



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK REGISTER

QUARTER 4 APRIL 2017- MARCH 2018



Strong
Communities
with a Bright
Future

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Risk 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
Likelihood/Probability of Risk Occurring					

Effectiveness of Controls Score

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

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

CORPORATE RISK SUMMARY

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

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

1

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

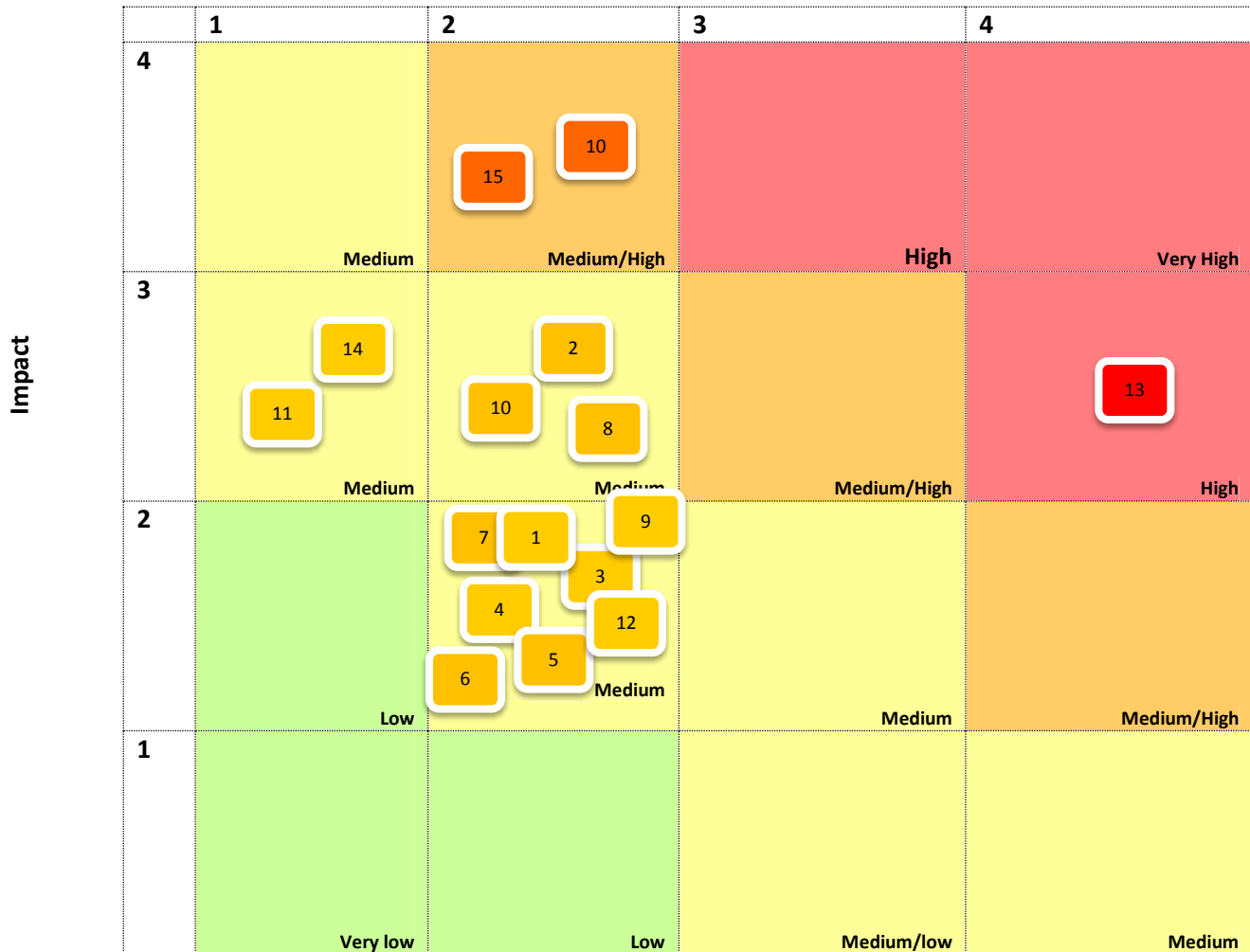
Forecast direction of travel anticipates the future direction of the risk by taking into account factors that are likely to impact on it

↑ Risk increasing, ↓ Risk is decreasing, ↔ Risk remaining static

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.

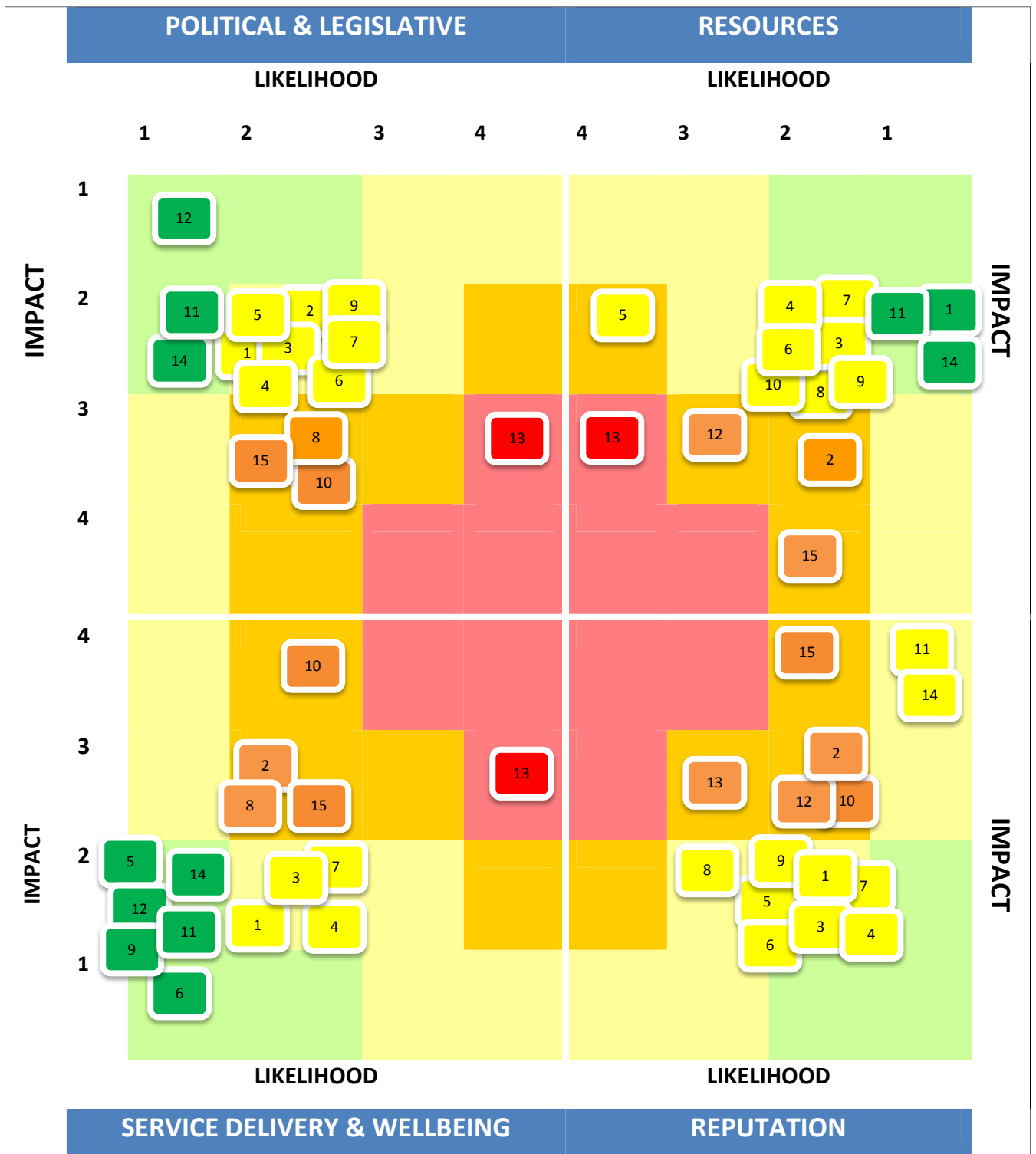
Likelihood



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

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 risk categories and providing an illustration of correlation between risks.



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

Risk Management Plan- RAG Status Overview

The table below provides an overview of progress against the Risk Management Plans for each Corporate Risk. The table show for each Corporate Risk the Risk Status (RAG Status) for all mitigating actions.

Corporate Risk	RAG Status			Total Number of Actions	Total Number of Actions where RAG Status is Applicable
	Green (Completed) Green	Amber	Red		
CR1: Reshaping Services	90% (9)	10% (1)	0% (0)	10	10
CR2: Legislative Change & Local Government Reform	92.3% (12)	0% (0)	7.7% (1)	13	13
CR3: School Reorganisation & Investment	60% (3)	20% (1)	20% (1)	5	5
CR4: Housing Improvement Programme	66.7% (2)	0% (0)	33.3% (1)	5	3
CR5: Waste	50% (3)	0% (0)	50% (3)	6	6
CR6: Workforce Needs	84.6% (11)	0% (0)	15.3% (2)	14	13
CR7: Information Security	28.6% (2)	14.3% (1)	57.1% (4)	7	7
CR8: Environmental Sustainability	83.3% (10)	0% (0)	16.6% (2)	12	12
CR9: Welfare Reform	100% (5)	0% (0)	0% (0)	5	5
CR10: Public Building Compliance	0% (0)	75% (3)	25% (1)	4	4
CR11: Safeguarding	100% (4)	0% (0)	0% (0)	4	4
CR12: Integrated Health & Social Care	77.8% (7)	0% (0)	22.2% (2)	9	9
CR13: Unauthorised Deprivation of Liberty Safeguards (DOLs)	100% (2)	0% (0)	0% (0)	2	2
CR14: Contract Management	50% (1)	0% (0)	50% (1)	3	2
CR15: Welsh Community Care Information System (WCCIS)	66.7% (4)	16.7% (1)	16.7% (1)	7	6
Totals	74.3% (75)	6.9% (7)	18.8% (19)	106	101

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 **Head of Performance & Development (HI)**

1.3 Impact on our contribution to the Wellbeing Goals

A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	Yes	No	No	Yes	No

1.4 Risk Categories

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		<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>
Service Delivery and Wellbeing	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>
Reputation	Yes	Failure to deliver the programme's aim and objectives impact on its reputation with citizens and regulators for the delivery of priority services.

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





2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<ul style="list-style-type: none"> Challenge process in place to identify projects. Mixed economy model approach to Reshaping approved. Tranche 3 projects of corporate nature to lessen impact on front line services. Risk management processes embedded in project management to identify and mitigate impacts on service users. Programme documentation makes linkages with Well-being of Future Generations Act. 	2	2	4
Resources	<ul style="list-style-type: none"> Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees. Programme board and manager in place, with project team resources considered for each project. Council's Financial Resilience considered good by WAO. Business cases developed for projects and guidance in place for Management development programme and competency framework aligned with the requirements of the programme and an organisational development work stream is in place to support the programme. 	3	2	6
Service Delivery & Well-being	<ul style="list-style-type: none"> Business cases consider non-financial implications of any proposed changes. Equality Impact Assessments embedded within the overall programme's management approach. Communications and engagement activities inform project development. 	2	2	4
Reputation	<ul style="list-style-type: none"> Risk management contained within project documentation. Regular updates to Cabinet and Programme Board on status of the programme. Consultation on the Council's budget 	2	2	4

2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>annually includes questions relating to the approach being taken on Reshaping Services.</p> <ul style="list-style-type: none"> Programme Board includes representatives of partners (Voluntary Sector and Town & Community Councils) 			
Overall Effectiveness of Controls		2	2	4

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
£	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"/>	TB	March 2018	Amber (Minor Slippage) This will be an ongoing action for next financial year.	The Reshaping Services Programme has continued to progress, with plans in place to deliver projects. Any issues with individual projects has resulted in some work taking longer than anticipated and as such, some savings have been delayed. During 2017/18, a savings target of £4M was set for the authority. At closure of accounts at end of year, the Reshaping Services programme achieved a total of £2.998M. The Amber status that has been allocated reflects that 75% of savings have been made

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>against target.</p> <p>Learning and Skills - All target savings were achieved in the year.</p> <p>Social Services - Savings targets relating to the Care Package Budget reductions, schemes have been put in place to deliver savings in this area by transferring domiciliary care clients to direct payments and by establishing a review team. The only saving not to be achieved was the £10k Physical Disabilities Day Service saving which is anticipated to be achieved during 2018/19.</p>

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														Environment and Housing - Visible Services had a savings target of £525k under the Reshaping Services programme which was to be achieved by the introduction of a new target operating model. However, the structure was not fully implemented until April 2018 and therefore the shortfall of £525k was met from the Visible Services Reserve. It is anticipated that the savings target will be achieved in full in 2018/19. The £244k Transport Review saving was allocated to Waste Management however it was not achieved this year and funding had been ringfenced

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														in the Visible Service Fund to cover part of the shortfall for this year. Managing Director and Resources - ICT did not achieve £200k of its £400k saving target. There are underspends elsewhere in the Finance division from staff vacancies and supplies and services which offsets this position.
CP1 PD/F023	Commence consideration of Tranche 3 proposals of the Reshaping Services programme and seek Cabinet approval for Business cases as required.	✓	✓	✓	✓	✓	✓	✓		✓	TB	March 2018	Green (Completed) Action completed and will be reflected as a control in	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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													the Register in the next quarterly update.	place ahead of the next financial year.
IS001 PD/A01 6 and IT/F019	Support the implementation of the Council’s Digital Strategy.		✓	✓	✓	✓	✓	✓		✓	TB/NW	March 2018	<p>Green (Completed)</p> <p>Action completed and will be reflected as a control in the Register in the next quarterly update.</p> <p>This will be an ongoing</p>	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. Activity undertaken during quarter 4

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													action for next financial year.	has included the review of bulky collections process and online booking solutions, a new process is expected to be launched in 2018/19 with a significantly improved customer experience. A business case has also been approved to integrate the Mobile App with Oracle CRM. This will provide customers with real time updates on enquiries and reported issues and improved communications. The forms used on the app will also be published to the council's website giving improved functionality and

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														proactive communication with customers regarding reported issues. A project to implement bin collection reminder service has been initiated using existing technology. These services will be implemented in 2018/19. 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.

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
CP1 PD/F022	Develop a procurement project for Tranche 3 Reshaping Services programme.		☑		☑		☑			☑	TB	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	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.
CP1 PD/C003	Continue to develop and contribute to the corporate projects work streams including Town and Community Councils, Demand Management, Effectiveness of Spend and	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2018	Green (Completed) Action completed and will be	In quarter 4 the second evaluation panel met for the Strong Communities Grant fund and Cabinet endorsed further funding awards to a variety of community

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Digital Vale.												<p>reflected as a control in the Register in the next quarterly update.</p> <p>This will be an ongoing action for next financial year.</p>	<p>initiatives as part of the effectiveness of spend project. Work is underway to further promote the fund that will support community and Town/Community Council projects.</p> <p>A number of Community Asset Transfer applications are being progressed. The monitoring of the revised Voluntary Sector Compact is continuing and providing renewed focus for work in this area. Work has also commenced on the checklist recommended to all Councils by the WAO for effective working with the voluntary</p>

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														sector. Work continues to contribute to these projects and will continue into 2018/19 as outlined under PD/C041 as outlined within the Performance and Development Service Plan.
CP1 PD/F024	Contribute to the development of a programme of training to support managers in delivering 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"/>	HI/TB	March 2018	Green (Completed) This will be an ongoing action for next financial year.	Management development programme sessions have been held throughout the year with the most recent being the spring sessions of the management development programme, which were delivered to approximately 300 team leaders and managers and focused on the "Managing

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														Myself" element of the competency framework with an emphasis on communications, engagement and change. Specific support to Reshaping project teams continues to be identified and delivered as required.
CP1 PD/F027	Undertake the preparatory work to ensure that the service contributes to finding £800,000 savings required for the directorate in 2017/18		☑	☑	☑		☑	☑	☑	☑	HI	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next	All services within the Resources Directorate are working towards achieving the savings target of £800,000 for 2017/18 and are forecasting to deliver this in full.

