li>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.</li> </ul> <p>In response to the is Climate Change Emergency Declaration, the Insight Board has undertaken some initial work to identify key areas of activity across the Council that are contributing to this declaration.</p>
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<b>1.2 Risk Owner</b>	<b>Head of Neighbourhood Services and Transport (ER)</b>
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<b>1.3 Impact on our contribution to the Wellbeing Goals</b>						
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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

<b>1.4 Risk Categories</b>		
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Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	<p>Failure to meet legal duties in relation to the Flood and Water Management Act.</p> <p>Inability to meet Welsh Government requirements for Statutory Transport Guidance as it relates the Active Travel and Learner Travel Wales.</p> <p>Failure to define our vision, ownership and responsibility for addressing climate change issues.</p> <p>Inability and capacity of 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.</p> <p>Failure to fully utilise our land use planning framework and other policy levers to become more resilient to climate change and its effects.</p>
<b>Resources</b>	Yes	Limited asset renewal funding could result in the Council not being able to meet its CO <sub>2</sub> reduction target set out in the Carbon Management Strategy and Implementation Plan.

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Increased pressure on limited resources as a consequence of increased areas of maintenance.</p> <p>Insufficient funding availability to fully implement programmes/initiatives to reduce our carbon footprint.</p> <p>Annually shrinking budgets will impact negatively on consistently achieving high standards of cleanliness of the local environment.</p> <p>Impact of our failure to meet our commitments under the CRC Energy Efficiency Scheme and its associated financial benefits.</p> <p>Council incurs fines as a result of failing to meet statutory waste reduction targets.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to deliver key flood alleviation schemes across the Vale and exposing flood prone areas to a greater risk of flooding.</p> <p>Failure to implement the Shoreline Management Plan impacting on our ability to monitor and manage coastal erosion.</p> <p>Failure to reduce our carbon foot print by not reducing our CO<sub>2</sub> emissions and improving our energy efficiency.</p> <p>Disruption and financial cost of flooding to homes and businesses.</p> <p>Failure to engage and encourage to residents to participate in Active Travel (use alternative forms of transport to the car).</p> <p>Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates.</p> <p>The impact new developments places on putting in place a sufficient public transport infrastructure.</p> <p>Failure to fully deliver the Carbon Management Plan.</p> <p>Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including: i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales) and pollution of the local environment (e.g. contamination of groundwater; soil contamination).</p>
<b>Reputation</b>	Yes	<p>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.</p>

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Supplementary planning guidance on sustainable development in new builds is in place.</li> <li>Planning Policy Wales has been updated to take account of the future generations Act</li> <li>Development Management – ensuring decisions on new development proposals have regard to sustainability.</li> <li>The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment)</li> </ul>	2	1	2



2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Insight Board</li> <li>Submit bids to Welsh Government for any Environment Grants to implement environmental and countryside programmes locally.</li> <li>The Corporate Plan 2016-20 sets out our priorities relevant to promoting and enhancing sustainability.</li> <li>Implementation of the requirements of the Environment Act 2016.</li> <li>A Regional Transport Authority to govern and promote transport matters including Active Travel.</li> <li>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.</li> </ul>			
<b>Resources</b>	<ul style="list-style-type: none"> <li>Development of updated Carbon Management plan (CMP)</li> <li>Space Programme and Asset Management Strategy</li> <li>Insight Board</li> <li>Automatic meter readings for utilities for all Vale owned buildings.</li> <li>We completed the implementation of LED lighting in residential areas during summer 2018. We have been awarded a Salix Grant to update LED main road (highway) lighting. A review will be undertaken during quarter ¾ on carbon money savings as a result of this project.</li> <li>Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel.</li> <li>Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally.</li> <li>Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally.</li> <li>Opportunities to seek S106 funding have been carried out as and when funding becomes available throughout the year, these have included S106 Barry</li> </ul>	2	2	4

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>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.</p> <ul style="list-style-type: none"> <li>• Ten of our Parks, eight urban parks and two Country Parks have been awarded Green Flag Status. Penarth Marina, Southerndown and Whitmore Bay have maintained their Blue Flag status. We have successfully maintained our Seaside Awards for Jackson Bay and Cold Knap.</li> <li>• The Greenlinks scheme provides transport to residents in the Vale of Glamorgan. The scheme runs five days a week and provides those unable to access regular public transport with a suitable alternative.</li> <li>• Council promotes the 'All Wales Concessionary Travel Scheme' and the 'My Travel Pass' on digital platforms.</li> <li>• Recruited volunteers to assist in the delivery of transportation initiatives.</li> <li>• Investment of S106 monies have improved walking and cycling access.</li> <li>• Delivered a programme of Biodiversity Projects funded by the Welsh Government's Single Environment Grant.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns.</li> <li>• Provision of child pedestrian and cycling training in Vale schools.</li> <li>• Promotion of Active travel.</li> <li>• Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision making processes.</li> </ul>	1	2	2
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

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

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
NS/A054	Continue to improve Active Travel highway network.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER/KP	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	A number of transport schemes including the new five mile lane have incorporated active travel routes and core active travel funding is being used to improved existing AT routes.												
NS/A014	Continue to identify funding to improve the National Cycling Network route 88 as identified in the Active Travel Integrated Network Maps.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KP/MC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	£100k of the Active Travel Core Allocation is being used to improve AT routes based on previous INM audits.												
NS/A001	Further the feasibility study to get buses over the Cardiff Bay Barrage, including further consideration of a Cosmeston Park and Ride facility.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER/KP	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	WelTAG Stage 2 outcomes to be agreed by Cabinet before progression to Stage 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			
NS/A002	Continue to deliver transport improvement schemes associated with the Cardiff Capital Region Metro including cycle infrastructure and bus stop improvements from Weycock Cross to Cardiff Airport.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MC/CH/KP	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Welsh Government funding on schemes such as Penarth to Cardiff Barrage sustainable transport corridor and Junction 34 of the M4 to the A48 are progressing strategic schemes that are part of the CCCR.												
ER4 NS/A003	Progress additional modelling requirements to assist with the feasibility study for bus, cycling and walking improvements at Cardiff and Barry Road, Dinas Powys.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MC/KP	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	<p>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.</p> <p>Additional funding as part of the VOGC's Active Travel core allocation is being used to further enhance the work the WSP have already undertaken. This will include detailed design, consultation and land issues.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ER15 NS/A063	Implement the conversion of non-LED lighting to LED lighting on main roads.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MC/CS	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	A specialist street lighting consultant was appointed in August 2019 via ESPO framework and the specification for up to four typical LED lanterns and the to be used in conversion of main road street lights to LED is now expected early in Q3. This will enable the procurement of the LED lanterns / specialist installer during Q3 with installation commencing at the earliest opportunity following successful appointments of both supplier and installer. Salix have been updated on the current position and continue to monitor progress on this project against the revised project plan.												
NS/A056	Continue to maintain the Greenlinks Community Transport Service.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KP	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	This service continues to be provided with nearly 3,000 passenger trips in Q2.												
NS/A009	Seek further opportunities to recruit volunteers for transportation initiatives.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KP	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The Greenlinks service continues to focus on recruiting new volunteers.												