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													quarterly update.	
CP2 PD/W029	Develop and support for managers on commercialisation and income generation.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	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, work to support the project team developing the Catering Company proposals

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														includes identifying the required training and skills support for the team.
PD/AM037	Implement new Community Asset Transfer guidance and explore and promote opportunities for Community Asset Transfers	✓	✓	✓	✓	✓	✓	✓	✓	✓	HI/TB	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update. This will be an ongoing	Support continues to be given to groups who approach the Council with applications for Community Asset Transfers (CATs). Information and guidance on CATs can be easily found at http://www.valeofglamorgan.gov.uk/en/our_council/Community-Asset-Transfer.aspx . This will be further promoted as part of the communications campaign to support the

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													action for next financial year.	Strong Communities Grant Fund where there is a sound business case for the Council to transfer assets to others. 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. In addition, WG have requested assistance from the Council in sharing learnings in this area at a national conference in Q1.
PD/AM038	Delivery of Phase 2 of the Space Project.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB	March 2018	Green (Completed) Action	Work has continued this year to deliver the Space project which is scheduled to be completed in May 2018.

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													completed and will be reflected as a control in the Register in the next quarterly update.	Works have been completed in the reception areas and ground floor. Work within the basement was undertaken from January 2018 for completion in May 2018.

1 – Risk Overview

1.1 Risk Description

This risk focuses on how we respond to new and emerging legislative requirements, particularly where the nature of the legislation is cross-cutting in terms of the impact it has on a variety of service areas. There is the risk that there is a failure to be able to effectively co-ordinate the implementation of significant legislative change across the breadth of Council services/functions. This applies to key pieces of legislation such as the Well-being of Future Generations Act, the Social Services and Well-being Act and the emerging local government reform agenda.

The Well-being of Future Generations Act came into force in April 2016. The primary aim of the Act is to ensure public bodies improve the economic, social, environmental and cultural well-being of Wales in accordance with the sustainable development principle. Following our experience as an early adopter, we introduced a new Corporate Plan 2016-2020. The new Corporate Plan has been designed around a set of four well-being outcomes and eight well-being objectives which will ensure consistency, across all Directorates, with the seven Well-being goals specified by the Act. The risk can be defined as the failure to meet requirements of the Act and embed the sustainable development principles and therefore fail to contribute towards meeting the Wellbeing Goals (and the associated five ways of working) into all aspects of our service delivery.

The Social Services and Well-being Act also came into force in April 2016; it places an emphasis on:

- **Voice and control**-putting the individual and their needs at the centre of their care and giving them a voice and control to define their outcomes and achieve wellbeing.
- **Prevention and early intervention**-increasing preventative services within communities to reduce the need for more intensive intervention.
- **Wellbeing**-is about supporting people to identify outcomes and supporting them to achieve their own wellbeing.
- **Co-production**-involves encouraging people to become involved in the design and delivery of services with a focus on alternative delivery models and using social enterprises, co-operatives, user-led services and the voluntary sector.

This work is being undertaken at both a local and regional level, driven through the Cardiff and Vale Integrated Health and Social Care Partnership Board. The risk can be defined as the non-compliance with requirements of

the Act by failing to improve the wellbeing of people and their carers who need care and support as well as the failure to effectively transform service delivery across social services in line with the Act.

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

However, a more recent development has been an announcement by the Welsh Government indicating that rationalising the number of Local Authorities in Wales through merger arrangements is back on the agenda. On 20th March 2018, the Welsh Government published a Green Paper for consultation on the proposals for reforming local government in Wales. One of these proposals would see a merger between the Vale of Glamorgan Council and Cardiff Council. Although our focus on developing more regional ways of working will continue, this change in direction by the Welsh Government has increased uncertainty within local government and the way in which this agenda will develop is unclear. The Council's official response to the consultation on the latest Welsh Government's local government reform proposals will be considered by Scrutiny and Cabinet before it is submitted to the Welsh Government in June 2018.

1.2 Risk Owner Corporate Management Team

1.3 Impact on our contribution to the Wellbeing Goals

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

1.4 Risk Categories

Categories	Yes/No	Definition
Political & Legislative	Yes	Political and legislative repercussions of failing to meet the

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>requirements of the Social Services Wellbeing Act, Wellbeing of Future Generations Act and the proposed new Local Government Bill 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> <p>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.</p>
Resources	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>
Service Delivery and Wellbeing	Yes	<p>There is a risk that in failing to deliver the requirements of the Wellbeing of Future Generations 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>
Reputation	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</p>

1.4 Risk Categories

Categories	Yes/No	Definition
		<p>employees, external stakeholders and our customers and poorly orchestrated delivery of organisational reform.</p> <p>Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity. Lack of credibility and potential criticism from our external regulators.</p>

2 – Risk Evaluation

2.1 Inherent Risk Scoring

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

2.2 Controlling Inherent Risk

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

2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	of the Social Services Wellbeing Act are fully operational.			
Resources	<p>Worked with the PSB to develop a Wellbeing Assessment that has identified community needs alongside community assets in the form of a Well-being Plan.</p> <p>Raised awareness amongst staff regarding the requirements and implementation of the Social Services Wellbeing Act and identify opportunities to up skill staff across the social care sector to ensure they are able to meet the demands of the Act.</p> <p>Continue to support the ongoing development of the DEWIS information portal.</p> <p>Budget setting process includes considerations of cost pressures arising from legislative change.</p> <p>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</p> <p>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.</p> <p>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</p>	2	1	2











2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	supporting young people through transition.			
Service Delivery & Well-being	<p>Implementation of the Social Services Wellbeing (Wales) Act Action Plan.</p> <p>Continue to pursue collaborative opportunities with partners in neighbouring organisations.</p> <p>Worked with the PSB to develop a Wellbeing Assessment that has identified community needs alongside community assets.</p> <p>Continued support the ongoing development of the DEWIS information portal.</p> <p>Implemented new assessment processes to ensure compliance with the requirements of the Social Services Wellbeing Act.</p> <p>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.</p> <p>The Welsh Community Care and Information System was launched in November 2017 to enable the safe sharing of information and deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act.</p> <p>We have successfully implemented transition services underpinned by a Transition Protocol, which supports best practice across agencies.</p>	2	1	2

2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Reputation	Comprehensive consultation and engagement via the 'Let's Talk' campaign with citizens in order to inform the production of a Population Needs Assessment in relation to the Social Services Wellbeing Act and the development of the Wellbeing Assessment/Well-being Plan as part of the Wellbeing of Future Generations Act.	2	1	2
Overall Effectiveness of Controls Score		2	1	2

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 AS/A010	Pilot delivery of an outcome focused case management and measurement system within the Long Term Care 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"/>	Andrew Cole	March 2018	<p>Green (Completed)</p> <p>Action completed and will be reflected as a control in the Register in the next quarterly update.</p> <p>This will be an ongoing action for next financial year.</p>	The Outcome Focused approach to case management ‘Your Choice’ policy has received significant attention from external organisations interested in replicating the model following the success of the pilot reported in quarter 3 which was able to demonstrate the measurement of outcomes for service users. We plan to roll this out from April 2018 for all domiciliary packages of care within the 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	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 BM/A005	Further develop relationships with our partners to implement alternative service delivery models that support the needs of at risk adults and children	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Amanda Phillips/ Rachel Jones	March 2018	Green (Completed) This will be an ongoing action for next financial year.	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. This action is completed for 2017/18 but there are future actions relating to the on-going development of alternative delivery models and future commissioning plans and translating the work of the Social Value

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														Forum to operational practice. A new action included in relevant service plan for 2018/19.
AH7 BM/A009	Ensuring staff and potential referrers are aware of the requirements under the statutory guidance relating to their duty to report safeguarding concerns	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Amanda Phillips	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update. This will be an ongoing action for next	A successful campaign was held in 2017/18 raising awareness of the duty to report as reported throughout the year and provided a designated number for referrals. In addition posters, leaflets and information on the intranet have been published to raise further awareness.

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													financial year.	
AH7 BM/A00 24	Undertake further development of the DEWIS Cymru portal to expand and extend its use.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Amanda Phillips	March 2018	<p>Green (Completed)</p> <p>This will be an ongoing action for next financial year.</p> <p>This will be an ongoing action for next financial year.</p>	Permanent plans have been identified to ensure oversight of the implementation of Dewis within the statutory partners with a dedicated role hosted within the Vale of Glamorgan, but operating across the Region. The third sector has been approached to submit a proposal as to how they can support its implementation across the sector, and this will be funded through monies identified through the Regional Steering Group

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														budget (formerly Delivering Transformation Grant). The action has been completed for the year 2017/18 but this will be on-going to ensure on-going support and development of the DEWIS portal within the region as a source of information provision, advice and assistance for preventative services.
AH7 BM/A02 5	Review accommodation with care options for older people and develop our commissioning strategy for future years.	✓	✓	✓	✓	✓	✓	✓	✓	✓	Amanda Phillips/ Rachel Jones	March 2018	Green (Completed) This will be an ongoing action for next	The research work that was scheduled for completion during the year has been fully completed and a housing survey and consultation with service

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													financial year. This will be an ongoing action for next financial year.	users has also been undertaken. Further work is required to develop the responses from the consultation exercises to inform future commissioning strategies will ensure we have appropriate care options in pace that effectively meet older people's needs. This work will continue into the next financial year, as per service plan actions outlined within the Resources, Management and Safeguarding 2018/19 Service Plan.

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 BM/A026	Identify opportunities for joint commissioning in line with Part 9 (Collaboration and Partnerships) duties of the Social Services Wellbeing 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"/>	Amanda Phillips	March 2018	<p>Green (Completed)</p> <p>Action completed and will be reflected as a control in the Register in the next quarterly update.</p> <p>This will be an ongoing action for next financial year.</p>	Work has continued to progress throughout the year with the development of the mandatory arrangements re pooled budgets for Care Home placements. Following the report to Cabinet on a care home placements pool budget in January the agreement for a pooled budget for older person's care home placements across the three statutory partners has been put in place and will be operational from April, 2018. Whilst this action has been completed future actions have been

3. Risk Management Plan – Mitigating Actions

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														identified in service/team plans for 2018/19.
AH7 CS/A013	Deliver training as appropriate to staff to ensure compliance with the Social Services and Well-being (Wales) Act.	☑	☑	☑	☑	☑	☑	☑		☑	Rachel Evans	March 2018	<p>Green (Completed)</p> <p>Action completed and will be reflected as a control in the Register in the next quarterly update.</p> <p>This will be an ongoing action for next financial year.</p>	Discussions have taken place with the Training Department to ensure that the training programme appropriately responds to the Division's training needs identified in relation to the Act. Staff continue to be supported to attend these sessions. This work will ensure all staff are trained in the four core modules of the new Act.

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 CS/A014	Conclude the pilot of our Therapeutic Fostering Scheme and undertake a cost/benefit analysis.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Karen Conway	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	Pilot for the Therapeutic Fostering Scheme has concluded which has confirmed the merits of the service but we have identified issues in relation to the recruitment and retention of Psychology staff for a Social Services department. The pilot has informed current work to develop a proposal for a partnership with the University Health Board (UHB) to deliver the scheme. A Report is being prepared to be presented to Cabinet in May 2018.

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 CS/A015	Extend the pilot for Direct Family Support Plus and undertake a cost/benefit analysis	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Karen Conway	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	The pilot reinforced the need for support services that can be mobilised quickly to support families with children on the edge of care. The Service has reviewed its contracts for family support and developed a service specification. The tendering for a new Direct Family Support Service commenced during Quarter 4.
AH7 CS/A016	Increase transparency of the continuing health care process and seek local authority membership of the panel.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Rachel Evans	March 2018	Red (Slipped) This will be an ongoing action for next financial year.	Work is progressing to increase transparency in this area with visits taking place with key stakeholders to inform the review into the CHC arrangements across

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														the region and make recommendations for consideration by Vale and Cardiff Councils and the University Health Board. The outcomes of the jointly commissioned review by the Vale Council and Cardiff Councils, together with the University Health Board (UHB), is awaited.
CP4 PD/A02 4	Develop and agree a Wellbeing Plan in line with requirements of the Wellbeing of Future Generations 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"/>	Huw Isaac	March 2018	Green (Completed) Action completed and will be reflected as a control in the	The Well-being Plan was approved by the Public Service Board (PSB) for publication on the 18th April having been approved by the relevant boards of the statutory partners. The Plan

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													Register in the next quarterly update.	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. Extensive engagement and consultation have been undertaken on the Plan to ensure that the public and stakeholders have had the opportunity to inform the Plan and comment on the PSB's proposals. Discussions are ongoing regarding the implementation of the Plan and performance management arrangements.

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
CP6 PD/A02 2	Incorporate the process of reviewing the existing Wellbeing Objectives as part of our annual self-assessment process.	<input checked="" type="checkbox"/>		<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	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	This has been undertaken as part of the annual self-assessment process as an opportunity 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 and this was reported to Cabinet during the quarter.
CP6 PD/A02 3	Produce an Annual Report for the Council that incorporates a performance assessment and an annual Wellbeing report in line with statutory 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"/>	Tom Bowring	March 2018	Green (Completed) Action completed and will be reflected as a	This has been undertaken as part of the annual self-assessment process as an opportunity to ensure the well-being objectives remain relevant in contributing to

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													control in the Register in the next quarterly update. This will be an ongoing action for next financial year.	the Council delivering our corporate priorities and contributing to the national well-being goals and was reported to Cabinet during the quarter.

Corporate Risk 3: School Reorganisation and Investment

1 – Risk Overview

1.1 Risk Description

This risk encompasses funding key priorities set out in the 21st Century Schools Investment Programme as well as smaller scale asset renewal schemes. It also includes school reorganisation as the reduction of surplus places and condition of school buildings are the primary criteria for securing 21st Century Schools grant funding. We anticipate further demand for school places emerging as a result of new and expanding housing developments. Whilst the requirement for increased capacity in certain areas has been identified, in many cases there will be insufficient s106 funding to cover costs placing increased pressure on available funding.

There is a risk associated with securing the necessary capital required to fund major investment projects as well as addressing building conditions across all Vale schools. The lack of available funding to address all requirements will result in buildings deteriorating further giving rise to risks associated with health and safety, DDA, business continuity and sustainability.

Failure to implement an appropriate school re-organisation programme could result in the Vale not achieving its surplus place targets of 10.19% in the primary sector and 12.9% in the secondary sector by 2016 as agreed with the Minister for Education and Skills. Failure to establish sufficient Welsh medium places in both the primary and secondary sector would impact on the Vale's ability in contributing to the Welsh Governments plan of one million Welsh speakers by 2050, and commitments required as part of the Council's Welsh in Education Strategic Plan, and could directly impact on the Vale's ability to secure 21st century schools funding in the future.

1.2 Risk Owner

Head of Strategy, Community Learning and Resources (TB)

1.3 Impact on our contribution to the Wellbeing Goals

A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	No	No	Yes	No	Yes

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	<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>
Resources	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 21st 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 21st Century Schools is that all grant funded schemes should meet BREEAM Excellent which addresses wide-ranging environmental and sustainability issues. Failure to deliver schemes would impact adversely on a range of factors including energy efficiency, carbon emissions, minimising waste and improvements to community involvement and social inclusion.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
Service Delivery and Wellbeing	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 21st Century Schools standards.</p>
Reputation	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
Political & Legislative	3 (Probable)	4 (Catastrophic)	12 (High)
Resources	3 (Probable)	4 (Catastrophic)	12 (High)
Service Delivery & Well-being	3 (Probable)	4(Catastrophic)	12 (High)
Reputation	3 (Probable)	4 (Catastrophic)	12 (High)
Overall Inherent Risk Score	3 (Probable)	4(Catastrophic)	12 (High)

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<p>Awareness raising session held with members, Insight board and CMT on the issues associated with the 21st Century Schools Programme with the need to release funding through the rationalisation of places and the need to generate capital receipts.</p> <p>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 .</p> <p>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).</p>	2	2	4
Resources	<p>Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme.</p> <p>Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects.</p> <p>We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	usage requirements. The Directorate's Band B Strategic Outline Programme with Band B proposals was submitted to Welsh Government on 31 st July 2017 following approval by Cabinet.			
Service Delivery & Well-being	<p>Actively participate in the Council's Carbon Management Group.</p> <p>Work closely with the Planning Officers to identify potential educational demand as a result of new housing developments in order to maximise S106 funding.</p> <p>Delivered a new school building for Oakfield Primary School and expanded Ysgol Gwaun Y Nant to accommodate growing pupil numbers.</p> <p>Opened Ysgol Dewi Sant, a new 210 place Welsh Medium Primary School in Llantwit Major.</p> <p>Amalgamated Eagleswell and Llanilltud Fawr schools.</p> <p>Amalgamated Bro Morgannwg and Ysgol Gymraeg Nant Talwg.</p> <p>Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school).</p> <p>New 60 place part-time Fairfield Nursery opened.</p>	2	2	4
Reputation	<p>Survey demand for school places in line with the Council's Welsh Education Strategic Plan.</p> <p>Collaboration with ONS and Cardiff University on forecasting methodologies</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Periodic review rolling 25 year plan for schools asset renewal.</p> <p>Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity.</p> <p>Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes.</p>			
Overall Effectiveness of Controls		2	2	4

School Reorganisation

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AC8 SL/A017	Implementation of the Proposal to transform secondary education in Barry by creating two new mixed sex schools on the existing sites of Bryn Hafren and Barry Comprehensive 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"/>	TB/LL/JS	September 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	This project continues on schedule working towards the new schools opening in September 2018. The new staffing structures and their implementation for both new schools have now been completed. The new names for both schools have now been agreed as Whitmore High School (previously Barry Comprehensive) and Pencoetre High School (previously Bryn Hafren). An audit review of the project has now been completed with no areas of

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														significant risk identified.
AC8 SL/A019	Manage the outcome of various school organisation consultations with regard to the team's admission functions.			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	LL	January 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	The admissions transfer process to the two new co-educational schools was completed on schedule in December 2017 with all parents being advised of the outcome on the publicised date. The nursery unit at Fairfield opened in January 2018 with new pupils being admitted without delay. This completes the projects identified for the financial year 2017/18.
AC8 SL/A02	Complete the disposal of assets such as the Eagleswell		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	LL	March 2018	Red (Slipped)	Completion of the disposal of the Eagleswell site has slipped

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
0	school site (Ysgol Y Ddraig)													as the Council’s project team and marketing agents continue to be engaged in on going complex negotiations with the Preferred Bidder regarding the disposal following on from issues reported at quarter 3. The disposal of key former school assets at Eagleswell will remain an asset focus for the service in 2018/19.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AC9 SL/A02 1	Complete work on a school development needs assessment to feed in to a new school modernisation programme.	✓	✓	✓		✓	✓		✓	✓	LL	March 2018	Green (Completed) But will remain an ongoing activity	The School Development needs assessment will become an ongoing tool for the Directorate. This will remain a long-term operational activity for the service. This work will inform the new school modernisation programme. This work now forms an ongoing part of the newly established 21st Century Schools team looking at need as it relates to place planning up to 2026.
AC10 SL/A02 3	Review current methodology of school place planning		✓	✓	✓	✓	✓	✓	✓	✓	TB/LL	March 2018	Amber (Minor Slippage) This will be an ongoing action for	The role of Logistics and Access Officer has now been filled, with work commencing with external partners on collaborative opportunities related to Data Science and projection

CR3: School Reorganisation

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													next financial year.	methodologies. This will ensure that the resources are in place to further progress with this action to efficiently review current methodology of school place planning. This work is planned for quarter 2 and 3 2018/19.

Corporate Risk 4: Home Improvement Programme

1 – Risk Overview

1.1 Risk Description

The Welsh Housing Quality Standard requires all social landlords to improve their housing stock to an acceptable level by 2020, as outlined in the Wales Housing Act 2014.

The focus is on ensuring that all people have the opportunity to live in a good quality home in a safe and secure community. To help achieve this, the Welsh Government has published the Welsh Housing Quality Standard (WHQS) for us to abide by.

The Council commenced its Housing Improvement Programme to meet WHQS in September 2012 and has agreed with the Welsh Government that compliance will be achieved by December 2017 (4½ year programme). External contractors were appointed at that time to deliver the programme via a framework contract. The Council’s internal contractor will also deliver a proportion of the works. The majority of internal works have all been completed and we are now concentrating on external works and communal areas. We are also focusing on outstanding properties where work is required that was not previously undertaken.

In the first 5 years (2017-21), the Council will allocate approximately £23million towards regeneration and new build with 14 new build homes due to be built in this financial year. A further £177 million is associated for years 6-30 as identified within the Housing Business Plan. The overarching risk is failure to meet the requirements of the Housing Act and achieve WHQS standards within the agreed timescales. The primary consequence of this could result in the withdrawal of Welsh Government funds, but there are also political, legislative and reputational consequences for the Council.

Delays in completing Wales Housing Quality Scheme works could be the result of:

- Having a number of “Hard to Treat” properties across the Vale that require over and above the normal refurbishment requirements leading to additional expenditure;
- Poor performance and contractual compliance by our external contractors impacting on the quality of work undertaken or the availability of suitably experienced contracting staff to undertake aspects of the improvement work needed.
- Shortages in the supply/availability of building work materials resulting in delays to delivery of the housing improvement programme;

	<ul style="list-style-type: none"> On site ecology issues affecting start and finish dates for work and; Tenants refusing the works/access to their properties. Insufficient budget available in year to pay for work on additional properties identified as requiring work which could impact on priorities in future years. 					
1.2 Risk Owner	Head of Housing and Building Services (MI)					
1.3 Alignment with Well-being Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	Yes	Yes	Yes	Yes	Yes	No

1.3 Risk Categories		
Categories	Yes/No	Definition
<i>Political & Legislative</i>	Yes	<p>Failure to comply with requirements of the Wales Housing Act 2014 to achieve WHQS standards within the agreed timescales with Welsh Government could result in litigation.</p> <p>Failure to improve the quality of housing to make them safer could result in a breach of duties under the Housing Health and Safety ratings system.</p>
<i>Resources</i>	Yes	<p>Failure to meet WHQS timescales could result a withdrawal of the Capital Grant.</p> <p>Retendering of works due to the failure of a contractor could result in rates exceeding the original business plan projections.</p> <p>Failure to effectively project manage the delivery of this programme through our existing resources resulting in overall delays to the programme.</p> <p>Failure to adopt a strategic approach to the asset management of the Council's housing management stock.</p> <p>Insufficient current budget available in year to pay for work on additional properties that require work, could result in the re-profiling of our budget priorities in future years.</p> <p>Risk of financial dispute with the contractors regarding the work</p>

1.3 Risk Categories		
Categories	Yes/No	Definition
		they have undertaken leading to our inability to meet the final settlement figure. Such disputes could lead to delays in notifying leaseholders of their costs of contribution.
Service Delivery and Wellbeing	Yes	<p>Failure to effectively communicate and engage with service users/tenants regarding the improvement works required and the timescales involved, resulting in poor buy in and support from local communities.</p> <p>The programme fails to safeguard the wellbeing of its tenants and provide good quality housing that meets the diverse needs of the community.</p> <p>Poor quality completion of works jeopardising the safety of tenants in properties.</p> <p>Not improving the Council's housing stock to create modern, energy efficient homes for the Vale's tenants</p> <p>Inability to maximise the supply of Council Housing from new build developments.</p>
Reputation	Yes	<p>Reputational damage of poor performance by contractors and requiring leaseholders to contribute to improvement works.</p> <p>Failure to deliver the programme of works to the standards required within the designated timescales could attract negative publicity and criticism from tenants and regulators.</p>











2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
Political & Legislative	4 (Almost certain)	4 (Catastrophic)	16 (Very High)
Resources	4 (Almost certain)	4 (Catastrophic)	16 (Very High)
Service Delivery & Well-being	3 (Probable)	3 (High)	9 (Medium/High)
Reputation	3 (Probable)	3 (High)	9 (Medium/High)
Overall Inherent Risk Score	4 (Almost certain)	4 (Catastrophic)	16 (Very High)

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<p>Project governance structure in place including the Housing Improvement Group, the Quality and Design Forum, the Hard to Treat Working Group that produces regular update reports to the Homes and Safe Communities Committee and Cabinet.</p> <p>Annual report submitted to Welsh Government on the progress with the Housing Improvement Programme.</p> <p>Development Board has been established chaired by the Leader that has a focus on maximising the supply of Council Housing from new build developments.</p>	2	2	4
Resources	Adopted a project management approach to delivering the improvement works with an Investment Plan and Asset Management Plan	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>in place.</p> <p>Undertaken a restructure of the service to ensure that we have the correct staff skills and expertise in place to manage delivery of the housing improvement programme.</p> <p>Produced a Stock Condition report and undertaken a Surplus Land Review to assess the current condition of properties and opportunities that surplus land presents.</p> <p>Ongoing stock condition surveys.</p> <p>Asset management database, Keystone, in place to map investment levels/ compliance on a property by property basis.</p> <p>Produced a Housing Business Plan that outlines the a detailed financial forecast in the form of a 30year model that takes into account all assets within the Council's Housing Revenue Account (HRA).</p> <p>Appointment of additional staff such as a Housing Improvement Supervisor.</p> <p>A £15million programme of work has been budgeted.</p>			
Service Delivery & Well-being	<p>WHQS Improvement Programme completed by the end of March 2018. Focus going forward will be on maintenance of properties to WHQS standards.</p> <p>Asset management database, Keystone, in place to map investment levels/ compliance on a property by property basis.</p> <p>Robust approach to performance management in place.</p> <p>Housing estate grading methodology has been finalised, testing has been completed, staff have been trained and the new grading</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>system has gone live.</p> <p>Effectively embedded principles and procedures within the service to minimise the length of time it takes to let empty properties.</p> <p>Estate action plans are now in place for all main Council estates. These Plans identify key issues and actions which will drive improvements in the individual housing estates. Over the next 12 months each of the plans will be reviewed and improved to ensure efficiency.</p> <p>Tenancy Management Policy which sets out in detail how the Council is to manage tenancy related matters has been adopted, which describes how the Council creates, changes and ends tenancy agreements. The Policy ensures the Council follows current legislation and enables tenants to exercise their rights, as set out in the tenancy agreement. It also provides a reference point for housing staff to make their decisions.</p> <p>All 'housing owned' land has been identified and a number of options are being considered for various sites. Some areas are being subject to viability assessments to see if they can be developed for new housing, some smaller parcels of land have been disposed of after they have been deemed surplus to requirements and other plots are being considered for community use. A good example of this is the community garden at Treharne.</p>			
Reputation	Project governance structure in place including the Housing Improvement Group,	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>the Quality and Design Forum, the Hard to Treat Working Group that produces regular reports to the Homes and Safe Communities Committee and Cabinet.</p> <p>Robust approach to performance management in place.</p> <p>The framework contract in place does not guarantee any work to any of the five selected contractors so poor performance can be tackled through the reduction in work allocation.</p> <p>The Quality Design Forum has been set up to engage with tenants to monitor the performance of all contractors working on the framework.</p> <p>Regular meetings with the Welsh Government to provide them with updates on the Housing Improvement Programme and we produce and submit quarterly monitoring reports.</p>			
Overall Effectiveness of Controls		2	2	4

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	4	16	2	2	4	2	2	4		
Resources	4	4	16	2	2	4	2	2	4		
Service Delivery & Well-being	3	3	9	2	2	4	2	2	4		
Reputation	3	3	9	2	2	4	2	2	4		
Average risk score/ direction of travel	4	4	16	2	2	4	2	2	4 (Medium)		

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
IS007 HS/A02 8	Complete the delivery of the Council House Improvement Programme in 2017	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	December 2017	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update. Follow up action to be reflected in next quarter's update.	All WHQS work has been completed to achieve the Welsh Governments Welsh Housing Quality Standard and the evidence had been updated in Keystone (asset management software), which substantiates this position. Work continues on site to close some remaining ancillary work and work is progressing in maintenance of the standard having now achieved it. The Standard will ensure that dwellings are of good quality and suitable for the needs of existing and future residents.
IS007 HS/A02 9	Develop a new Tenant Participation 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"/>	MI	March 2018	Green (Completed)	The public consultation exercise has been completed and broad support has been received for the draft Tenant Engagement

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													<p>Action completed and will be reflected as a control in the Register in the next quarterly update. Follow up action to be reflected in next quarter's update.</p>	<p>Strategy. This includes agreement about the key aims and the priority actions. The Strategy has been updated to reflect the feedback and a further report has been written for Cabinet in order to approve the final version. The document will remain in place for the next three years and sets out how tenants will be engaged in order to improve services provided. Progress with implementing the Strategy will be measured via the completion of individual actions contained within the Operational Delivery Plan. There will also six monthly monitoring reports to the Homes and Safe Communities Scrutiny Committee regarding the range of projects and</p>

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														initiatives taking place.
IS007/H S/A031	Implement a customer portal which allows tenants to check information held, review their rent account access online services and access information on housing 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"/>	MI	March 2018	Red (Slipped)	It has taken longer than anticipated to get assurances regarding IT security aspects of the Linguaskin solution. During quarter 4, the Software Provider (Northgate) has spent two days on site setting up the 'live' system and the content of the portal has also been 'scraped' out of the system and sent off for translation. Testing of the portal has been completed and an implementation plan developed with the rents, repairs and Homes4U teams regarding the information that will be shared with customers and the processes which will underpin self-service for tenants. There is still a significant amount of work

CR4: Housing Improvement Programme

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														required but it is anticipated the Customer Portal will go live in the next 6 months.
	Review Estate Management Action Plans.		✓	✓	✓	✓	✓	✓	✓	✓	MI	March 2019	Not applicable New action	No update applicable work not due to commence until 2018/19
New Action	Undertake a commissioning exercise for new contractors for the maintenance work associated with the WHQS programme.		✓	✓	✓	✓	✓	✓	✓	✓	MI	September 2018	Not applicable New action	No update applicable. Work not due to commence until June 2018.

Corporate Risk 5: Waste

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

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	Failure of contract agreements associated with our waste collaborations. Failure to comply with statutory waste targets and the associated Welsh Government guidance.
Resources	Yes	<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</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		failing to meet statutory waste reduction targets.
Service Delivery and Wellbeing	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>
Reputation	Yes	Failure to meet the statutory waste targets and comply with the Welsh Government's waste strategy would have a detrimental impact on the resident's perception of Council services and would attract criticism from our external regulators and Welsh Government.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
Political & Legislative	4 (Almost Certain)	3 (High)	12 (High)
Resources	4 (Almost Certain)	3 (High)	12 (High)

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<p>Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running</p> <p>Waste Resource Action Programme (WRAP) is completed and Cabinet considered the necessary action for consultation in February 2018.</p>	2	2	4
Resources	<p>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</p> <p>The 25 year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place.</p> <p>Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council.</p> <p>Household Waste Recycling contract operated by the company FCC.</p> <p>Appraisal of the WRAP report and the</p>	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>options prepared in a Cabinet report for Members consideration (Cabinet 19th February 2018). Additionally the processing of dry recycling contract has been procured in quarter 3 with flexibility so potential services changes can be considered and subsequently the development of a new 7-year waste management plan.</p> <p>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. Review due of this contract and report due to go to Cabinet prior to summer recess.</p>			
Service Delivery & Well-being	<p>Increased waste awareness initiatives including a litter summit.</p> <p>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</p> <p>Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery.</p> <p>Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced.</p> <p>Appointed an Environmental Enforcement Partner (3GS) in October 2016 issue fines for dog fouling/littering offences.</p>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Reputation	<p>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.</p> <p>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.</p>	2	2	4
Overall Effectiveness of Controls		2	2	4

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
ER16 VS/A062	Implement vehicle savings associated with waste management collection rounds.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	CS	September 2017	Red (Slipped)	New incab tablets have been fitted to collection vehicles but the data required to convert the existing rounds has been delayed as it has taken longer than anticipated. The hard wear and route changes are expected to be live in July 2018. This work to revise waste management changes will help deliver vehicle savings and reduce emissions.
ER16 VS/A022	Continue to exceed the national recycling target (58% for 2019).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Green (Completed) This will be an ongoing action for next financial year.	We have completed the work we scheduled for 2017/18. The Council continues to perform well in preparation for the national recycling target of 64% (by 2019) with 63.1% of local authority municipal waste collected being recycled during quarter