### 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/A059	Continue to promote the Welsh Government Concessionary Travel Scheme.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KP	March 2020	Green (On Track)	
<b>ACTION UPDATE:</b>	The Council has been working closely with Transport For Wales and WG to assist in the bulk renewal of all concessionary bus passes by the end of Q3 2019.													
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				Green (On Track)
<b>ACTION UPDATE:</b>	All vehicles and plant equipment that has and is being purchased, leased or hired during this financial year meet current EU emission standards. Additional to this on purchasing vehicles and plant all alternative fuel options are explored prior to purchasing a diesel engine model. 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.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MC/CM	March 2020	Green (On Track)	
<b>ACTION UPDATE:</b>	The collection of wind, wave and tide data at Penarth is continuing with equipment in-situ on site and data available for public download from the Channel Coastal Observatory in Southampton. The detailed scanner survey of Penarth shoreline is delayed due to weather concerns and will now be carried out in either Q3 or Q4 to maintain contemporary records and enable monitoring of coastal waters and erosion in this area.													

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
NS/A031	Complete the delivery of the Llanmaes Flood Alleviation Scheme	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	MC/CM	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	A report was presented to Cabinet on 9th September 2019 to update on the progress of the scheme and obtain delegated authority to progress land negotiations with relevant landowners. All landowners directly affected by the scheme have now been identified and initial meetings are being arranged to commence the negotiation process. The progress of negotiations will depend on the willingness of individual landowners to accommodate the necessary works. Liaison with NRW and final design remains ongoing into Q3 with programmed commencement in Q4 still subject to land negotiations and obtaining all necessary consents, including future grant application to Welsh Government.												
RP/A108	Deliver a range of improvements to the Wales Coastal Path in the Vale.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Second annual clearance cut underway. Contractors engaged to carry out coastal project works.												
RP/A1016	Enhance and protect the local biodiversity and habitats through the Communities Act and land use planning system.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	VR	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	During quarter 2, 363 applications have been determined none of which have had an adverse effect on either a SSSI or SINC.												

### 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			
RP/A1017	Co-ordinate delivery and report on corporate actions against the Biodiversity Forward Plan.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PC	March 2020	<b>Green (Complete)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Part 1 Cabinet report approved. Part 2 Cabinet report submitted on 9th of September and approved. Aims and targets agreed and approved for all service areas.												
FIT/A005	Continue to meet our commitments under the CRC Energy Efficiency scheme and achieve annual certification.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DP	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	Report was submitted on time. Excess allowances that we held were sold. Income for this is circa £23,400. We are left with enough allowances to surrender to match the amount on our final CRC report. (7880 allowances). The only remaining task is for an internal audit on our work to be carried out, and for our records to be retained in case inspection by the Environment Agency is required during the retention period of 7 years.												

### 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/A006	Implement the Re:fit (energy efficiency improvement) programme across the Council and work with services to ensure they benefit from the scheme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DP	March 2020	Red (Slipped)
<b>ACTION UPDATE:</b>	There have been some delays in respect of the investment grade proposals (IGPs) received from the contractor which in some cases fail to meet the Salix loan criteria. We will be organising a project board meeting to discuss the options. It is likely that with the project board's approval we can move forward and deliver the majority of the projects in the IGP documents in a slightly different way.												
FIT/A011	Work with colleagues across the Council to achieve the new targets in the Vale of Glamorgan Council Carbon Management Plan 2018-22.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DP	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Discussions continue with colleagues from Neighbourhood services in relation to the possibility of introducing Electric Vehicles. A capital bid has been submitted for the cost of electric pool cars and the infrastructure required. Discussions are continuing with Welsh Government colleagues regarding funding opportunities for electification schemes. Colleagues have also been working with schools and service departments in relation to various Salix energy reduction schemes.												

1 – Risk Overview						
1.1 Risk Description		<p>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.</p> <p>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.</p> <p>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 fully realised in this area.</p> <p>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.</p>				
1.2 Risk Owner		Head of Finance (CL)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	Yes	Yes	Yes	Yes	No

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

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Improved the management and access to and use of Discretionary Housing Payments.</li> <li>Improved engagement with tenants affected by the removal of the spare-room subsidy through: the provision of regular advice and information on the options open to them to address the financial impact of the change in their circumstances; the promotion of the 'Your benefits are changing' helpline; and the provision of support to tenants specifically affected by the removal of the spare-room subsidy to participate in regional/national employment schemes.</li> <li>Supported 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) USDL is a partnership approach between the Council and the Job Centre Plus to provide local support for universal credit claimants.</li> <li>There are various initiatives/support mechanisms in place families who are experiencing financial hardships such as the Sofa scheme, provision of advice and sustaining our partnership with the Food Bank.</li> <li>The Multi-Agency Landlord group meets regularly to discuss and identify how we mitigate the adverse impacts of welfare reform on tenants. For example working on a joint communication campaign to raise awareness of welfare reform.</li> <li>Community Investment Team works with tenants to support them through accessing employment, promoting digital inclusion and working with tenants to participate in Time banking schemes.</li> <li>Universal Credit went live on the 10 October 2018. Citizens requiring digital or personal budgeting support are assisted by the Citizens Advice Bureau.</li> <li>The Council website contains up to date information and advice on Universal Credit with links to Gov.uk along with signposting to other places to get further information and help.</li> <li>We continue to work alongside the DWP and act in accordance with the DWP legislation for Universal Credit only accepting claims</li> </ul>	3	2	6



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

### 2.3 Residual Risk Scoring & 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	↔	↔
<b>Average risk score/ direction of travel</b>	4	3	12	2	2	4	2	2	4 <b>(Medium)</b>	↔	↔

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2020	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2020	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	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.												

### 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/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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2020	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	A Time banking update report was shared with Homes and Safe Communities Committee in September and there was widespread support from elected members, who are also keen to see the scheme expanded with partners, so it can benefit other people in addition to Council tenants. A meeting of the Task and Finish group is scheduled to take place in October to look at consider more detailed proposals for an extended Time banking scheme.												

### 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/A076	Develop a co-ordinated approach to tackling fuel poverty recognising the expertise and contribution of Registered Social Landlords towards achieving this goal.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2020	Red (Slipped)
<b>ACTION UPDATE:</b>	Adopting a fabric first approach to new build development at Mas y Ffynnon and continuing to identify a suitable zero carbon development at the former colcot Clinic. Attendance at Welsh Government seminars to explore new standards for WHQS. Renewable technology solutions being assessed at Longmeadow Court.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Housing staff continue to work with partner organisations and attend multi agency groups, including the UC Partnership Group and also a round table event chaired by the local Assembly Member. Roll out of UC continues at pace and there are now over 400 tenants in receipt of UC; 76% of these tenants are in arrears and the average debt is around £300 greater than tenants still on Housing Benefit. The impact of the UC roll out is monitored closely via Key Performance Indicators and meetings with senior staff. A number of tweaks have been made to the way the ICT software is configured in order to automate actions and free up staff time to monitor the rent accounts which are in most need of attention. As the roll out continues, further increases in arrears are expected.												

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/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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PT	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The three Money Advisors continue to provide advice and assistance to tenants in financial hardship. This includes all tenants migrating on to Universal Credit. Whilst the diaries remain full, urgent cases are prioritised and are seen within 1 week.												

**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.

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

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



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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Regular reporting of progress/updates via Insight Board, CMT and Schools Operational Investment Board.</li> <li>Regular operational meetings with project team.</li> <li>Monthly reporting to the School Investment Operational Board on compliance status.</li> <li>Monthly compliance review meetings within Social Services Directorate to consider and review any compliance issues.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Successful appointment of a Compliance Officer and two administrators.</li> <li>Effective mechanism for the collection of compliance data from schools.</li> <li>Process/mechanism established for the collection/reporting of data from Schools.</li> <li>Discussions regarding cost mechanisms for service are ongoing.</li> <li>IPF database has been populated and relevant paperwork scanned onto the system.</li> <li>A report has been developed to identify the status of each site and provide alerts where certificates are about to expire. Individual directorates are now receiving updates on the compliance status of their service area. Service Managers are now working well</li> </ul>	3	2	6

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

### 2.3 Residual Risk Scoring & Direction of Travel

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

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Create a Master List of all public buildings along with a 'weighting' formula for recharging compliance data management costs.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT/MS	March 2020	Green (On track)
<b>ACTION UPDATE:</b>	Working group meetings are ongoing to progress this and Welsh Government are looking at potential savings through service review (Reshaping).The Master List and the weighting formula has been developed and is awaiting approval.												
HS/F055 HS/F060	Review funding arrangements to ensure long term building compliance sustainability.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2020	Green (On track)
<b>ACTION UPDATE:</b>	Costs and arrangements have been presented to the management team for consideration and funding arrangements are now being considered.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
HS/AM058	Develop and improve the management of compliance, and in particular, 'compliance data' in relation to the Council's corporate building stock.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2020	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Ongoing work continues to review and collate this information. This is now the second year of this newly established team and site details are now being refined and improved for each individual site. A compliance system is in place to ensure that our compliance knowledge is maintained and up to date as best possible. We manage the asset record and the data to support it. The ongoing maintenance of sites remains a focus for the service.												
HS/AM059	Monitor corporate building compliance within schools to raise awareness with premises managers of any compliance risks.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2020	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	All schools have been engaged with the second cycle of visits which they have welcomed. Operating these site visits has enabled us to develop a good understanding and picture of compliance across schools in the Vale of Glamorgan.												

### 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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2020	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Regular updates continue to be received and are having the required impact with schools . This is now operating well and being monitored effectively by the School Investment Operational Board. Monthly reporting received by the Learning and Skills Directorate via the School Investment Operational Board on compliance status.												
SL/AM069	Trial mechanisms for operational support to primary schools in relation to building compliance via schools.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	Several meetings have taken place this quarter to drive forward an improved offer of corporate compliance support to school. A draft document will be presented to the Director of Leaning and Skills in Quarter three with a view to offering a fully costed SLA to schools for the additional services that have been identified next financial year.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	The compliance system is administered by the Corporate Compliance Team, but with access to the system provided by Property and the Learning and Skills Division. View only access is provided to schools.												
RM/R036	Review the effectiveness of corporate buildings compliance that sits within the Social Services Directorate.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/MJ	March 2020	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Monthly compliance review meetings with Corporate Compliance department												

1 – Risk Overview						
<b>1.1 Risk Description</b>		<p>The Council has produced Corporate Safeguarding procedures including the Safer Recruitment Policy, the Staff Supervision Policy and the Referral of Safeguarding Concerns procedure. These policies and procedures are in place to ensure the Council meets its safeguarding responsibilities in relation to the protection of children, young people and adults at risk by ensuring that recruiting managers comply with pre-employment DBS and reference checks and once in post, employees are supervised in terms of their practice with people considered to be ‘at risk’. The Council will also have a responsibility to comply with the Wales Safeguarding procedures when they are launched in November 2019.</p> <p>The Provider Performance Protocol provides a framework for escalating concerns about safeguarding issues and the impact on vulnerable people arising within care homes and other relevant commissioned services.</p> <p>Should these procedures not be followed there could a risk of injury or harm to individuals. Injury or harm could lead to financial loss to the council in terms of compensation claims and reputational damage to the council, leading to a loss of public confidence in key services. The likelihood of this risk occurring increases if policies and procedures are not frequently reviewed and updated, or if compliance with these policies is not fully mainstreamed across the council. Therefore, the overarching risk is that corporate safeguarding procedures are insufficient, not followed or are ineffective.</p>				
<b>1.2 Risk Owner</b>		<b>Head of Resource Management and Safeguarding</b>				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	No	No	Yes	Yes	Yes	No



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

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	work programme of the Safeguarding Board sub-groups.			
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Safer Recruitment Policy is in place to ensure safeguarding checks are carried out on staff working with the public and vulnerable people. All schools in the Vale of Glamorgan have also adopted the policy.</li> <li>• The Council's Duty to Report Safeguarding Concerns procedure is in place to provide employees with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V.</li> <li>• Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable people.</li> <li>• All elected members and staff who come into contact with children on a regular basis receive training on safeguarding and child protection issues and the Council's corporate policy on safeguarding. For staff there is mandatory safeguarding training on Regional Safeguarding Board training, safer recruitment training given through mandatory recruitment and selection course; e-learning module in relation to safeguarding children.</li> <li>• Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy.</li> <li>• The application of the Safer Recruitment policy continues to be promoted within Service areas and is monitored on an ongoing basis, with reports to Cabinet and the relevant Scrutiny Committee on a six-monthly basis. The Safer Recruitment policy has been adopted in all schools within the Vale of Glamorgan.</li> <li>• We have a Local Authority Designated Officer who is accountable for safeguarding and the protection of children and young people and adults in</li> </ul>	3	2	6

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

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

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

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RM/A045	Lead the review and update of the Wales Safeguarding Procedures in line with the Welsh Government Guidance with the Regional Safeguarding Business Unit.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/NJ	March 2020	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Cardiff & Vale RSB has been the lead on the new Wales Safeguarding Procedures. These are being launched in November 2019. Following the launch of the procedures there will be a period of time for implementation and training across the region.												
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NJ (All Council Director ates)	March 2019	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	Review and update of CSG policy is underway. The updated policy will enable review of mechanisms in place to provide assurances of the effectiveness of corporate safeguarding arrangements across the Local Authority.												