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														4. The Council has continued to undertake its normal approach to recycling awareness which has allowed us to ensure we remain on track. This is updating the web site, undertaking letter drops to residential areas where there is poor participation, roadshows with the event trailer and a school education programme. This action will continue in 2018/19 as outlined under NS/A022 within the Neighbourhood Services and Transport Service Plan.
ER16 VS/A063	Develop a 5 year Waste Management Plan (2017-22).	✓	✓	✓	✓	✓	✓	✓	✓	✓	CS	December 2017	Green (Completed) Action	Following the completion of the WRAP report during quarter 2 a new waste management strategy has been developed. The new

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>completed and will be reflected as a control in the Register in the next quarterly update.</p> <p>Follow up action to be reflected in next quarter's update.</p>	<p>strategy has been agreed in principle following the presentation of a revised Waste Management Strategy to Cabinet on the 19th February 2018. The key recommendations approved within the Strategy are outlined at http://www.valeofglamorgan.gov.uk/Documents/_Committee%20Reports/Cabinet/2018/18-02-19/Reports/Revised-Waste-Management-Strategy-Cabinet-Report.pdf. The Waste team will continue to work with WRAP through 2018 to document this new waste and collection strategy.</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					
ER16 VS/A025	Bid for the annual Welsh Government Environment Grant.		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>					<input checked="" type="checkbox"/>	ER/CS/MS	March 2018	Green (Completed) This will be an ongoing action for next financial year.	This is an annual process which has been completed for the year with bids for the annual Welsh Government Environment Grant for 2018/19 were made during quarter 4. The funding will deliver improvements in the Council's waste management infrastructure Changes to the grant from April 2018 will mean less of this money can be allocated for waste as part of the grant.
ER16 S/A065	Consider the implementation of dog control orders.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2017	Red (Slipped)	There has been a delay in getting this Dog Control Orders implemented, because Alcohol Control Orders were prioritised first. The Public Space Protection Orders (PSPOs) in respect of dog controls are due to go to

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				
														public consultation next month and it is anticipated that the orders will be implemented late summer/early autumn. The implementation of dog control orders would help improve the environment for residents and visitors and a reduction in dog fouling offences.
ER16 VS/A066	Progress the development of a waste transfer station and rationalisation of existing operational depots.		✓	✓	✓	✓	✓	✓		✓	CS	March 2018	Red (Slipped)	The proposal to build a waste transfer station (WTS) has been agreed in principle by Cabinet on the 19th February and the design and build costs have been included in the Collaborative Change Programme bid (capital submission) as part of the proposed recycling and waste

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	Integreation	Collaboration	Involvement	Prevention	Long-Term					
															changes. Progress continues to be made and there is the potential for an interim arrangement. This project is likely to continue over the next 2-years to develop more efficient waste management operations contributing to service sustainability in the long term. Progress in 2018/19 will continue as outlined under NS/A029 within the Neighbourhood Services and Transport Service Plan.

Corporate Risk 6: Workforce Needs

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. The risk needs to be considered alongside the Council's reshaping services agenda and the potential impact the proposed model of local government reform could have on our workforce. Therefore, the innate risk is the inability to anticipate and plan for the workforce needs of the future in order to meet the changing service requirements.</p>
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1.2 Risk Owner	Head of Human Resources (RB)
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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
<i>Political & Legislative</i>	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.
<i>Resources</i>	Yes	A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on a range of factors including the commitments to increase the number of apprenticeships within the Council (and wider community), the

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>increase of younger employees (as a percentage of the wider workforce) and the aims within the Council's Equalities Strategy.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan (and specifically in relation to change management) would impact adversely on the Council's ability to respond to financial challenges over the next four years.</p> <p>The realisation of the risk would lead to an inability to recruit and retain suitably qualified staff with appropriate skills in the right areas to deliver services effectively.</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.</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>
Service Delivery and Wellbeing	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>
Reputation	Yes	<p>Negative perception of the Council amongst citizens as an employer impacting on recruitment and retention rates across the organisation.</p> <p>A key aspect of the workforce plan (section 6/theme viii) is the</p>

1.4 Risk Categories

Categories	Yes/No	Definition
		need to ensure the Council have a workforce that reflects the wider community. Within this are specific aspects to ensure that measures are taken to ensure representation from protected groups under the Equalities Act 2010. A particular feature of this includes strategies to deal with occupational segregation and address the gender pay gap that exists nationally and locally. A failure to implement actions within the workforce plan would impact adversely on such equalities commitments and our reputation as an employer.

2 – Risk Evaluation

2.1 Inherent Risk Scoring

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

2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	CMT/Cabinet receives regular reports on a range of HR issues and developments. Robust performance management	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	arrangements in place across all service areas.			
Resources	<p>Managers are supported through the management of change through training and ongoing advice from HR Officers.</p> <p>The Workforce Plan is aligned to the Corporate Plan in relation to workforce needs.</p> <p>The HR team has been restructured to increase the information, planning and performance capacity of the team and to increase the focus on organisational development issues.</p> <p>The Leadership Café continues to be effective at supporting succession planning and leadership development across the Council.</p> <p>There have been improvements made to workforce planning processes.</p> <p>The Management Competency Framework continues to be used to enhance skills and expertise at our Team Manager level.</p> <p>'Staff Charter' is fully embedded within the organisation. Some commitments within the Staff Charter relate to celebrating success and staff recognition. The establishment of the 'Going the Extra Mile' scheme (GEM), provides an opportunity to put forward members of staff in recognition for their work. These stories are then celebrated and shared with staff on the internal Staffnet. In addition to this the Council has established a Team Awards event to recognise the good work of both individuals and team across the Council.</p> <p>The Staff Engagement Strategy has now</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	been embedded with mechanisms to evaluate ongoing engagement. 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.			
Service Delivery & Well-being	<p>Workforce Planning process delivered with a focus on alternative service delivery and workforce implications.</p> <p>The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data.</p> <p>Anew Training and Development Strategy has been launched</p> <p>The HR team has been restructured with an emphasis on a 'business partner' approach to support and a move towards a HR Self-Service model.</p> <p>Organisational Development support provided to the Reshaping Services Programme continues to influence how we deliver alternative models of service delivery.</p> <p>#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.</p>	2	2	4
Reputation	<p>All recruitment adverts promote the Council as an equal opportunities employer.</p> <p>The new 'Staff Charter' has been launched following consultation and refinement.</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>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 i.e. through our staff engagement processes, 3rd best attendance figures in Wales, Leadership Café award and shortlisted for LGC Local Authority of the Year award.</p> <p>Contribution to the wider HR network across Wales as a promoter of innovative workforce practice</p>			
Overall Effectiveness of Controls		2	2	4

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	2	2	4	2	2	4	↔	↔
Service Delivery & Well-being	2	2	4	2	2	4	1	1	1	↔	↔
Reputation	3	3	9	2	2	4	2	2	4	↔	↔
Average risk score/ direction of travel	3	3	9	2	2	4	2	2	4 (Medium)	↔	↔

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
ER2 HR/A00 1	Implement an internal strategy to increase the numbers of 16-24 year old employees as a proportion of the wider 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"/>	TBC	March 2018	Red (Slipped)	The internal strategy to increase the number of younger employees as a proportion of the workforce was successfully implemented at the start of the year. During quarter 4 work has taken place to agree approach to direct employment, including the agreement of two levels of apprentices/trainee and the pay scales appropriate to each. This work will enable us to have more influence over the number of apprentices we can take on compared to the host model.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														Progress has slipped at end of year due to the unforeseen need to move to a direct recruitment model after the host offering was revoked by training providers unexpectedly during the year. This action will continue into 2018/19 where slippage will be picked up. Further work is needed to create an apprenticeship contract and going forward we will continue to work with departments to further promote the use of apprenticeships which will

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														also help increase the number of 16-24 year old employees. Progress against this focus will be reported under HR/A008 as outlined in the Human Resources 2018/19 Service Plan.
AC10 HR/A004	Develop an action plan in response to our Stonewall assessment.		☑	☑	☑	☑		☑		☑	AU	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	Since publication of the Stonewall survey results a number of meetings have taken place between Stonewall and the Council. A review of our last submission has been conducted as a means to develop a detailed action plan in readiness for the

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														next submission to the Stonewall 2018/19 Employers Index Survey, delivery of the action plane will help ensure the Council is an inclusive work place for all lesbian, gay, bi and trans-sexual staff. In addition, the Council has been represented at a number of Stonewall and diversity events and also facilitated a diversity seminar in the Vale of Glamorgan with financial support from Welsh Government on LGBT/diversity. An internal LGBT staff network along

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														with an internal LGBT Allies group have been established which meetings of each group being held on a scheduled basis. The Corporate Management team have appointed a member of team to take on the responsibility as a Diversity Champion to further progress the initiative.
AH11 HR/A00 2	Support and monitor the application of 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"/>	AU	March 2018	Green (Completed) This will be an ongoing action for next financial year.	Recruitment data has continued to be collected throughout the year. The overall outturn in respect of the full year 2017/2018 shows a 95% compliance

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														across the Council which is consistent with that of the previous year 2016/2017. The compliance rate in respect of Council/Corporate employment appointments increased from 97% to 99% in 2017/18. However, a decrease in compliance outturn from 94% to 93% occurred in schools over the same period. The weekly performance management process and in particular the internal escalation process will continue to be applied in those schools where

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														breaches of the safer recruitment policy have been identified. Compliance of the policy continues to be a standing agenda item at each corporate safeguarding group meeting with a focus to achieve 100% compliance as well as to continually review the effectiveness of the policy and to identify potential improvements. We will continue to support and monitor the application of the Council's Safer Recruitment Policy as outlined in the Human

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														Resources 2018/19 Service Plan.
CP1 HR/W00 1	Provide managing change support for managers in relation to specific reshaping projects		☑	☑		☑		☑		☑	AU	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update. This will be an ongoing action for next financial year.	HR Business Partners and Assistant Business partners continue to support managers in Change Management Reviews. Support continues to be provided in relation to the Barry Co- educational schools project and the Visible and Transportation change management exercise. HR will continue to provide reshaping support in 2018/19 as outlined in the Human Resources Service Plan.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
CP1 HR/C018	Continuation and evaluation of the staff engagement approach and the management of the related work programme 2017/18 (includes an evaluation of the effectiveness of Staff Charter and progress made).		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	RB	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update. This will be an ongoing action for next financial year.	The survey results were published during Q4 and were considered at the various development sessions, to compare to the previous year's survey results and used to help provide the best possible service to our customers through engagement and support from our staff. The results can be found here http://www.valeofglamorgan.gov.uk/Documents/_Committee%20Reports/Cabinet/2018/18-03-19/Appendices/Staff-

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														Charter-Update-from-Employee-Survey-Appendix-1.pdf. Some key highlights from the 2017 survey include; the assertion 'I am trusted to get on with my job' received the most positive response council wide with 92.50% of respondents reporting they agree or strongly agree with the statement (this is a further improvement on the 91.50% in 2016) and responses to 15 of the 20 assertions have improved when compared to the 2016 results. Based on the

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														findings from the 2017 Staff Survey an action plan for 2018 has been created to ensure we continue to improve staff engagement.
CP1 HR/W01 5	Contributing to the delivery of organisational change as part of the Reshaping Services agenda and any HR implications that 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"/>	RB	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	HR support has been maintained through Q4 on all reshaping projects. This included the implementation of the Neighbourhood Services and Transport restructure ready for implementation on 1st April 2018. Support has continued in relation to Barry Comprehensive and Bryn Hafren co-educational

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													This will be an ongoing action for next financial year.	provision. Chief Officer briefing sessions and management development sessions were held during Q4 to support reshaping and discuss the staff results. This support will continue into 2018/19 as outlined within the Human Resources Service Plan to support the delivery of cost-effective and sustainable services for the long term.
CP2 HR/W020	Review the Council's Corporate Workforce Plan		☑	☑	☑	☑		☑		☑	RB	September 2017	Green (Completed) Action completed	A review of corporate workforce priorities was undertaken as part of the senior management

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													and will be reflected as a control in the Register in the next quarterly update.	development session in quarter 3 and will now form the basis of a refresh of the Corporate Workforce Plan in 2018/19.
CP2 HR/W02 1	Implement a revised Training and Development Strategy.		☑	☑	☑	☑		☑		☑	TBC	March 2018	Red (Slipped)	<p>Appointments of Organisational Development (OD) Consultant and OD Officer are now complete, with the new recruits due to start in April/May 2018.</p> <p>The Learning Management System redesign has taken place to support a move towards blended learning -</p>

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														<p>the release date is scheduled for the 16th April 2018.</p> <p>Some further work is needed to create key performance indicators (KPIs) and to document the Learning and Development (L&D) and Qualifications Policy. Slippage in this action has been due to the introduction of the new OD Manager and the delays in recruiting to fill new posts - as a result work will continue into 2018/19 around this action.</p>

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
CP2 HR/W023	Evaluate the succession planning and talent management scheme and extend this succession planning model Council-wide		✓	✓	✓	✓		✓	✓	✓	RB	March 2018	Action not due to start until 2018/19	The Service has recently appointed two staff that are due to commence during Q1 of 2018/19 and therefore the review of the succession planning process and talent management scheme will now be undertaken during 2018/19 along with continuing work to enhance the processes as outlined under HR/W038 within the Human Resources Service Plan.
CP2 HR/W008	Continuation of the Council's Leadership Café to support leadership development		✓	✓	✓	✓		✓	✓	✓	TBC	March 2018	Green (Completed) Action	Leadership Café 2018 calendar is established and is running effectively with

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term				
	and the Reshaping Services Strategy.												completed and will be reflected as a control in the Register in the next quarterly update. This will be an ongoing action for next financial year.	events in the final quarter of the year being based upon 'Learning to Learn', 'The Glass Cliff' and 'Working in Teams'. We will continue to evaluate each event, and review the progress with the leadership café committee to improve future events. Responses from attendees have been positive for 2017/18 as reported in quarter 3 with 73% of past attendees rated the event as either 4* or 5*. A programme of events for 2018 has now been published on StaffNet

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														advertising all monthly events planned throughout the year.
CP2 HR/W009	Continue to review and strengthen the performance management and support arrangements in relation to attendance management.		✓	✓	✓	✓		✓	✓	✓	RB	March 2018	<p>Green (Completed)</p> <p>Action completed and will be reflected as a control in the Register in the next quarterly update.</p> <p>This will be an ongoing action for next</p>	<p>The robust performance management arrangements as agreed by Cabinet have continued into Q3. Absence levels are reviewed on a monthly basis at both CMT and all DMTs. Additional training has been provided for managers and arrangements put in place to monitor policy compliance.</p> <p>For the HR Service, during quarter 3 the service lost</p>

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													financial year.	2.65 days per FTE due to sickness absence, this is well within the Directorate target of 4.35 days for the period.
CP2 HR/W02 4	Launch and implementation of the Management Competency Framework.		✓	✓	✓	✓		✓		✓	RB	September 2017	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	The new Management Competency Framework was launched in April 2017. The framework notes 5 key areas; managing my job, managing the team, managing the future, managing myself and managing relationships. Over the course of the year several management development sessions have been held with managers

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														focusing on managing the future, the Digital Strategy and commercialisation. Chief Officer briefing sessions and a management development sessions were held during Q4 in accordance with the new Management Competency Framework. This work has helped ensure managers are upskilled 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. The continued

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														delivery of the Framework is being progressed with the support of the Organisational Development and Training Manager supported by recently appointed OD Officers who are due to commence in Q1.
CP2 HR/W02 5	Initiate the implementation of the new HR operating model (HR Shared Service Centre and business partnering approach).		☑	☑		☑		☑		☑	RB	December 2017	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly	The new HR Structure was launched on the 6th November 2017 and all posts within the Business Partnership and Employee Services teams have now been filled. Transition arrangements are ongoing as is the programme of

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													update.	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.
HR/C03 2	Collaborate with other local authorities to explore options in relation to shared services opportunities across local authority boundaries.	✓	✓	✓		✓	✓	✓	✓		RB	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	The Staff Commissions draft policies have been circulated regionally to HRD and Trade Unions for comments prior to consideration within local authorities. The outcome of the consultation is awaited which will determine next steps

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														within the Council. HR Business Partner Team remain a key contributor to the Joint Education Consortium HR collaboration.