### 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/A046	Review compliance of all Directorates with completion of the Safeguarding e-module.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Review of compliance with e-module is an ongoing piece of work that takes place bi-annually.												
RM/A011	Develop and implement training workshops for staff in respect of safeguarding enquiries relating to Adults at risk.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NJ	October 2020	N/A Action not due to commence until Qtr3.
<b>ACTION UPDATE:</b>	A Task and Finish Group due to be established during quarter 3 to look at in detail the regional roll of training in relation to safeguarding arrangements and in the case of this action Adults at risk.												
RM/A048	Contribute to the development of a Regional Exploitation Strategy that encompasses all aspects of exploitation including Child Sexual Exploitation.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	This a regional strategy being produced via the Regional Safeguarding Children’s Board. This work is ongoing and the action plan to support the strategy is being developed. There are representatives from the Vale within the project group.												

### 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/A049	Implement a Data Dashboard in relation to exploitation.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	This dashboard will be developed in line with the identified priorities and actions within the Regional Exploitation Strategy												
RM/A052	Delivery of the Regional Safeguarding Board’s work priorities for 2019/20.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/NJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Senior Management representation from Social Services Directorate on the adult and children's regional safeguarding boards who contribute to the annual plan and priorities.												
RM/A054	Progress the strategic development of Adult Safeguarding Practice.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/NJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Team Manager position for Adult Safeguarding is being recruited to. Review of team structure taking place which has informed capacity and resources demands currently being experienced; Review of adult safeguarding WCCIS forms taken place. Business mapping and process maps are being developed												

### 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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AU/AW	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The changes agreed through the consultation with Schools (as per Q1) were implemented from 1st September 2019. The changes included strengthening the escalation process and that the Risk Assessment form/process should only be used in exceptional circumstances. For the half year period (April 2019 to September 2019), the overall compliance across new starters under the Safer Recruitment Policy within the Council is 98%. This compares to 95% for the same period in the previous year (April 2018 to September 2018). For Schools positions, the compliance for April 2019 to September 2019 is 97% compared to 93% in the previous year (April 2018 to September 2018). For Corporate positions under Safer Recruitment, the compliance for April 2019 to September 2019 is 100% which is the same as the previous year (100% in April 2018 to September 2018). In terms of Risk Assessment usage, 42 out of 256 new starters recruited under the Safer Recruitment Policy involved a risk assessment being put in place prior to all checks being completed.												
AA/A043	Provide appropriate staff training in relation to safeguarding in all education settings and continue to monitor and challenge compliance.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The training programme continues to be delivered and will be ongoing throughout the year.												

[Return to Risk Summary Report](#)

1 – Risk Overview	
1.1 Risk Description	<p>Adult Services are becoming increasingly integrated with health services in order to provide service users and patients with seamless care arrangements. There is also an emphasis as part of the Social Services Wellbeing Act to focus on looking at integrated ways of working through collaboration. The recommendations arising from the recent Parliamentary Review of Health and Social Care has further cemented the need for further developing our approach to integrating health and social care services. The Parliamentary review identified that the focus needs to be on ‘empowering individuals to take decisions, tailoring care to the individual’s expressed needs, whilst being more proactive and preventative. The review also emphasised the need for care provision to be ‘seamless’, of high quality and as close to home as possible.</p> <p>Although, significant strides have been made by the Vale of Glamorgan in relation to integrated health and social care services, there continue to be risks and challenges associated with its delivery. For example, developing a more integrated approach to service provision is likely to propose further challenges with technology, information sharing, staffing structures and governance re policies and financial management. Financial scrutiny will be required to ensure that any risks associated with mandated pooled funding are properly considered. There are also risks associated with the overall sustainability of these new ways of working, given that a significant amount of investment in new ways of working is via Grant funding and therefore short term and finite.</p> <p>Existing HR and IT arrangements may need to be reviewed as organisations work more closely together. The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&amp;V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by Swansea Bay University Health Board. Integration with C&amp;V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services. The focus continues to be on accessing funding such as Integrated Care Fund and Transformation Fund in order to further expand and develop our integrated service models. For example, Regional Partners recently submitted a bid to access Transformation Funding to support implementation of the Parliamentary Review. As a result, the region was awarded £7million to deliver 7 projects across the Cardiff and Vale region with the vision of developing more ‘seamless care’ for our citizens. .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.</p>
1.2 Risk Owner	<b>Head of Adult Services (SC)</b>

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics.</p> <p>Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services.</p> <p>Disproportionate funding split in relation to partners spending/commissioning of care arrangements impacting on the ability to deliver integrated health and social care services that meet the diverse needs of the community.</p> <p>Poor communication with staff and service users regarding changes to how services will be delivered could impact on the quality and consistency of service delivery and on the awareness/take up of services.</p> <p>Failure to adequately resource the Customer Contact Centre for dealing with health and social care queries impacting on access to services and waiting times.</p>
<b>Reputation</b>	Yes	Failure to manage expectations of service delivery as part of the new delivery models impacting on the Council's reputation.

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Information Sharing Protocols developed and operational.</li> <li>Integration of Health and Social Care is considered at all levels of the</li> </ul>	3	3	9











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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>line with the recommendations arising from the Parliamentary Review.</p> <ul style="list-style-type: none"> <li>• Regular quarterly data from Paris on the number of Health to Health transfers is being received.</li> <li>• Joint transition meetings booked in across Cardiff and Vale on a monthly basis to develop a joint transition protocol 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.</li> <li>• Grant funding was awarded during 2018 to continue the development of the Single Point of Access Services to meet the recommendation of the Parliamentary Review of health and Social Care .We have established a Joint Staff Forum and work plan with a joint induction and training programme planned.</li> <li>• We have welcomed additional health staff into the Ty Jenner Hub and the Locality team and links with the PCIC Clinical Board are extended.</li> <li>• We monitor implementation of the ICF Revenue, Capital and Slippage Schemes and work positively with partners including Cardiff Council, Cardiff and Vale UHB and Third Sector Organisations to deliver good quality services for the residents of our Region.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• DEWIS Cymru Portal is providing more effective signposting for service users to adult services.</li> <li>• Continued to develop the Customer Contact Centre as a single point of access for community health and social care services through expanding the range of services that are available.</li> <li>• Reviewed and put in place new assessment processes and IT infrastructure to ensure compliance with the Social Services Wellbeing Act.</li> <li>• Effectively use funding including the Integrated Care Fund and Transformation Fund to explore new models/ways of working to further enhance integrated service delivery. Integrated Community Resource Teams and wellbeing co-ordinators that are linked to GP practices which has</li> </ul>	2	2	4



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

### 2.3 Residual Risk Scoring & Direction of Travel

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	2	3	6	3	3	9	1	1	1		
Resources	3	3	9	1	1	1	3	3	9		
Service Delivery & Well-being	2	3	6	2	2	4	1	2	2		
Reputation	2	3	6	1	1	1	2	3	6		
<b>Average risk score/ direction of travel</b>	2	3	<b>6</b>	2	2	<b>4</b>	2	2	<b>4 (Medium)</b>		

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
AS/A033	Implement the preferred option for the Customer Contact Centre as a single point of contact.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	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.												
<b>ACTION UPDATE:</b>	<p>Work is ongoing with progressing the preferred option for the Customer Contact Centre as a single point of contact, by focusing on the re-branding the service to Wellbeing Matters Service. Work with joint staff forum to support this stream of work and improve further the patient/citizen experience at the front door. Preparation for the go-live of the GP triage Pilot project (transformation monies).</p> <p>In terms of strengthening and extending shared working between C1V and the health Board to enhance integrated service, operational cooperation continues in the delivery of key projects. A review of the potential for closer integration with Contact One Vale, Adult Services Intake and Assessment and Cardiff and Vale Health Boards Communications Hub has been initiated under the banner of Wellbeing Matters.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
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. 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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TC	March 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	The Customer Relations Team are a key contributor to the Well-being Matters project Steering Group and GP Triage Project Board. The Integrated Management Team within the Contact Centre includes Customer Relations who are working with the Telecare service to develop an online application service. The new contact centre platform will go live. 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.												