Corporate Risk 7: Information Security

1 – Risk Overview

1.1 Risk Description

Information Security involves the practise of preventing the unauthorised use, access, disclosure, disruption, modification, inspection, recording or destruction of information. This definition applies regardless of the form data/information may take i.e. electronic or physical.

Local authorities have a duty to safeguard the data/information in line with requirements of legislation such as Data Protection Act 1998 and Computer Misuse Act 1990. In addition to legislative requirements there are also identified standards that public bodies can work towards to further enhance and strengthen their approach to information security such as compliance with the Public Services Network, Payment Card Industry and IS027001 that governs information security management.

The General Data Protection Regulation is a regulation that has been made by the European Parliament, The Council of the European Union and European Commission which is intended to strengthen and further unify the approach to data protection across the EU. Despite the Brexit decision, the UK Government confirmed its intent to still adopt this as a legislative framework. This new regulation will apply in the UK from May 2018. The principles of the GDPR are similar to the those set out in the Data Protection Act, but with additional details regarding accountability and governance requirements and specifically requires organisations to show how they comply with the principles by documenting decisions the organisation takes in relation to processing activities. The Regulations have been designed to further minimise the risk of data breaches and uphold the protection of personal data, which is likely to result ensuring robust policies and procedures to ensure good governance measures are in place. The key risk associated with this is that we fail to meet the requirements of this regulation and safeguard our information and data.

The key risk associated with this is the failure to implement adequate information security management systems across the Council.

1.2 Risk Owner

Head of Finance/SIRO (CL)

1.3 Impact on our contribution to the Wellbeing Goals

A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving
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						Welsh Language
No	No	Yes	No	No	No	No

1.4 Risk Categories

Categories	Yes/No	Definition
<i>Political & Legislative</i>	Yes	<p>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.</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>
<i>Resources</i>	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>
<i>Service Delivery and Wellbeing</i>	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>
<i>Reputation</i>	Yes	<p>Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity. Lack of credibility and potential criticism from our external regulators and the Information Commissioner.</p>











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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<p>DPA/ICT Codes of Conduct in place together with Access to Information Procedures that is signed for by all staff and members.</p> <p>On-line training available for DPA and introduction of Employees Information Security Responsibilities. DPA training available to all members on their induction following their election.</p> <p>Information Security & Governance Framework arrangements are in place.</p> <p>Completed gap analysis to work towards adherence to ISO27001 and work towards adoption of good practice where applicable.</p> <p>Audit of Payment Card Systems completed and working towards compliance.</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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.			
Resources	<p>Building and Office security/access arrangements in place to control access to Council buildings for authorised staff, members and visitors.</p> <p>Secure network including Firewall and ICT Security Team</p> <p>Use of encrypted laptops and memory sticks where a business case has been approved.</p> <p>Nominated systems administrators and system audit trails/admin logs maintained.</p> <p>Specialist Computer Auditor in post on the establishment.</p> <p>Penetration testing regularly undertaken</p> <p>Corporate document retention system in place (TRIM) and FOI/Records Management Unit established</p> <p>ICT compliance team developed following ICT restructure with three FTE compliance resources.</p> <p>Secure e-mail solution in place</p> <p>Reviewed use of fax machines and now have a Rightfax system in place.</p> <p>Implementation of new security software (Veronis and Clear Swift) to give us improved data security.</p>	2	2	4
Service Delivery & Well-being	<p>Information Security & Governance Framework arrangements in place.</p> <p>Revised the Information Management Strategy to reflect how plans to use technology will</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>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.</p> <p>Implementation Plan aligned to the Strategy is in place and is being delivered.</p>			
Reputation	We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.	2	2	4
Overall Effectiveness of Controls		2	2	4

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
CP1 IT/F017	Further refine the ICT Strategy to ensure it has a clear vision and objectives that can be aligned to the Reshaping Services Programme and enables us to discharge our role as a corporate enabler.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Red (Slipped) This will be an ongoing action for next financial year.	Project outcomes relating to the Digital Strategy have previously been endorsed by the Digital Project Board and digital theme leads are progressing Operational Implementation Plans. Once these have been completed, they will detail the business requirements that will need to be accounted for in the updated ICT Strategy. The Digital 'Operational Action Plans' are still being refined. The ICT Strategy will be updated as soon as they

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														are all complete. The Digital Strategy is due to be formerly launched to staff in Q1 2018/19.
CP1/IT/I T019	Support the implementation of 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"/>		<input checked="" type="checkbox"/>	NW	March 2018	Red (Slipped) This will be an ongoing action for next financial year.	Project outcomes relating to the Digital Strategy have been endorsed by both the Corporate Management Team (CMT) and the Digital Project Board. Digital theme leads are currently drafting implementation plans. Once these have been completed, they will detail the business requirements that will feed into the updated ICT

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														Strategy. A programme plan of works will then be drafted to manage the implementation of these 'Digital' projects. The Digital Strategy is due to be formerly launched to staff in Q1 2018/19.
CP1 IT/F003	Review ICT systems and software in use across the Council to ensure it is fit for purpose.	☑	☑	☑	☑	☑	☑	☑		☑	NW	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly	Work under this action remains ongoing with systems being reviewed as Services 'reshape' to ensure they are fit for purpose and support the new services going forward. Outputs from the Digital Strategy which was endorsed by Cabinet

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													update.	on the 31st July will also inform this process and savings should be achieved by replacing, consolidating or integrating certain systems. The Digital Programme Board has now approved the Digital programme of works and systems will be consolidated going forward as individual projects are implemented. This consolidation exercise should realise financial savings for the Council on software licences,

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														support and maintenance and hardware and power requirements. The progress made through continued work by ICT to support the Council's Reshaping Service agenda will continue to be monitored in 2018/19 under FIT/F002.
CP1/IT/F005	Evaluate the usability and delivery of cloud based computing and cloud-based storage for the Council.		✓	✓	✓	✓	✓	✓		✓	EW	December 2017	Green (Completed) Action completed and will be reflected as a control in the Register in the	Work scheduled for this year has been completed, but this will feature as an ongoing action going forward. It is anticipated that this action will be aligned to and coordinated under the

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													next quarterly update.	Digital Strategy programme of works. 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.
CP1 IT/IT022	Investigate and implement the provision of a second internet connection to the Council to provide additional service resilience.		✓	✓	✓	✓	✓		✓	✓	RH	June 2017	Red (Slipped) This will be an ongoing action for next financial year.	The indications at this time are that the move to the Public Sector Broadband Aggregation (PSBA) network will be completed by Q3 2018/19 following the completion of the

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														contractual arrangements and confirmation of an implementation plan. A capital allocation has been assigned to delivering a proportion of this project, with the remaining costs being picked up by Welsh Government as part of their LiDW 2 Grant for school broadband improvements. These projects will facilitate agile and remote working, improved network performance for staff located in council buildings and provide

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														additional internet speed for all schools in the Vale. Progress towards implementing the second internet connection will be reported quarterly in 2018/19 under FIT/IT010.
IT/IT035	Continue working towards Payment Card Industry (PCI) 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"/>	NW	March 2018	Red (Slipped) This will be an ongoing action for next financial year.	There have been delays due to issues with our current supplier. Despite the delays, we will continue to work towards Payment Card Industry (PCI) Compliance during 2018/19 to ensure secure payment processing arrangements are in place that meet the required

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														standards. This will also support delivery of the Council’s Digital Strategy as outlined under FIT/IT012 within the 2018/19 Service Plan. The way forward will be reviewed when further information is provided from Northgate.
	Preparation for compliance with the General Data Protection Regulation through the production of a project plan.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TC	May 2018	Amber (Minor slippage) This will be an ongoing action for next financial year.	During quarter 4 we amended the corporate policy and the associated procedures of DPA, undertook staff training in the form desk-based e-learning as well as face to face sessions for those

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														that do not have access to Computers and we have also delivered this training to our Elected Members. To further reinforce our training we have re-issued the Corporate Employees Security Responsibilities Document as well as developed and issued a Corporate Privacy Notice as a well as a template that can be used by Elected Members. We have also identified a designated Data Protection Officer and registered the same with

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														the ICO.

Corporate Risk 8: Environmental Sustainability

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

1.4 Risk Categories		
Categories	Yes/No	Definition
<i>Political & Legislative</i>	Yes	<p>Failure to meet legal duties in relation to the Flood and Water Management Act.</p> <p>Inability to meet Welsh Government requirements for Statutory Transport Guidance as it relates the Active Travel and Learner Travel Wales.</p> <p>Failure to define our vision, ownership and responsibility for addressing climate change issues.</p> <p>Inability and capacity of key partners to work effectively together to commit and contribute to the climate change agenda locally.</p> <p>Failure to fully utilise our land use planning framework and other policy levers to become more resilient to climate change and its effects.</p>
<i>Resources</i>	Yes	<p>Limited asset renewal funding could result in the Council not being able to meet its CO₂ reduction target set out in the Carbon Management Strategy and Implementation Plan.</p> <p>Increased pressure on limited resources as a consequence of increased areas of maintenance.</p> <p>Insufficient funding availability to fully implement programmes/initiatives to reduce our carbon footprint.</p> <p>Annually shrinking budgets will impact negatively on consistently achieving high standards of cleanliness of the local environment.</p> <p>Impact of our failure to meet our commitments under the CRC Energy Efficiency Scheme and its associated financial benefits.</p> <p>Council incurs fines as a result of failing to meet statutory waste reduction targets.</p>
<i>Service Delivery and Wellbeing</i>	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 CO₂ emissions and improving our energy efficiency.</p> <p>Disruption and financial cost of flooding to homes and businesses.</p>

1.4 Risk Categories			
Categories	Yes/No	Definition	
		<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>	
Reputation	Yes	Failure comply with the legal duties and it associated targets would have a detrimental impact on resident's perception of Council ability to tackle climate change and would attract criticism from our external regulators and Welsh Government.	
2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
Political & Legislative	3 (Probable)	3 (High)	9 (Medium/High)
Resources	3 (Probable)	4 (Catastrophic)	12 (High)
Service Delivery & Well-being	3 (Probable)	3 (High)	9 (Medium/High)
Reputation	3 (Probable)	4 (Catastrophic)	12 (High)
Overall Inherent Risk Score	3 (Probable)	4 (Catastrophic)	12 (High)

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<p>Supplementary planning guidance on sustainable development in new builds is in place.</p> <p>Development Management – ensuring decisions on new development proposals have regard to sustainability.</p> <p>The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment)</p> <p>Insight Board</p> <p>Submit bids to Welsh Government for any Environment Grants to implement environmental and countryside programmes locally.</p> <p>The Corporate Plan 2016-20 sets out our priorities relevant to promoting and enhancing sustainability.</p> <p>Implementation of the requirements of the Environment Act 2016.</p> <p>A Regional Transport Authority to govern and promote transport matters including Active Travel.</p>	2	1	2
Resources	<p>Development of updated Carbon Management plan (CMP)</p> <p>Space Programme and Asset Management Strategy</p> <p>Insight Board</p> <p>Automatic meter readings for utilities for all Vale owned buildings.</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>We continue to implement an LED conversion programme. To date the focus has been on implementing LED lighting in residential areas which we anticipate will be fully completed by summer 2018. Awarded a Salix Grant to update LED main road (highway) lighting.</p> <p>Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel.</p> <p>Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally.</p> <p>Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally.</p>			
Service Delivery & Well-being	<p>Prioritise maintenance in all council services – including gritting, drainage, etc.</p> <p>Sustainable procurement outlined in procurement guideline documents</p> <p>Green travel plan established and publicised to all staff</p> <p>Active Travel – ensuring walking and cycling routes are provided</p> <p>Internal and external publicity for individuals and organisations on how to reduce gas emissions</p> <p>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.</p> <p>BREEAM standard for major projects e.g. schools/Extracare</p>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Local Biodiversity Plan</p> <p>Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation.</p> <p>Work underway on the delivery of a Flood Alleviation Scheme at Boverton and Llanmaes. The work at Coldbrook has been completed.</p> <p>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.</p> <p>All Active Travel maps have been completed and published. The Council is seeking finance to implement routes where opportunities arise.</p>			
Reputation	<p>Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns.</p> <p>Provision of child pedestrian and cycling training in Vale schools.</p> <p>Promotion of Active travel.</p> <p>Appointment of an Environmental Enforcement Partner (3GS), who supports us in raising awareness of keeping our local communities clean and litter free.</p> <p>Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision making processes.</p>	1	2	2
Overall Effectiveness of Controls		2	2	4

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	↔	↔
Average risk score/ direction of travel	3	4	12	2	2	4	2	3	6 (Medium)	↔	↔

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
ER4 VS/A052	Complete a Design for a bus, cycle and walking routes from Weycock Cross to Cardiff Airport subject to 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"/>	MC/CH/KP	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update. Follow up action to be reflected in next quarter's update.	The feasibility works have been completed for the route and a detailed design will continue subject to the outcome of transport grant bid previously submitted which will be known in the Q1 of next financial year.
ER4 VS/A006	Complete the feasibility study for bus, cycling and walking improvements at	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	September 2017	Red (Slipped)	This action has slipped at the end of year due to requests by Dinas Powys Community Council to widen scope of study to include

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Cardiff and Barry Road, Dinas Powys.													consideration of alternative routes for the southern section of a by-pass. A report will be presented to Cabinet on the 16/04/18 to seek approval to expand the scope of the Welsh Transport Appraisal Guidance (WelTAG) work currently being undertaken in Dinas Powys. Funding has been requested to Welsh Government to complete the design of Barry to the Dinas Powys cycle scheme through Active Travel indicative allocation 2018/19. We are currently awaiting approvals from Welsh Government. We will continue to work towards progressing the feasibility study as outlined

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														under NS/A003 within the Neighbourhood Services and Transport 2018/19 Service Plan.
ER11 VS/A013	Seek S106 funding to deliver an additional signing scheme and improvements to junctions to further promote National Cycling Route Number 88.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	Opportunities to seek S106 funding have been carried out as and when funding becomes available throughout the year, these have included S106 Barry Waterfront funding to carry out the signage scheme. Although the work for the year has been completed there is currently a national review of the NCN being carried out which Clare Cameron is involved in. This will seek a new Strategic Improvement Plan and will be completed in the Autumn 2018

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
ER15 VS/A061	Continue to implement conversion of non LED lighting to LED lighting in residential 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"/>	MC/CS	December 2017	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update. Follow up action to be reflected in next quarter's update.	The works to implement LED lanterns in all standard residential street lighting infrastructure as planned this financial year has successfully commenced on site in early March 2018 with works progressing well and full completion likely to take some 14 weeks finishing in June 2018. All Ward Members were provided with a detailed street by street schedule of the works programme to fit the new LED lanterns in their Wards in February 2018. Works to plan and procure the necessary conversion of ornamental and bespoke street lighting apparatus in residential streets to LED

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integreation	Collaboration	Involvement	Prevention	Long-Term				
														lanterns requires specialist equipment and will now commence on completion of all standard residential lanterns to LED after June 2018. The implementation progress will see Energy cost savings and reductions in CO2 emissions for the Vale. The implementation will continue in 2018/19 as outlined under NS/A019 within the Neighbourhood Services and Transport Service Plan.
ER15 VS/A019	Purchase new vehicles from the Visible Replacement Fund in line with current EU		✓	✓	✓	✓		✓	✓	✓	KP/GG	March 2018	Green (Completed) Action completed	We have received all ordered Refuse Vehicles (8 x 16 tonne & 4 x 26 Tonne) for financial year 2017/18. All vehicles have received their

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Environmental Standards including the ability to operate on biofuel.												and will be reflected as a control in the Register in the next quarterly update. Follow up action to be reflected in next quarter's update.	PDI and all vehicles have been correctly fitted out with operation equipment to meet the department requirements. The Vehicles will to help deliver the service more efficiently and assist with savings identified and sustainability.
ER15 VS/A020	Continue to explore the need for fleet and options for better usage.		✓	✓	✓	✓		✓	✓	✓	KP/GG	March 2021	Green (Completed) Action completed and will be	Council owned & leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term. Vehicle & plant applications