### 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/A036	Pilot delivery of a GP triaging scheme within the Vale of Glamorgan.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	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		
<b>ACTION UPDATE:</b>	<p>This Transformation project continues to make steady progress to explore the Contact Centre being able to host a GP triaging service to promote GMS (General Medical Services) sustainability through signposting patients to alterative and appropriate professionals and services rather than the default of access to a GP appointment. Given its nature we are working to manage risks and reassure stakeholders and many of the functions are integrated and/or provided by Health colleagues which we have limited power to resolve in terms of recruitment and systems. Our joint project team continue to work through these risks and barriers and find sustainable solutions to complex information sharing and governance arrangements.</p> <p>Customer Relations is represented on the GP Triage Steering Group providing a range of advice and assistance. In particular Customer Relations is supporting the development of the telephony solution, ensuring call flows and messaging reflect the requirements of the service and provide excellent patient experience.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LW	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Strategy completed. Launched on the 18th June. Implementation of the priorities identified within the Strategy will be managed through the LDPG and a series of workstreams. First meeting of all 8 workstreams to be held in first two weeks of October. ToR/Action Plan/Reporting forms provided for each workstream.												
AS/A040	Implement a regional protocol to support transition processes across all of Adult Services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LW	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Draft protocol currently being consulted on across education, health SNAP and social services. Leads have met with Rachel Evans and OM's and have booked to meet with Suzanne Clifton and OM's in October.												
AS/A041	Implement the 'Get Me Home' Plus service.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC/AC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Continue to work through the HR related issues that this change I service model brings. However, feedback from the SRO has been that the integration has meant that this is now a model that is aspired to across the Region and that we continue to deliver high quality services and outcomes as a consequence.												
AS/A042	Implement a 'Team around an individual' approach to Dementia Services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC/AC	March 2020	Red (Slipped)
<b>ACTION UPDATE:</b>	The service model has been reviewed and clinical leadership will change as a consequence of pending retirement. Challenges in getting the model and staffing correct. Ongoing discussions to remedy this and ensure that the planned project outcomes are delivered accordingly.												

### 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/A043	Work with partners to develop a Vale Locality Model in response to the recommendations of the Parliamentary Review.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC/AC	March 2020	Red (Slipped)
<b>ACTION UPDATE:</b>	Funding only confirmed at end of September through Transformation monies. Research into other models of Alliancing being explored and set up visits for early in Qtr 3, plans to then recruit Project Management/Consultancy resource to progress this work under Transformation scheme for the next 12 - 15 months.												
AS/A044	Explore the development of an integrated model for Long Term Care Service and Nurse Assessor Team at Ty Jenner.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC/AC	March 2020	Red (Slipped)
<b>ACTION UPDATE:</b>	Health partners are not in a position to jointly fund the Integrated Team Manager post and are uncomfortable with the HR rules meaning that the Vale Funded Integrated Manager post will be ringfenced to VOG staff only in first instance, so consultation events on hold. Meeting planned with UHB OD, HR and leadership team to endeavour to provide reassurance and move forward in Qtr 3 and 4.												
AS/A045	Review opportunities for the development of clear Continuing Health Care Processes.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC/AC/L W	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	CHC processes are clear and adhered to from the LA's perspective. The decision to recruit to a senior social work position to focus on CHC has been revisited and felt that we do not need this resource currently as our staff feel more confident in this area. Reviews continue to happen and provide outcomes that individuals are eligible for CHC funding by the NHS. As this team are accommodating the workflow and achieving savings through signposting CHC eligible patients accordingly we feel that this area has been achieved and will be monitored for the remainder of the year. The risk to this is changes within the NHS staffing and accessibility of MDT professionals to conduct the Decision Support Tool (DST) meetings or should CHC panels not agree with the recommendations of the MDT.												

### 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/IT053	Explore the use of technology to further enhance integration and communication with our partners.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2020	Red (Slipped)
<b>ACTION UPDATE:</b>	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. There has been no further progression during quarter 2.												
AS/C054	Pilot delivery of the co-location of Independent Living Officers.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC/AC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Posts out to advert. Models identified and will be implemented in Qtr 3.												
RM/A033	Implement outcome-based Residential Care/Nursing contract that is jointly developed with the University Health Board and Cardiff Council.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Consultation is currently being finalised on the joint specification and contract and a decision regarding the implementation will be presented to cabinet in February 2020.												



### 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	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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/SM	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	The Regional Steering Group continues to meet, and its development plan is monitored to ensure the regional workstreams continue to deliver the agreed priorities.												
AS/A035	Review the effectiveness of the reablement model used in the Vale of Glamorgan.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC/AC	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	A review of the processes and staffing structure has been commissioned and will commence in Qtr 3. The reablement model continues to be effective and performance has exceeded targets consistently following the attention of the integrated manager considering how performance was monitored and reported.												

### 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/A041 AS/AM04 4 AS/AM04 1	<p>Undertake a formal review of existing pooled arrangements and where necessary put in place formal agreements.</p> <p>Consider our assets in partnership with other partners to make best use of our pooled resources.</p> <p>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.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/GJ  SC  SC	March 2020	Red (Slipped)
<b>ACTION UPDATE:</b>	<p>Existing pooled arrangements are monitored as part of the Regional Commissioning Board.</p> <p>Given the integrated nature of our Division through the Vale Locality we continue to use our buildings flexibly across Health and Council. We explore the opportunities for joint ventures through the Reshaping Asset Board which the Head of Adults Service is a member for the Directorate. The 'shared properties' meeting for the quarter was cancelled, and hence progress has stilted in regards to getting formal arrangements written and signed, but we continue to work in partnership with Health colleagues re our assets and identify opportunities for investment and renewal.</p>												

Appendix 12 Corporate Risk 12: Unauthorised Deprivation of Liberty Safeguards

[Return to Risk Summary Report](#)