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													reflected as a control in the Register in the next quarterly update. Follow up action to be reflected in next quarter's update.	are being reviewed at the time of purchase; in-line with the needs of the department additionally the department is questioned on the vehicle/plant requirement & suitability in undertaking the work. A comprehensive vehicle replacement schedule will be put together for the 2018/19 financial year in-line with the 5 year Vehicle Purchase Plan. The tracking system that is on all Council vehicles has proved invaluable recently. The system allowed all 4x4's to be located and pooled in order to be used as part of the emergency planning procedure. A report on the

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														use of these vehicles during inclement weather during Q4 of the 17/18 financial year showed how effectively these vehicle were used – without the need to hire in vehicles from an external source. The Greenlinks passenger carrying vehicles have been used carrying out work for Social Services as part of a pilot project giving carers access to the YMCA. This will be continuing in the 2018/19 financial year as outlined under NS/A021 within the Neighbourhood Services and Transport Service Plan. The Passenger Transport Team is also in the process of taking over the management of transport to

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		Political & Legl	Resources	Service & Well-being	Reputation	Integreation	Collaboration	Involvement	Prevention	Long-Term				
														Hen Goleg. While this will primarily be outsourced transport, options for in-house transport will be assessed in line with cost/benefit analysis.
ER18 VS/A028	Monitor the changes in coastal waters and coastal erosion at Penarth in accordance with the Shoreline Management Plc.		☑	☑	☑	☑		☑	☑	☑	MC/CM	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update. Follow up action to be reflected in	No routine monitoring had been planned to take place during quarter 4 with the collection of wind, wave and tide data at Penarth Pier remaining ongoing. The annual photographic and topographic monitoring of Penarth frontage is planned to take place in Q1 in next financial year but resource pressures might push this into Q2 by the time procure is completed. We will continue to monitor the changes in coastal waters

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													next quarter's update.	and coastal erosion during 2018/19 as outlined under NS/A030 within the Neighbourhood Services and Transport Service Plan.
ER18 VS/A029	Complete the delivery of the Coldbrook Flood Alleviation Scheme.		☑	☑	☑	☑		☑	☑	☑	MC/CM	August 2017	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	The project is now successfully completed to see a reduction in the risk of flooding for residents and businesses within the area. The final construction costs are still being determined by the contract Project Manager resulting from delays and additional works earlier in the construction phase and should be available early next financial year.
AH1 VS/A035	Seek S106 and other funding to deliver improved walking		☑	☑	☑	☑		☑	☑	☑	ER/DK/KP	March 2018	Green (Completed)	We have continued to seek S106 and other funding to deliver improvements within

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	and cycling access to parks and other leisure facilities.												Action completed and will be reflected as a control in the Register in the next quarterly update. Follow up action to be reflected in next quarter's update.	this area throughout the year. During quarter 4 further approval was given for access to Llandough park through S106 in March 2018.
ER7 RP/A06 6	To prepare and consult on the following Supplementary	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Red (Slipped)	The Residential Development and Householder Design Guide, Conversion of Rural

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Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Planning Guidance (SPG) Renewable Energy Householder design Conversion of Rural Buildings Public Art Trees and Development Mineral.													Buildings, Minerals Safeguarding and Biodiversity Supplementary Planning Guidance (SPG) were all approved by Cabinet on 18 December 2017 and Public consultation took place in Q4. They are being reported to Cabinet for approval to consider on 16/04/18 for their approval for use in development management decisions alongside the adopted Local Development Plan (LDP). Renewable Energy SPG will be carried forward into next year's work programme. It forms part of RP/A091 which will report on progress to prepare and consult on a

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														number of SPGs in 2018/19.
ER17 RP/A07 3	Adopt the Biodiversity Supplementary Planning Guidance for use in planning decisions.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	The Biodiversity Supplementary Planning Guidance (SPG) was approved by Cabinet on 18 December 2017 and Public consultation took place in Q4 between Monday 22nd January and Friday 2nd March 2018. The representations received during the consultation exercise were considered and where appropriate. The finalised document was presented to and approved by Cabinet on the 16/04/18. The adoption of the SPG will help ensure planning decisions complement the enhancement of biodiversity

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														in the Vale of Glamorgan.
ER17 RP/A03 4	Deliver a programme of Biodiversity Projects funded by the new Welsh Government’s Single Environment Grant		☑	☑	☑	☑	☑	☑	☑	☑	BG	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the	All grant work has now been successfully complete. Projects have included; the re-introduction of water voles at Cosmeston, woodland improvement works at Porthkerry and Cosmeston, Badger survey at Porthkerry and the Heritage Coast, Environmental

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													next quarterly update. Follow up action to be reflected in next quarter's update.	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. All project work has been carried out in conjunction with volunteers from the local community and all works will have a positive effect on increasing biodiversity and meeting the Council's Well-being objectives. We will continue to deliver a programme of biodiversity projects in 2018/19 as outlined under RP/A034 in the Regeneration

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														and Planning Service Plan.

Corporate Risk 9: Welfare Reform

1 – Risk Overview

1.1 Risk Description

The UK Government's Welfare Reform will introduce the greatest change in the administration of welfare benefits for a generation. In addition to significant change in the way in which the council will run the housing and council tax benefits service, the changes will affect Social Services and Housing Services and will have an impact on the overall finances of the authority.

Significant changes have been implemented, including changes to the Housing Benefit scheme and the introduction of the Council Tax Reduction Scheme to replace Council Tax Benefit. The Welsh Government implemented the Discretionary Assistance Fund from April 2013 and the DWP started the roll out of the Personal Independence Payment in Wales from July 2013.

Universal Credit which will replace Housing Benefit, Job Seeker's Allowance (Income Based), Employment and Support Allowance (Income Related), Income Support, Working Tax Credit and Child Tax Credit was introduced in the Vale of Glamorgan in February 2016. However, this was originally limited to new claimants within specific geographical areas in the UK. Full roll out of the Universal Credit programme and its full impact has not yet been full realised in the Vale of Glamorgan. Full implementation is now to commence in the Vale of Glamorgan from October 2018.

Universal Support Delivered Locally has been implemented since February 2016 in line with the introduction of Universal Credit in the Vale of Glamorgan. The risk associated with Welfare Reform can be defined as the roll out of the Welfare Reform programme has a detrimental financial and social impact on residents.

1.2 Risk Owner

Head of Finance (CL)

1.3 Impact on our contribution to the Wellbeing Goals

A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	Yes	Yes	Yes	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	Failure to ensure service continuity during the transitional period due to poor project planning resulting in political and legislative repercussions.
Resources	Yes	<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 is 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>
Service Delivery and Wellbeing	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>
Reputation	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
Political & Legislative	4 (Almost certain)	3 (High)	12 (High)
Resources	4 (Almost certain)	3 (High)	12 (High)
Service Delivery & Well-being	4 (Almost certain)	3 (High)	12 (High)
Reputation	4 (Almost certain)	3 (High)	12 (High)
Overall Inherent Risk Score	4 (Almost certain)	3 (High)	12 (High)

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
Political & Legislative	<p>Identification and prioritisation of key risks associated with welfare reform.</p> <p>Progress reports are monitored by Scrutiny Corporate Performance and Resources.</p>	2	2	4
Resources	<p>Budgets have been allocated to deal with expected impact of homelessness and rent arrears.</p> <p>Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes.</p> <p>Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed.</p> <p>Impact of the Council Tax Reduction Scheme and future WG funding reviewed.</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	<p>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)</p> <p>Impact of the introduction of the benefits cap reviewed and reported</p>			
Service Delivery & Well-being	<p>Improved the management and access to and use of Discretionary Housing Payments.</p> <p>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.</p> <p>Continue to support the effective roll out of Universal Credit across the Vale of Glamorgan.</p>	3	2	6
Reputation	Council's website is updated with information guides on Welfare Reform for Vale residents.	2	2	4
Overall Effectiveness of Controls		2	2	4

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
IS003 FS/A001	Continue to support the roll out of Universal Credit across 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"/>	CL	Ongoing	Green (Completed) This will be an ongoing action for next financial year.	This support work has been completed for 2017/18, but ongoing support for roll out of Universal Credit will continue into 2018/19. The Benefit Section within Financial Services continues to liaise with the Department of Work and Pensions (DWP) and the Jobcentre using Universal Support Delivered Locally (USDL) to support roll out of Universal Credit (UC) across the Vale of Glamorgan. USDL is a partnership approach between the Council and the Job Centre Plus to provide local support for universal credit claimants. This support provided by the Council

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														includes providing support to UC Service Centre Staff, providing personal budgeting support (PBS) and providing digital support for claimants to get online and stay online. The number of individuals in receipt of Universal Credit at quarter 4 is 632.
IS002 HS/A02 4	Refine the Vale’s Financial Inclusion Strategy informed by Welsh Government’s recently published Financial Inclusion Strategy and new local evidence (Wellbeing	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI	March 2018	Green (Completed) Action completed and will be reflected as a control in the	The Financial Inclusion Strategy is due to run until 2018, as part of on-going work to begin to implement the Vale Public Services Board’s Well-being Plan. The Financial Inclusion Group, tasked with progressing the strategy, has stopped

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Assessment).												Register in the next quarterly update.	meeting. The Well-being Plan sets our four well-being objectives through which the PSB will work to improve well-being across the Vale of Glamorgan. One of these objectives is to reduce poverty and tackle inequalities linked to deprivation. Work is currently taking place with partners to determine the most appropriate structures and mechanisms through which to deliver the objectives and steps set out in the Plan. Although the strategy and Financial Inclusion Group (FIG) are no longer being taken forward, through the Well-being Plan many aspects of its

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														work will remain a priority for both the Public Services Board and the Council, with task and finish groups established to address specific issues.
IS002 HS/A02 5	Continue our work with partners to deliver the objectives stated within Financial Inclusion Strategy.	✓	✓	✓	✓	✓	✓	✓	✓	✓	MI	March 2018	Green (Completed) This will be an ongoing action for next financial year.	Throughout the year we have continued with the sofa scheme and have had an excellent response. We have assisted 58 families gain a new sofa from Steinhoff UK which started 12 months ago. We have approached other local social housing providers to enable other residents within the Vale of Glamorgan gain these benefits. Advisors have also assisted tenants experiencing

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>hardship get 33 kitchen appliances, including cookers, washing machines and fridge freezers.</p> <p>There is still a need to maintain our partnership with the Food Bank as we have issued 39 food vouchers to families suffering hardship due to benefit changes or changes of circumstances this financial year. This has decreased slightly in the last quarter but we have also had less residents being put onto Universal Credit, however we are aware that following the roll out we will see a steady increase in this figure.</p>

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>The Income Team has continued to promote the Welsh Water Help U scheme for low income households, in order to reduce water and sewerage charge. We have carried out 487 applications this financial year that entitled tenants to gain a rebate, cleared outstanding balances or produced a credit that has been refunded to the tenants. The on- going charge to the resident will remain reduced until there is a change of circumstances thus helping the tenants maintain their payments moving forward.</p> <p>The Council has set up a</p>

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														Working Group to address some of the concerns regarding Universal Credit with the social housing providers and to enable the Vale of Glamorgan Council to continue to provide an excellent service to our tenants and residents that live within the Vale to ensure that we can maintain tenancies. The total value of the additional income to tenants through additional welfare benefits, reduced bills and grants totals £188,211.35.
IS003 HS/A02 6	Establish a multi-landlords group to mitigate the negative effects of welfare reform on all social		✓	✓	✓		✓	✓	✓	✓	MI	March 2018	Green (Completed) Action completed	Multi landlord group has met during quarter 4 and identified several key areas, where social landlords can work together in

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	tenants living in the Vale.												and will be reflected as a control in the Register in the next quarterly update.	order to mitigate the adverse impacts of welfare reform on tenants. One area of focus was communications and getting the message out to tenants about changes, particularly the introduction of Universal Credit. Organisations are planning to work on a joint campaign to ensure people living in the Vale are aware of what is happening and there is a consistent message. The multi landlord group is going to continue to meet periodically to examine common issues and monitor the implementation of any agreed actions.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
IS003 HS/A02 7	Work with partners to increase the range of projects and initiatives which support employment, healthy living, financial and digital inclusion and deliver the objectives within the Community Investment Strategy.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2018	Green (Completed) This will be an ongoing action for next financial year.	During Q4 we have continued to support tenants to access employment and ran our first Vale Home’s employment boot camp in partnership with Forces Fitness. This was funded through the community investment contribution attached to the development at Francis Road. It enabled us to take 9 residents aged between 19 and 27 to complete a 3 day residential employment programme. The group worked together to develop essential skills such as confidence building, team working and communication. The group also produced professional standard

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>CV's, took part in mock interviews and Dragon Den activities. Alongside this the group got involved in physical activity and discussed the benefits of healthy eating. We will continue to work with the group during 2018/19 to support them with accessing work experience placements, including placements within the local authority.</p> <p>During 2017/18 Community Investment have supported 30 tenants to access employment with 10 of these sustaining employment for over 6 months. We have also supported one of our tenants who engaged in</p>

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>volunteering through the Time Banking Scheme to enter employment using their volunteering experience.</p> <p>52 people have engaged with the training courses we provided during Q4 resulting in us supporting 223 people this year to engage in training. 146 of these gained a recognised qualification. We have also supported 5 tenants who have signed up to take part in our Time Banking Scheme to access training provided by the Community Investment Team to support them in gaining new skills.</p>

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>During 2017/18 Community Investment have supported 18 tenants to complete work experience placements to gain essential experience to aid them in seeking employment. We hope to build on this further during 2018/19 by developing more work experience placements to increase the variety of placements offered and attract a larger range of tenants to get involved.</p> <p>We have continued to develop our digital inclusion programme during Q4 by establishing computer suites within our 5 sheltered housing schemes and family hostel. This has enabled</p>

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														tenants who may otherwise not have access to computers to engage in digital activities. We have also built on our relationship with adult learning who are now running training sessions within our Sheltered Schemes. Due to some of the difficulties we have had setting up the computer suites in terms of coordinating Internet providers, contractors and IT services we have not provided as many digital inclusion sessions as planned during Q4 however we plan to have the programme fully running at the start of April. During Q4 8 volunteers have been involved

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>in supporting tenants to access computers and develop basic IT skills providing 22 hours of support. During the last year we have supported 45 people over the age of 55 to gain new skills in relation to digital technology.</p> <p>Following the launch of Time banking during Q3 we have built on this during Q4 and have already started to see the benefits of the scheme. The Community Investment Team have established 3 launch projects during Q4 including the development of green space at Margret Avenue, Treetops and Country parks in the Vale.</p>

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Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														Although some of these activities have been delayed until April as a result of the snow. We continue to work with tenants to generate ideas to support the local communities; this has included the possibility of rewarding tenants for involvement in litter picks, neighbourhood walkabouts and attendance at residents groups. During Q4 38 tenants have registered as volunteers which is brilliant and we hope to build on this further during 2018/19. These volunteers have already generated 72 hours of volunteering to benefit the local

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>community. 8 of those initial volunteers are still actively volunteering for us.</p> <p>75% of tenants who have engaged in volunteering through Time banking have reported increased self-esteem as a result of volunteering, as well 80% identifying that their self-confidence has increased and they feel valued by their local community as a result of their volunteering. We are delighted with these results after only 3 months of running the programme and believe that we are on target the meet the goals set for the first 12 month</p>

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>pilot period of Time banking.</p> <p>During Q4 we have continued to focus on supporting tenants to get more active, we ran 15 fitness and physical activities within this period in partnership with organisations such as Newydd and Communities First, including Kicks which is a very successful youth football programme. As a result of these activities 144 people have got involved and active. Throughout the last year we have run a total of 356 physical activity sessions with a total of 356 residents getting involved. 100% of those who have engaged in physical activities</p>

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>report that they feel better able to make healthy lifestyle choices. We have also supported 6% of tenants living within sheltered schemes to engage in physical activities such as walking challenges and fitness extend.</p> <p>Community Investment have run 34 community events in the last year to improve our engagement with tenants, benefit local areas and get tenants involved. These have included family events, green spaces projects and skip amnesties to tackle issues with fly tipping.</p>

Corporate Risk 10: Public Buildings Compliance

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 who 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. And 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.