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

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

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

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

## 2 – Risk Evaluation

### 2.1 Inherent Risk Scoring











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

### 2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	Regular scrutiny and CMT reports to highlight the key issues affecting DOLs. The DOLs Management Board oversees DOLs development.	1	2	2
<b>Resources</b>	Additional Best Interest Assessors have been recruited to meet the increased demand for additional assessments. Efficient use and co-ordination of resources on a regional basis via a collaborative arrangement with Cardiff Council and Cardiff and Vale University Health Board.	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Light touch review of systems and processes undertaken to put in place more robust processes to support the timely completion of assessments.</p> <p>Financial contributions by partners are reviewed at every DOLs Board with ongoing discussion.</p> <p>Findings &amp; recommendations from the business improvement review have been adopted and implemented.</p>			
<b>Service Delivery &amp; Well-being</b>	<p>Effective case management processes in place</p> <p>The CMHT for Older People has relocated from Ty Jenner to Llanfair Unit at Llandough Hospital.</p> <p>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.</p> <p>Gateway provider will monitor demand for advocacy and Independent Advocacy to inform future commissioning intentions. This work will lead to the Cost effective commissioning of advocacy Services that meets the needs of service users.</p>	1	2	2
<b>Reputation</b>	<p>We have formed good relationship with Welsh Government, Regulators and Key Partners and feed into the Association of Directors of Social Services (ADSS).</p>	1	2	2
<b>Overall Effectiveness of Controls</b>		<b>1</b>	<b>2</b>	<b>2</b>

### 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	2	2	4	2	8		
Service Delivery & Well-being	4	3	12	1	2	2	4	2	8		
Reputation	3	3	9	1	2	2	3	2	6		
<b>Average risk score/ direction of travel</b>	4	3	12	1	2	2	4	2	<b>8 (Medium High)</b>		

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
NEW ACTION	Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2020	N/A Action not due
<b>ACTION UPDATE:</b>	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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2020	N/A Action not due
<b>ACTION UPDATE:</b>	Preparatory work for this action will not commence until quarter 3 when it becomes clearer what the requirements of the new legislation will be.												



[Return to Risk Summary Report](#)

1 – Risk Overview	
1.1 Risk Description	<p>The Social Services &amp; Wellbeing (Wales) Act 2014 has integration of health and social care at its core. The effective sharing of information is a fundamental foundation of integrated working and should be applied on a “once for Wales” basis. Welsh Government has significantly invested in the capital programme to support the development and implementation of an integrated information system across health and social care services. This system is known as Welsh Community Care Information System (WCCIS) and is the replacement to the social care information system known as SWIFT.</p> <p>The new system will provide an integrated electronic record system for social care, primary and community health services, mental health services across both adult and children and young people services. This will be a national system intended to be used across all Welsh local authorities and Health Boards. It is essential that we implement a fully integrated electronic record system to ensure information is shared appropriately and that residents of the Cardiff and Vale are safeguarded.</p> <p>The WCCIS procurement process ended in 2015. All 22 local authorities and health boards are enabled to procure WCCIS, as a replacement for their existing information system.</p> <p>The Cardiff and Vale region have agreed in principle to collectively contract with WCCIS to enable integrated working to become a reality. However, to date Vale of Glamorgan Council is the only partner to have signed a deployment order with the supplier, Careworks. Cardiff and Vale UHB and Cardiff Council are currently going through processes to determine the scale of their adoption of WCCIS. However, the overall aim remains that all three partners will utilise WCCIS over the coming years.</p> <p>Initially there were some delays with the implementation of the system, which have since been addressed. And although WCCIS went live during November 2017, there were a series of obstacles to overcome in order to ensure full transition to the new system so that all aspects of the system are fully utilised and embedded. The risk previously was in relation to the inability to interface with the legacy system (SWIFT), and to fully embed and utilise the system to its full potential in integrated health and social care, 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 emphasis of the risk has now shifted onto a more regional focus where the risk is the ‘Inability to safeguard our citizens across Cardiff and the Vale as result of not implementing an integrated case recording system over a regional foot print which will impact on our ability to share information effectively across organisational boundaries’.</p>

	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.					
<b>1.2 Risk Owner</b>	<b>Head of Resource Management and Safeguarding (AP)</b>					
<b>1.3 Alignment with Well-being Goals</b>						
<b>A Globally Responsible Wales</b>	<b>A Prosperous Wales</b>	<b>A Resilient Wales</b>	<b>A Healthier Wales</b>	<b>A More Equal Wales</b>	<b>A Wales of Cohesive Communities</b>	<b>A Wales of Vibrant Culture and Thriving Welsh Language</b>
No	No	Yes	Yes	Yes	Yes	No

<b>1.3 Risk Categories</b>		
<b>Categories</b>	<b>Yes/No</b>	<b>Definition</b>
<b><i>Political &amp; Legislative</i></b>	Yes	<p>Political and legislative repercussions of failing to fully implement WCCIS across the Directorate fully within required timescales.</p> <p>Failure to put effective information security safeguards in place resulting in personal/sensitive and confidential information being leaked/revealed in the public domain could cause political instability and loss of credibility.</p> <p>Failure of other regional partners to implement the system, thus not maximising the benefits of the systems particularly in relation to integrated teams.</p>
<b><i>Resources</i></b>	Yes	<p>Failure to fully maximise and mobilise our existing resources to ensure full implementation/development of WCCIS across the Directorate.</p> <p>Increased risk of data protection breaches following transition to new WCCIS system due to the large volume of users and the financial impact of these breaches.</p> <p>Limited skill resilience to extract and report relevant data from the system.</p> <p>Financial impact of contract renewal for sustaining a legacy system in line with the Council's retention policy.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Failure to fully develop WCCIS and its potential could impact the ability of service users to access services readily.</p> <p>Loss of data could impact of the delivery of key services as well as the impact this has on service users.</p>

1.3 Risk Categories		
Categories	Yes/No	Definition
		Failure to safeguard our citizens across Cardiff and the Vale as result of not implementing an integrated case recording system over a regional foot print which will impact on our ability to share information effectively across organisational boundaries.
<b>Reputation</b>	Yes	Reputational impact arising from findings from Adult Practice and Child Practice Reviews as a result of failing to record/share information effectively using WCCIS. This could result in a loss of confidence and trust in our ability to safeguard our citizens resulting in negative publicity. And ultimately have a detrimental impact on our credibility and leaves us open to potential criticism from our external regulator CIW, the Welsh Government and the Ombudsman.

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>• Delivery of other development phases of the system are being monitored via operational meetings.</li> <li>• Regular reporting of progress/updates via Insight, CMT and Cabinet.</li> <li>• Regional partners have further delayed implementation of WCCIS.</li> </ul>			
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Identified Super users for the system maintain links with the national and regional team.</li> <li>• Successfully trained all staff on using WCCIS now that it is operational.</li> <li>• Training has been delivered on performance reporting and officers continue to access support from other local authorities to develop their expertise on the system.</li> <li>• Performance staff have attended SQL training to understand how to build performance related reports.</li> <li>• Performance staff have liaised with other WCCIS sites (local authorities) to access additional support and to gain greater understanding of how to build reports and access data.</li> <li>• Appointment of a Senior Systems Support Officer who is responsible for progressing WCCIS project delivery.</li> </ul>	2	2	4
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Directorate adheres to the Council's Information Management Strategy.</li> <li>• We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.</li> <li>• Data disclosure agreements in place with all other organisations that are using WCCIS.</li> <li>• Information Manager attends Information Governance Groups to ensure the IAA is signed and fit for purpose to give us an additional layer of protection.</li> <li>• Representatives Attend Regional and National Operational Meetings to identify and discuss any operational issues with the system and impact on service delivery.</li> <li>• Fortnightly operational meetings post-implementation to identify and address</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>system based issues as they arise. Such as changes to social work practice and including the development of new forms etc.</p> <ul style="list-style-type: none"> <li>• Introduced a 'clinic' for users to attend to discuss their forms etc.</li> <li>• Dashboards within WCCIS have been developed to enable staff to manage their own data have been completed.</li> <li>• A WCCIS Wizards Group for Superusers to help practitioners with the development of the system.</li> <li>• WCCIS Operational Group is in place that enables the identification and resolution of areas of concern.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Effectively managed expectations and raised awareness with our Regulator (Care Inspectorate Wales) and Welsh Government regarding the limitations of data reporting during this transitional period.</li> <li>• We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.</li> <li>• Performance staff are being trained and learning how to build reports in order to access data and prepare reports using SQL databases. Linked with other WCCIS sites to share knowledge and skills</li> </ul>	2	1	2
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>1</b>	<b>2</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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	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		
<b>Average risk score/ direction of travel</b>	4	4	16	2	1	2	2	3	<b>6 (Medium)</b>		

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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	AP/GJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Work has taken place to collate the financial information required to migrate to the module. Agreement given for Project Manager (part-time temporary) to be sought to keep the project on track.												
RM/A044	Develop a suite of core performance reports in WCCIS to meet the statutory reporting requirements.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	GJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Regular meetings take place with Operational Managers from all Divisions to ensure that the reports are up to date and appropriate. Data cleansing of information on the system continues. Staff competencies in relation to report writing continue to be improved to support this requirement.												
RM/W028	Deliver a programme of refresher training to staff on WCCIS.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	GJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Fundamentals training was delivered by an Agency Trainer up until July 2019. Introduction to software is being delivered by WCCIS Super users (the numbers of Superusers are due to increase so that there is one in each service area). Training is supported by guidance notes and the offer of 1 to 1 support where necessary. Opportunities to buy into the training programmes of neighbouring authorities will be explored pending a regional solution.												

1 – Risk Overview	
<p>1.1 Risk Description</p>	<p>This risk focuses on how we respond to uncertainty and emerging issues surrounding Brexit that has the potential to impact on how we deliver services to our citizens. There is a risk that we fail to effectively identify and respond to the changing policy and legislative landscape as a result of the 'Brexit' process. This could also impact significantly on our ability to deliver our Well-being Outcomes and strategic objectives of our Corporate Plan. By developing a better understanding of the potential pressures Brexit places on specific services this will enable us to better prepare and respond to the changing climate and minimise disruption to service delivery.</p> <p>The uncertainty and implications associated with Brexit have been the subject of much discussion across the Council. The Council has maintained a watching brief as the process has continued and this has been documented to date as part of the legislative Change risk on the Register. However, at Audit Committee in February 2019 a suggestion was made that Brexit should now be identified as a risk in its own right on the Register.</p> <p>CMT have adopted a proportionate approach for planning for Brexit and service areas have undertaken an impact assessment in the context of overall business continuity planning.</p> <p>The WLGA have provided grant funding to all Local Authorities to support the preparatory work associated with Brexit. The Local Resilience Forum have also committed resources to support coordination and communications across the region.</p> <p>A response was submitted to the Wales Audit Office in terms of our readiness work, which included a series of discussions at Insight to formulate an Impact Assessment and a presentation to CMT/Cabinet by the WLGA. It is this preparatory work that has helped to inform how we define and understand this risk. As a result of this impact assessment work, an Action Plan has been developed to mitigate against the potential risks associated with Brexit (and in particular a no-deal scenario). Progress against this action plan is monitored regularly by CMT and feeds into regional reporting we provide to the WLGA as part of EU Preparedness Advisory Panel.</p> <p>We recognise too that residents and businesses will look to us a community leader for advice, support and assistance whilst the negotiations remain ongoing. Therefore, since the referendum, our focus has been on ensuring that we participate in opportunities to feed into discussions at both the national and local level regarding the potential impact of Brexit on Council services. For example, the Council is represented by the Director of Environment and Housing Services on the Local Resilience Forum, a regional emergency planning group Brexit remains a regular agenda item at both CMT and Insight Board which prompts our wider mitigating activity as an authority.</p> <p>A General Election has been called that will take place on the 12<sup>th</sup> December. In agreement with the EU, a Brexit extension up until January 2020 has been granted, pending the result of the General Election.</p>
<p>1.2 Risk Owner</p>	<p><b>Operational Manager of Policy and Performance (TB).</b></p>



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

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

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











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

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

<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>• Director of Environment and Housing is a representative for the Council on local resilience form to make connections between council and other key regional partners.</li> <li>• Developed strong links with the WLGA to access specialist advice, information and briefings.</li> <li>• 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.</li> </ul>	2	1	2
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>• Completed a Directorate-wide impact assessment of Brexit.</li> <li>• Business Continuity Plans have been reviewed and updated for priority one services.</li> <li>• Maintain a high-profile presence in all relevant discussions and briefings with regard to Brexit and its implications for legislative changes. The Council has</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>established good links with the Welsh Government and WLGA in relation to this.</p> <ul style="list-style-type: none"> <li>• Links with the Welsh Government and WLGA regarding economic development.</li> <li>• Brexit Impact Assessment Action Plan has been approved and is monitored by CMT on a regular basis. The monitoring of this action plan feeds into updates/reporting that we provide regionally to the WLGA in relation to the EU Preparedness Advisory Panel.</li> <li>• 100% of all priority 1 Business Continuity Plans were completed. The next steps will involve undertaking testing of Priority One Business Plans to gain assurance of existing business continuity mechanisms.</li> <li>• Impact of access to agency staff post-Brexit in relation to our residential/domiciliary care workforce has been fully investigated and identified as a low risk area.</li> <li>• Continue to work closely with managers across all service areas to help them to support potential employees who may need to apply for settled status Worked with our local Trade Unions, we have provided the ability for staff to access advice and support from HR to support them to apply for settled status.</li> <li>• HR systems have been updated to record/capture the nationality of new employees/new starters to the local authority that will enable us to take a more pro-active approach to signposting and supporting them to register via EUSS.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>• Brexit Impact Assessment Action Plan was developed and approved by CMT in September and is monitored on a regular basis.</li> <li>• Commenced a Directorate-wide impact assessment of Brexit.</li> <li>•</li> </ul>	1	1	1
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> </ul>	1	1	1
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>1</b>	<b>2</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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	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		
<b>Average risk score/ direction of travel</b>	4	3	<b>12</b>	2	1	<b>2</b>	3	3	<b>9 (Medium/High)</b>		