In order to better understand the extent of the corporate buildings' compliance risks posed, MSS Consultancy was engaged in July 2016 to undertake a GAP analysis of the current position. The final report concluded that there were significant gaps in the compliance data available and related operational issues such as out of date certificates etc. As a consequence, this has meant the Council could not be satisfied that its corporate buildings' compliance risks were being effectively managed. This report was tabled at the Council's Corporate Management Team in September 2017 and it was agreed that a major review would be undertaken of the Council's current management of compliance arrangements, led by the Director of Environment and Housing.

At present the current controls for the management of compliance and specifically the 'compliance data' for the Council's Corporate Building Stock

needs to be improved. Data on compliance of our corporate buildings is not 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.

1.2 Risk Owner**Director of Environment and Housing (MP)****1.3 Alignment with Well-being Goals**

A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	No	Yes	Yes	No	No	No











1.3 Risk Categories

Categories	Yes/No	Definition
Political & Legislative	Yes	Political and legislative repercussions of failing to ensure that Council owned corporate buildings are not compliant with current duties/requirements as part of the Health and Safety at Work Act 1974.
Resources	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>
Service Delivery and Wellbeing	Yes	<p>Failure to fully deliver our building compliance responsibilities.</p> <p>Failure to effectively communicate and engage with Schools and Externally Commissioned providers to raise their awareness of their legal duties and responsibilities in relation to public building</p>

1.3 Risk Categories		
Categories	Yes/No	Definition
		<p>compliance.</p> <p>Failure to get the buy in and support from Schools to commit to supplying up to date compliance data and relevant building compliance documentation.</p> <p>Failure to put in place adequate quality assurance mechanisms to assure the council that 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>
Reputation	Yes	Erosion of public confidence and trust in the Council as a result of a compliance failure that would damage its reputation and attract negative criticism from Welsh Government our regulators.

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
<i>Political & Legislative</i>	<ul style="list-style-type: none"> • Regular reporting of progress/updates via Insight and CMT. • Regular operational meetings with project team. 	2	1	2
<i>Resources</i>	<ul style="list-style-type: none"> • Successful appointment of a Compliance Officer and two trainee positions. • E form developed for the collection of compliance data from Schools. • Process/mechanism established for the collection/reporting of data from Schools. • Discussions regarding cost mechanisms for service are ongoing. 	2	2	4
<i>Service Delivery & Well-being</i>	<ul style="list-style-type: none"> • Site visits have been conducted to all but 3 schools although one school has supplied compliance data for the site. • Relevant documentation has been entered onto IPF to capture information with service dates being updated at the same time. • Officers are working with individual sites to address any issues which have been identified during he visits. 	2	1	2
<i>Reputation</i>	<ul style="list-style-type: none"> • The response from schools and other sites has been very well received and better than expected. 	2	1	2
<i>Overall Effectiveness of controls</i>		2	1	2

2.3 Residual Risk Scoring & Direction of Travel											
Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	1	2	2	3	6		
Resources	3	3	9	2	2	4	2	2	4		
Service Delivery & Well-being	3	4	12	2	1	2	2	4	8		
Reputation	3	3	9	2	1	2	2	3	6		
Average risk score/ direction of travel	3	3	9	2	1	2	2	3	6 (Medium)		

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Produce an inventory of Social Services premises including those used by commissioned Third Party providers to identify a clear compliance position.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AT/GT	June 2018	Amber (Minor Slippage).	This list is now fully comprehensive and includes all supported housing and has been shared with the Corporate Compliance team for their consideration. A meeting has taken place with legal to consider contracting implications.
	Create a Master List of all public buildings along with a 'weighting' formula for recharging compliance data management costs.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AT/MS	July 2018	Red (Slipped)	Currently this is recharged through the SLA arrangements and it is unlikely much progress will be made until all details are collated to enable the weighting and recharge process to be completed.
	Roll out use of IPF system to Premises Managers that includes making enquiries with the IPF system provider	✓	✓	✓	✓	✓	✓	✓	✓	✓	AT/GT	August 2018	Amber (Minor Slippage)	IPF system provider is working with the team to develop the system to produce reports and ensure the system supports

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	regarding the licenses and the costs of training based on the potential numbers indicated via the full inventory details.													the service function. To date the results and response from the system provider is positive.
	Roll out new corporate building compliance approach to non-school premises.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT/GT	September 2018	Amber (Minor Slippage)	Visits to non-school sites have commenced.

Corporate Risk 11: Safeguarding

1 – Risk Overview

1.1 Risk Description

The Council has produced Corporate Safeguarding procedures including the Safer Recruitment Policy, the Staff Supervision Policy and the Referral of Safeguarding Concerns procedure. These policies and procedures are in place to ensure the Council meets its safeguarding responsibilities in relation to the protection of children, young people and adults at risk by ensuring that recruiting managers comply with pre-employment DBS and reference checks and once in post, employees are supervised in terms of their practice with people considered to be ‘at risk’. The Council also has a responsibility to comply with the All-Wales Child Protection procedures and the All Wales Protection of Vulnerable Adults Procedures and their associated protocols.

The Provider Performance Protocol provides a framework for escalating concerns about safeguarding issues and the impact on vulnerable people arising within care homes and other relevant commissioned services.

Should these procedures not be followed there could a risk of injury or harm to individuals. Injury or harm could lead to financial loss to the council in terms of compensation claims and reputational damage to the council, leading to a loss of public confidence in key services. The likelihood of this risk occurring increases if policies and procedures are not frequently reviewed and updated, or if compliance with these policies is not fully mainstreamed across the council. Therefore, the overarching risk is that corporate safeguarding procedures are insufficient, not followed or are ineffective.

1.2 Risk Owner

Head of Resource Management and Safeguarding

1.3 Impact on our contribution to the Wellbeing Goals

A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	No	No	Yes	Yes	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	<p>Directorates/ organisations are unable to meet their responsibilities for responding effectively to situations where people are at risk of neglect or abuse.</p> <p>Political and legislative repercussions of failing to meet the requirements of key legislation and national procedures relating to safeguarding could lead to litigation and/or political instability.</p> <p>Inability to implement safeguarding requirements of the Social Services and Well-being (Wales) Act 2014.</p> <p>The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.</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>
Resources	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>

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

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











2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
Political & Legislative	<p>The All Wales Procedures and associated Protocols are embedded in Social Services and are reviewed and updated nationally. The new All Wales Procedures /Protocols will be embedded next financial year.</p> <p>Contribute to the national ongoing, cyclical review of the All Wales Protection procedures.</p> <p>Attend meetings of the All Wales Safeguarding Management Group and contribute to national developments.</p> <p>Build and develop on the Regional Safeguarding Boards model.</p> <p>Work with the Regional Safeguarding Boards, the Council's Corporate Safeguarding Steering Group and schools to deliver our safeguarding responsibilities.</p> <p>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.</p> <p>Six monthly reporting to Cabinet of application of the safer recruitment policy and corporate safeguarding arrangements.</p>	3	2	6
Resources	<p>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.</p> <p>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</p>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	<p>Services/C1V.</p> <p>Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable people.</p> <p>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.</p> <p>Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy.</p> <p>We have a Local Authority Designated Officer who is accountable for safeguarding and the protection of children and young people and adults in accordance with safeguarding requirements.</p> <p>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.</p>			
Service Delivery & Well-being	<p>Provider Performance Protocol procedures are embedded in relation to the managing of commissioned services.</p> <p>Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely</p>	3	2	6

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	and used appropriately.			
Overall Effectiveness of Controls		3	2	6

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 CS/A013	Deliver training as appropriate to staff to ensure compliance with 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"/>	RE	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	Discussions have taken place with the Training Department to ensure that the training programme appropriately responds to the Division's training needs identified in relation to the Act. Staff continue to be supported to attend these sessions. This work will ensure all staff are trained in the four core modules of the new Act.
AH11 BM/A012	Monitor implementation of the Corporate Safeguarding policy across the Council through effective audit	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Green (Completed) Action completed and will be reflected as a	The Corporate Safeguarding Group (CSG) met quarterly and developed a work plan for 2018/19, which will help monitor the implementation of the Corporate Safeguarding

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													control in the Register in the next quarterly update. This will be an ongoing action for next financial year.	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. CSG will be able to monitor use and traffic of the site through our Communications division. Work with the CSG will continue into 2018/19 as outlined under RM/A010 in the Resources, Management and Safeguarding Service Plan.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH11 BM/A01 3	Develop tools to support staff to feel more confident to safeguard vulnerable people through effective procedures for referral, and also use of Adult Protection Support Orders (where relevant) in line with the Social Services Wellbeing 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	September 2017	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update. This will be an ongoing action for next financial year.	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. This will remain an ongoing action during 2018/19, where we will look to further develop within the system the 'Duty to Report' section and an audit is

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														also scheduled to be undertaken during of this will be undertaken in 2018/19
AH11 HR/A00 2	Support and monitor the application of 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	March 2018	Green (Completed) This will be an ongoing action for next financial year.	<p>The work associated with this action has been completed for 2017/18, but this will remain a rolling action going forward for 2018/19. 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.</p> <p>The Safer Recruitment policy has been adopted in all schools within the Vale of Glamorgan.</p>

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														By way of background, compliance had improved 93% for the period 1st April 2016 to 30th September 2016. Measures remain in place to support compliance with the policy both corporately and in schools. These measures include the provision of on-going training in respect of safer recruitment, which includes training for school administrators as well as the application of a prescribed escalation process corporately and for our schools. A report covering Corporate Safeguarding is scheduled to be considered by the Cabinet on

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														the 31st July 2017 which will include an update and the outcomes in respect of Safer Recruitment for the period October 2016 until 31 March 2017.

Corporate Risk 12: Integrated Health and Social Care

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.</p> <p>This has the potential to disrupt existing staffing arrangements as new integrated structures and processes are developed. Financial scrutiny will be required to ensure that any risks associated with mandated pooled funding are properly considered.</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&V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by ABMU. Integration with C&V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services.</p>				
1.2 Risk Owner		Head of Adult Services (SC)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	No	No	Yes	Yes	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
<i>Political & Legislative</i>	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> <p>.</p>
<i>Resources</i>	Yes	<p>Failure to effectively project plan, manage and communicate changes to models of service delivery resulting in delays and/or compromising the quality and delivery of integrated health and social care services.</p> <p>Inability of staff to work effectively across organisational boundaries to deliver the integrated health and social care programme, as a result of poor staffing levels and/or a lack of training.</p> <p>Failure to implement a fully integrated IT information system that is accessible to staff across the health and social care organisational boundaries.</p> <p>Failure to agree pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny.</p> <p>Ineffective scrutiny of the utilisation and expenditure of pooled budgets</p>
<i>Service Delivery and Wellbeing</i>	Yes	<p>Failure to maintain business continuity and strengthen service resilience as a result of changes made to service delivery models during the transitional period.</p> <p>Risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics.</p> <p>Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services.</p> <p>Disproportionate funding split in relation to partners spending/commissioning of care arrangements impacting on the ability to deliver integrated health and social care services that</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>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>
Reputation	Yes	Failure to manage expectations of service delivery as part of the new delivery models impacting on the Council's reputation.

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<p>Information Sharing Protocols developed and operational.</p> <p>Integration of Health and Social Care is considered at all levels of the organisation through the leadership group and the strategic implementation group.</p> <p>Arrangements are reviewed through regular reports to Scrutiny Committee Healthy Living and Social Care Committee.</p> <p>Significant changes to structure and staff arrangements are considered by Cabinet.</p> <p>Established a Regional Steering Group to implement governance structure for the partnership.</p>	3	3	9
Resources	<p>Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board.</p> <p>Developed the ability to view both database systems via Vale IT.</p> <p>Implemented WCCIS within the Vale of Glamorgan Council in readiness for Regional implementation across partner organisations.</p> <p>IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development.</p> <p>Joint Commissioning Board meets regularly to progress work for pooled budgets.</p> <p>Adult Services restructure has been</p>	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>completed and hence stability for the service in terms of meeting statutory responsibilities and for meeting the challenges facing social care.</p> <p>A rescheduling system for the Vale Community Resource has been implemented and is now operational across the whole of the Vale of Glamorgan.</p>			
Service Delivery & Well-being	<p>Launched the DEWIS Cymru Portal that has enabled more effective signposting for service users to adult services.</p> <p>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.</p> <p>Reviewed and put in place new assessment processes and IT infrastructure to ensure compliance with the Social Services Wellbeing Act.</p> <p>Effectively utilised the Integrated Care Fund to support the development of the Integrated Community Resource Teams and fund wellbeing co-ordinators that are linked to GP practices which has increase 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> <p>The Vale Integrated Discharge Service has strengthened links with Hospital wards to ensure rapid access to housing adaptations and supported accommodation to enable timely discharge that best meets client's needs.</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>The Welsh Community Care and Information System was launched in November 2017 to enable the safe sharing of information and deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act. There is on-going work to develop the financial functionality. We continue to support the implementation on a Regional basis and feed into the National team.</p> <p>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</p>			
Reputation	Senior Officer and Councillor representation on the Regional Partnership Board.	1	1	1
Overall Effectiveness of Controls		2	2	4

2.3 Residual Risk Scoring & Direction of Travel											
	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		
Average risk score/ direction of travel	2	3	6	2	2	4	2	2	4 (Medium)		

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 AS/A010	Pilot delivery of an outcome focused case management and measurement system within the Long Term Care 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"/>	AC	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	The Outcome Focused approach to case management 'Your Choice' policy has received significant attention from external organisations interested in replicating the model following the success of the pilot reported in quarter 3 which was able to demonstrate the measurement of outcomes for service users. We plan to roll out this model from April, 2018 with the intention of having full implementation for all domiciliary packages of care within the 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	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH8 AS/A005	Continue to develop C1V (Customer Contact Centre) single point of access for community health and social care services expanding the range of services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Green (Completed) This will be an ongoing action for next financial year.	The opportunities to expand services have been utilised throughout the year, with the customer contact centre (CCC) offering more services than were in place at the beginning of the year. e.g. the transfer of service such as the ECAS to C1V to take calls further developing the single point of access. Whilst this action is considered complete for the year future development is currently being explored. The meetings with the Health Board to present the findings from the contact centre review were delayed and will not take place until the 25th May. The publication of the

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														Parliamentary review may assist with reinforcing the vision articulated in this business case and we are awaiting further information from Welsh Government re any transformation monies that may further support this piece of work. CCC Development meetings continue to be held fortnightly to review and monitor the functions and future business streams of the Contact Centre.
PD/A018	Work with Adult Services to review and amend processes at C1V to support provision of advice	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Red (Slipped)	On average 55% of enquiries to the Adult Services line in C1V are resolved without the requirement of a formal

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	and assistance in line with requirements of the Act.													assessment. While this is a significant achievement the service has been held back in delivering further training and provision of supervisory and performance management support due to lack of resources
AH9/F AS/A006	Maximise the use of Integrated Care (ICF) and Primary Care (PCF) funding to support the development of further integrated services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2018	Green (Completed) This will be an ongoing action for next financial year.	We are actively recruiting additional Reablement Support Workers within VCRS. However, in relation to the broader action we have successfully maximised the use of ICF and PCF monies by developing further integration of services, the Reablement Unit at Ty Dyfan is

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														one example, the Bridging team at VCRS and the Accommodation Solutions are some further examples where this has happened.
AH9 AS/A016	Develop robust processes to improve information sharing between key partners to enable a smoother transition between Children and Young People Services and Adult Mental Health Service	✓	✓	✓	✓	✓	✓	✓	✓	✓	LW	March 2018	Red (Slipped)	<p>Unfortunately there continues to be no CAMHS senior nurse in post to progress actions around CAMHS attending TRIG meetings – The latest meeting has been cancelled 23/04/18 as a result of CAMHS not having anyone available to represent them.</p> <p>Mental Health representation at TRIG continues in the Vale identifying young people who will require mental health care</p>

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>and support at an early stage to ensure appropriate medical/social care transfers take place.</p> <p>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.</p> <p>Work with this focus will</p>

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														continue in 2018/19 as outlined under AS/A025 within the Adult Services Service Plan.
AH9 AS/A017	Implement a new Autism 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"/>	KI	March 2018	Green (Completed) This will be an ongoing action for next financial year.	The new Integrated Autism Service was publically launched on the 27th September 2017 and all staff are now successfully in post, the service is accepting referrals for diagnosis from professionals and for support from individuals, families and other services. Relationships are being established with other agencies and joint working and consultation is proving an effective practice. This is

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														enhancing the performance of other services notably CMHT. The Cardiff and Vale Integrated Autism Service has been developed to provide a single point of contact for autistic adults, families with children and carers looking after adults or children with autism. The Cardiff and Vale Integrated Autism Service can be contacted either by calling 029 2182 4240 or by emailing CAV.IAS@wales.nhs.uk
AH10/F AS/A019	Review processes across UHB and Adult Services to support pooled budgets	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Green (Completed) Action completed and	Following the report to Cabinet on a care home placements pool budget in January the agreement for a pooled budget for older

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
													will be reflected as a control in the Register in the next quarterly update. This will be an ongoing action for next financial year.	person's care home placements across the three statutory partners has been put in place and will be operational from April, 2018. Whilst this action has been completed future actions have been identified in service/team plans for 2018/19.
AS/F015	Increase the use of reablement care to help people to achieve their potential for independence and reduce the need for council arranged care.		✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2018	Green (Completed) This will be an ongoing action for next financial year.	Following the stalling in recruitment reported in the previous quarter, active recruitment has now reinstated. This will now be a rolling programme to ensure service resilience continues through the increasing capacity.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AS/AM0 23	Development of Ty Jenner as a Health and Social Care Hub		<input checked="" type="checkbox"/>	<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 2018	Green (Completed) This will be an ongoing action for next financial year.	The actions for the year have been completed with on-going discussions with the University Health Board (UHB) regarding the future use of premises and other joint assets. New actions relating to this have been identified in Service plan and team plans.