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Establish service area and council-wide actions to mitigate the eight areas of risk to Business Continuity identified as being relevant to Brexit.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	September 2019	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	The 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 informed the development of a series of actions that were aligned to our impact assessment. The resultant Brexit Impact Assessment Action Plan was developed and approved by CMT in September and is monitored on a regular basis. The monitoring of this action plan feeds into updates/reporting that we provide regionally to the WLGA in relation to the EU Preparedness Advisory Panel.												
	Update priority 1 Business Continuity Plans.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	All HoS	June 2019	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	100% of all priority 1 Business Continuity Plans were completed during Quarter 2. The next steps will involve undertaking testing of Priority One Business Plans to gain assurance of existing business continuity mechanisms.												

### 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			
RP/F055 RP/SR005	Work with the Welsh Government and Welsh Local Government Association to maximise opportunities for new grant sources post Brexit.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Work continues despite the lack of clarity surrounding BREXIT. The outcomes will be very much dependant on whether a deal is reached with the EU and therefore remains largely in a state of flux. However, all contingencies are being considered and explored.												
Action Plan	Undertake a refresh of training for food safety and hygiene and raise awareness of best practice for storage of foods in residential care settings, day services, school catering and with foster carers.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	December 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Guidance document will be sent to school kitchens and social services highlighting awareness of best practice for receiving and storage of foods to assist during any period of disruption to food supplies. HACCP (Hazard Analysis and Critical Control Points) controls will be in place to ensure safety of food being received and stored.												



### 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/R037	Establish a process for monitoring the costs/procurement of goods post-Brexit in relation to our residential care and day centres.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/MJ	March 2020	Green (On Track)
<b>ACTION UPDATE:</b>	Monthly updated achieved, risk identified and Business Continuity Plans updated as required. Findings shared with relevant parties.												
RM/A038	Investigate impact of access to agency staff post-Brexit in relation to our residential/domiciliary care workforce.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/MJ	March 2020	Green (Completed)  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Established that very low % staff originate from the European continent relevant information regarding the registration process to gain settled status with agencies.												

### 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 Plan	Review the Fuel Plan to ensure that it is still relevant to the organisation and report to CMT.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MP/DS	December 2020	Green (On Track)
<b>ACTION UPDATE:</b>	This work has been undertaken at the national level and will be taken forward at a regional level as part of discussions with the South Wales Local Resilience Forum. These discussions are only at the preliminary stage but with further planned. The Council’s Fuel Plan has been reviewed in the interim and a workshop is planned for October to bring services together on this subject.												
<b>ACTION PLAN</b>	Review and refresh the priority one list of individuals to ensure that it is accurate and up to date.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MP/DS	December 2019	Green (On Track)
<b>ACTION UPDATE:</b>	The priority one list is currently being reviewed in line with the definition of priority one workers as defined by the Home Office. All Service areas have been asked to identify potential priority one staff. The next stage will be to assess whether these proposed individuals should be included on the final list for approval. This is the list that will be referred to in the event of any fuel shortages.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION PLAN</b>	Work with managers across service areas to support EU national employees to apply for settled status and to raise awareness amongst affected staff of the requirements to apply for settled status by the deadline.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ALL HOS	December 2021	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	<p>The Council participated in government’s EU settlement Pilot scheme that involved raising awareness amongst our staff and partners in Care Services of the EUSS Registration requirements. These measures were adopted in the HR Toolkit.</p> <p>We have updated our systems to be able to record/capture the nationality of new employees/new starters to the local authority that will enable us to take a more pro-active approach to signposting and supporting them to register via EUSS. Work is progressing to make preparations for offering EUSS validation service from the Registration Service. We have also worked closely with mangers across all service areas to help them to support potential employees who may need to apply for settled status (whilst considering the sensitivity of the matter). Working with our local trade unions, we have provided the ability for staff to access advice and support from HR to support them to apply for settled status.</p> <p>Although the core elements of this action have been completed, HR supported by the Communications Team will continue to publicise the opportunity and benefits to staff for applying for settlement status.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>Action Update</b>	Undertake a mapping exercise of our community organisations/Third Sector in terms of assessing their readiness/preparedness for Brexit (to identify the high-risk organisations with minimal resilience and mechanisms in place).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	All HOS	December 2020	<b>Green (On track)</b>
<b>ACTION UPDATE:</b>	Information regarding settled status communicated to our Provider Forum within our Resource Management and Safeguarding division. Adult services are considering their approach in relation to this activity.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION PLAN</b>	Explore ways of raising awareness amongst our smaller business community regarding their readiness for a no-deal Brexit.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG/PC	December 2020	<b>Green (On track)</b>
<b>ACTION UPDATE:</b>	Developed a preparing for Brexit web page for the website to signpost our businesses to advice and information to the Business Wales website.												
<b>ACTION PLAN</b>	Identify mechanisms to support those in the greatest of need/poverty to continue to be able to access food supplies etc e.g. Food Banks.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CMT	December 2020	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	The WLGA are developing a proposal for the Welsh Government to consider providing additional funding to support the provision of food supplies e.g. through Food Banks. The Council has contributed to this work and an announcement on the availability of this funding is due 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			
	Proactively explore the options and potential for establishing a ‘chip and check’ service (pre-application stage) of the EU Settlement Scheme whereby identification documents are checked.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/JR/TC	December 2020	Green (On track)
<b>ACTION UPDATE:</b>	Meetings have been held to explore the options for supporting EU national citizens to apply for settled status and these preparations are progressing well.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>Action Plan</b>	Undertake a supply chain mapping exercise (similar to that already undertaken in residential care) for all priority one service areas requiring a Business Continuity Plan to identify source of transport/logistic arrangements for the supply of key products/materials.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	All HOS	December 2020	<b>Green (On track)</b>
<b>ACTION UPDATE:</b>	<p>This activity has been completed in relation to residential care and is under constant review with suppliers (e.g. food, cleaning, Medical Devices and Clinical Consumable products). Greatest risk is supply of perishables such as meat, vegetables and fruit, but suppliers have assured to build up their stock of frozen meat, they have advised that 92% of their stock lines are frozen produce or ambient products. Residential homes are ensuring sufficient stock of frozen and tinned alternatives to manage any temporary disruption to supplies.</p> <p>All Day services and VCRS (domiciliary care) have been advised to consider this impact regarding food supplies and continence products.</p>												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
Action Plan	Develop an internal communications plan and messaging.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Tom Bowring	December 2020	Green (On Track)
<b>ACTION UPDATE:</b>	This plan has been developed and information sharing will commence in-house with the Managing Director scheduled to email all Councillors and staff in October.												