Corporate Risk 13: Unauthorised Deprivation of Liberty Safeguards

1 – Risk Overview

1.1 Risk Description

Deprivation of Liberty Safeguards

The Deprivation of Liberty Safeguards (DoLS) (2009) introduced a legal mechanism to protect people who do not have the mental capacity to consent to their care and support in registered care homes and hospital wards. Specifically, the DoLS safeguards aim to prevent breaches of Article 5 of European Convention of Human Rights – *The Right to Liberty and Security*. They acknowledge that care and support arrangements sometimes are required to deprive a person of their liberty to ensure the person’s best interests and safety, but that any deprivation of liberty must be in accordance with a prescribed legal procedure (Art 5(1)) and shall entitle the deprived person to take legal proceedings to determine lawfulness of the deprivation ((Art 5 (4)).

The Safeguards place a duty on the local authority to perform to a prescribed legal procedure when informed by a Care Home (described as Managing Authorities under the Safeguards) that a resident may be being deprived of their liberty in the care home. The local authority (known in the Safeguards as the Supervisory Body) has 7 days for Urgent Authorisation requests and 21 days for Standard Authorisation requests to coordinate a suite of 8 assessments to determine if the care arrangement is in the persons best interest and to legally ‘Authorise’ the deprivation of liberty. In March 2014, the Supreme Court (P v Cheshire West and Chester Council and P & Q v Surrey County Council) made a ruling, effectively setting a new and much lower threshold for determining a deprivation of liberty which has led to a substantial increase in the number of requests for DoLS Authorisations. In the Vale of Glamorgan, this has meant an increase from 6 requests in 2013/14 to an average of over 500 in each of the last three years.

Adult Services have invested into the DoLS team to go some way to meet this increased demand, but the team is not able to coordinate DoLS assessments and Authorisation within the statutory timescales which places the local authority at risk of legal challenge in the Court of Protection.

Deprivation of Liberty in ‘Domestic Settings’

The Cheshire West Supreme Court ruling in March 2014 made it clear that the local authority must seek Authorisation from the Court of Protection whenever it knows or ought to know that a person who does not have mental capacity to consent is living with care and support that deprives them of their liberty within their own home. It is difficult to be certain but current estimates would indicate that between 50 and 100 people living in the Vale of Glamorgan potentially fall into this category which includes people with learning disabilities or mental health problems and older people with mental health problems.

Without Court of Protection Authorisation, the local authority is at risk of legal challenge for care and support that potentially breaches a person Article 5 right to liberty and security.

1.2 Risk Owner		Head of Resource Management and Safeguarding (AP)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	No	No	Yes	Yes	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
<i>Political & Legislative</i>	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>
<i>Resources</i>	Yes	<p>Inability and capacity of key partners to effectively work together to safeguard adults and children 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>
<i>Service Delivery and Wellbeing</i>	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</p>

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<p>Regular scrutiny and CMT reports to highlight the key issues affecting DOLs.</p> <p>The DOLs Management Board oversees DOLs development.</p>	1	1	1
Resources	<p>Additional Best Interest Assessors have been recruited to meet the increased demand for additional assessments.</p> <p>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.</p> <p>Light touch review of systems and processes undertaken to put in place more robust processes to support the timely completion of assessments.</p>	1	1	1
Service Delivery & Well-being	<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</p>	1	1	1

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

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AS/F025	Procure an advocacy service for adults in accordance with the national 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"/>	<input checked="" type="checkbox"/>	AC	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	Advocacy Gateway provider has been identified through market analysis with plan to go live with Gateway in June 2018. Existing providers are to continue to provide advocacy and Independent Professional Advocacy as accessed through the Gateway. Gateway provider will monitor demand for advocacy and Independent Advocacy to inform future commissioning intentions. This work will lead to the Cost effective commissioning of advocacy Services that meets the needs of service users.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Review contributions from each partner organisation for DOLs budget.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2018	Green (Completed) This will be an ongoing action for next financial year.	Additional £8,000 funding has been allocated by Welsh Government for DOLs work which is part of an additional £40k for the region. The UHB have increased their contribution by £30k annually. The contributions remain under review and are considered at every DOLS board.

Corporate Risk 14: Contract Management

1 – Risk Overview						
1.1 Risk Description		<p>Work undertaken by the Internal Audit service during 2016 highlighted significant shortcomings in the way in which large scale services were procured. The issues highlighted :</p> <ul style="list-style-type: none"> • Poor planning with regard to the completion of tendering processes so that a full procurement exercise could not be completed before an existing contract came to an end ; • Services starting without final contracts having being agreed and signed by the Council and the supplying organisation. <p>The audit work highlighted that these shortcomings were evident in a number of instances and across different service areas. The shortcomings exposed the Council to the following risk :</p> <ul style="list-style-type: none"> • Break in crucial services if the current supplier was unable to continue to provide a service whilst a tendering process was completed ; • Additional cost as current suppliers increased their costs during the interim period ; • Risk of legal challenge if any issues arose when services were provided when there was no formal contract in place ; and • Reduced ability to address poor performance if no formal contract in place. 				
1.2 Risk Owner		Head of Finance (CL)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	Yes	No	No	No	No

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	<p>If service arrangements fail due to poor management or the lapse of a contract the Council may not be able to continue to provide priority services.</p> <p>Services could be in breach of the Council's Procurement Procedures which places the service and the Council at risk of challenge</p> <p>Failure to comply with Council procedures may result in the Council being in breach of EU tendering thresholds.</p>
Resources	Yes	<p>Services are not provided in the most cost effective or efficient way for the Council.</p> <p>The Council is exposed to possible legal challenge if processes are not completed correctly.</p> <p>The ability of the Council to challenge poor performance is limited if performance standards have not been identified and agreed when drawing up the final contract.</p>
Service Delivery and Wellbeing	Yes	<p>Key services could be withdrawn if tendering processes are not completed in a timely manner.</p> <p>Service performance measures are not formally agreed and cannot be enforced if required.</p> <p>Closure/failure of commissioned providers and the impact this has on our ability to deliver statutory services.</p>
Reputation	Yes	<p>Failure to ensure service continuity if tenders are not completed in a timely manner.</p>

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<ul style="list-style-type: none"> Audit findings shared with and debated at Audit Committee Updates regarding contract monitoring and management have been considered by Audit Committee 	3	2	6
Resources	<ul style="list-style-type: none"> Training in relation to Procurement and Contract Management delivered to over 300 staff in March 2017 Procurement Code of Practice updated, reviewed via Insight Board and CMT Revised Procurement Code of Practice published on StaffNet Procurement pages on the Staffnet updated with key processes highlighted for all staff More detailed training and discussions taken place in services where staff undertake more procurement activity Situation with regard to the finalisation of contracts reported to CMT on monthly basis Updates to CMT on regular basis regarding the audit work undertaken on contracts and contract management Consistent application of the escalation of concerns process. 	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Service Delivery & Well-being	<ul style="list-style-type: none"> Service performance requirements now included in contract documentation A system for monitoring non-compliance against service targets has been established and is now operational. 	2	2	4
Reputation	<ul style="list-style-type: none"> No services have failed due to poor contracting processes 	3	1	3
Overall Effectiveness of Controls		3	2	6

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	3	2	6	1	2	2		
Resources	3	3	9	3	2	6	1	2	2		
Service Delivery & Well-being	2	3	6	2	2	4	1	2	2		
Reputation	3	4	12	3	1	3	1	4	4		
Average risk score/ direction of travel	3	3	9	3	2	6	1	3	3 (Medium/ Low)		

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Audit to undertake a review of contract monitoring to ensure consistent approach across services		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	Review of contracting arrangements undertaken in Q4 which concluded that robust systems were in place and policies and procedure were up to date and relevant
	Continue the development of an electronic Corporate Contracts Register.	<input checked="" type="checkbox"/>	<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 2019	Red (Slipped)	This action has slipped and will be completed during 2018/2019
NEW ACTION	Embed a robust approach for escalating concerns in relation to externally commissioned Social Services.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2019	N/A	New action. No update available as action will be progressed during 2018/19.

Corporate Risk 15: Transition to the Welsh Community Care Information System (WCCIS)

1 – Risk Overview

1.1 Risk Description

The Social Services & Wellbeing (Wales) Act 2014 has integration of health and social care at its core. The effective sharing of information is a fundamental foundation of integrated working and should be applied on a “once for Wales” basis. Welsh Government has significantly invested in the capital programme to support the development and implementation of an integrated information system across health and social care services. This system is known as Welsh Community Care Information System (WCCIS) and is the replacement to the social care information system known as SWIFT.

The new system will provide an integrated electronic record system for social care, primary and community health services, mental health services across both adult and children and young people services. This will be a national system intended to be used across all Welsh local authorities and Health Boards.

The WCCIS procurement process ended in 2015. All twenty two local authorities and health boards are enabled to procure WCCIS, as a replacement for their existing information system.

The Cardiff and Vale region have agreed in principle to collectively contract with WCCIS to enable integrated working to become a reality. However, to date Vale of Glamorgan Council is the only partner to have signed a deployment order with the supplier, Careworks. Cardiff and Vale UHB and Cardiff Council are currently going through processes to seek approval for business cases to allow them to proceed with signing a deployment order although this is now unlikely to happen until at least 2019/20. The aim is that all three partners will be utilising the WCCIS over the coming years with a staged implementation.

Initially there were some delays with the implementation of the system, which have since been addressed. And although WCCIS went live during November 2017, there were a series of obstacles to overcome in order to ensure full transition to the new system so that all aspects of the system are fully utilised and embedded. The risk previously was in relation to the inability to interface with the legacy system (SWIFT), and to fully embed and utilise the system to its full potential in integrated health and social care teams, which has since been resolved. The focus now is in relation problems associated with performance reporting, as we need to build data reports which requires new skills and time to create. Finally, we would wish to explore the financial functionality of WCCIS to ensure all our social care charging and invoicing is one place, but this requires further work and additional consultancy costs to explore and implement.

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

1.3 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	<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>
Resources	Yes	<p>Failure to fully maximise and mobilise our existing resources to ensure full implementation/development of WCCIS across the Directorate.</p> <p>Minimal resilience within the team to support the ongoing transition to the new system. Arising from the lack of staff capacity to support the transitional period as a result of disbanding the regional consortium providing SWIFT support. However, there is a regional team which is upskilling and Vale of Glamorgan will be able to access both regional and national support over time.</p> <p>Increased risk of data protection breaches following transition to new WCCIS system due to the large volume of users and the financial impact of these breaches.</p> <p>ICT issues impacting on our ability to print newly developed forms post implementation of WCCIS.</p>

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<ul style="list-style-type: none"> Initial launch/Go live has been successful. Delivery of other development phases of the system are being monitored via operational meetings. Regular reporting of progress/updates via Insight, CMT and Cabinet. Regional partners have further delayed implementation of WCCIS 	2	1	2
Resources	<ul style="list-style-type: none"> Extension of SWIFT contract has been negotiated to support the transition between the two systems with an annual renewal of the contract. Interface between the previous SWIFT system and the WCCIS via a bespoke legacy system is now working. Identified Super users for the system maintain links with the national and regional team. Successfully trained all staff on using WCCIS now that it is operational. Training has been delivered on performance reporting and officers continue to access support from other local authorities to develop their expertise on the system. 	2	1	2
Service Delivery & Well-being	<ul style="list-style-type: none"> Directorate adheres to the Council's Information Management Strategy. We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so. Data disclosure agreements in place with all other organisations that are using WCCIS. Information Manager attends Information Governance Groups to ensure the IAA is signed and fit for purpose to give us an additional layer of protection. Representatives Attend Regional and National Operational Meetings to identify and discuss any operational issues with 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>the system and impact on service delivery.</p> <ul style="list-style-type: none"> Fortnightly operational meetings post-implementation to identify and address system based issues as they arise. 			
Reputation	<ul style="list-style-type: none"> 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. We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so. Performance staff are being trained and learning how to build reports in order to access data and prepare reports using SQL databases. Linked with other WCCIS sites to share knowledge and skills 	2	1	2
Overall Effectiveness of Controls		2	1	2

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH10 RM/A009	Continue full implementation of the Welsh Community Care Information System (WCCIS) for the Directorate including a focus on developing the financial aspects of the system. Action also relates to CS/A019 and AS/A018	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GJ	March 2019	Green (Completed) This will be an ongoing action for next financial year.	Work scheduled for this year has been completed, but we will continue to focus on rolling out new system during 2018/19. 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.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Ensure that the previous SWIFT system can interface with WCCIS via Legacy icon	✓	✓	✓	✓	✓	✓	✓	✓	✓	GJ/NW	April, 2018	Green (Completed) Action completed and will be reflected as a control in the Register in the next quarterly update.	We are running SWIFT and WCCIS concurrently at present. SWIFT is legacy system is read-only. SWIFT contract has been extended for another year.
	Resolve operational issues regarding WCCIS to match processes within teams	✓	✓	✓	✓	✓	✓	✓	✓	✓	Systems support Officer and Operation	Ongoing	Green (Completed) Action completed	Currently we hold a fortnightly meeting to address issues raised by operational staff. These include changes to social

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
											al staff		and will be reflected as a control in the Register in the next quarterly update.	work practice to accommodate the system, including the development of new forms etc. Ongoing training and support for super-users Introduction of a 'clinic' for users to attend to discuss their forms etc. Ongoing training and support for super-users Introduction of a 'clinic' for users to attend to discuss their issues and identify solutions

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Ensure that Performance staff are competent to extract and report Performance related data to support service managers and report to Welsh Government, CIW etc. including the public for FOI requests	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NH	March 2018	<p>Green (Completed)</p> <p>Action completed and will be reflected as a control in the Register in the next quarterly update.</p> <p>This will be an ongoing action for next financial year.</p>	<p>Performance staff have attended SQL training to understand how to build performance related reports.</p> <p>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.</p> <p>Dashboards within WCCIS have been developed to enable staff to manage their own data have been completed.</p>

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Address issues relating to outcomes of financial assessments for Service users	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	Ongoing	Amber (Minor slippage) This will be an ongoing action for next financial year.	FABA staff have identified a workaround, using existing fields on WCCIS. Work has been undertaken with the staff from the Performance and Information team to build dashboards on WCCIS that provide the information required. The finance module of the system is due to be implemented during 2018/19 and consideration will be given as to whether this can further support FA.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Focus on minimising duplication through integrated teams accessing two systems.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	Ongoing	Red (slipped)	Regional partners are not in a position to sign deployment orders for 2018/19 for WCCIS. The delayed implementation by partners could cause issues for our integrated teams that work on a regional basis as they must record on several systems – this has risks regarding the recording of information, and the duplication of effort causes unnecessary inefficiency and use of resources inappropriately.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
NEW ACTION	Explore options for the maintaining a Legacy System in line with our Corporate 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"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GJ	March 2019	Not applicable New action.	New action