

Meeting of:	Audit Committee
Date of Meeting:	Monday, 25 February 2019
Relevant Scrutiny Committee:	Corporate Performance and Resources
Report Title:	Corporate Risk Register Quarter 3 Update
Purpose of Report:	To update Audit Committee on the Quarter 3 position of corporate risks for April 2018-December 2018 contained within the Corporate Risk Register and Corporate Risk Summary report.
Report Owner:	Leader and Cabinet Member for Performance & Resources
Responsible Officer:	Rob Thomas, Managing Director
Elected Member and Officer Consultation:	Consultation has been undertaken with the designated corporate risk owners, Insight Board and the Corporate Management Team.
Policy Framework:	The proposals are within the Council's Policy Framework.
<p>Executive Summary:</p> <ul style="list-style-type: none"> • This report provides an outline of the Quarter 3 position (April-December 2018) of risks contained within the Corporate Risk register and outlined in the Corporate Risk Summary report. There are currently 14 risks on the Risk Register within Annex A. Audit Committee endorsed the removal of the Housing Improvement Programme Risk (Wales Housing Quality Standards) from the Register at the end of Quarter 2. • Of the 14 Corporate Risks, in terms of risk status, 1 risk scored high, 1 risk scored medium/high, 10 risks scored medium and 2 risks scored medium/low. The overall position of risks on the Register has remained largely unchanged, with the exception of the Waste risk that has increased marginally from a score of 4 to a score of 6, but the risk status has remained a medium. (See page 3 of Annex A). • The heat map for quarter 3 (Page 4 Annex A) shows that the majority of risks are concentrated at medium. Equally, the thematic heat map shows that the majority of corporate risks congregate around medium across all risk categories. • During quarter 3, good progress continues to be made in relation to the Risk Management Plans across all aspects of the Register. During quarter 3, a total of 17 actions (15%) were completed. 75% (87) actions are on track and have been attributed a green status. Just three actions (2%) were assigned an amber status to reflect there has been some minor slippage. 8% (9) of actions were assigned a red status to indicate more significant slippage in progress against actions. • The emerging issues associated with Brexit are discussed in this report where it outlines our current position as a local authority and what further preparations will be undertaken. Capacity issues associated with domiciliary care and the brokerage of packages is also discussed. This facet 	

of risk is reflected in the Contract Management risk.

- The report recommends that Audit Committee note the quarter 3 position of the Risks within the Risk Register and refers the report onto Cabinet for their consideration and endorsement.

Recommendations

- 1.1 That Audit Committee note the quarter 3 position of corporate risks for the period April 2018- December 2018 and endorse any recommendations made by the Corporate Management Team as contained in this report.
- 1.2 That Audit Committee refers this report to Cabinet for their consideration and endorsement.

Reasons for Recommendations

- 2.1 To identify the quarter 3 position of corporate risks across the Council and highlight any emerging issues and actions to be taken.
- 2.2 To ensure Cabinet receives a quarter 3 position on the Corporate Risk Register and endorses the recommendations contained within this report.

1. Background

- 1.1 The Corporate Risk Register and its associated reporting tool was endorsed by Audit Committee in January 2018 and a refresh of the Risk Management Strategy was undertaken and endorsed in May 2018.

2. Key Issues for Consideration

- 2.1 There are currently 14 corporate risks on the Register, as outlined within Annex A of the Risk Summary Report. The Housing Improvement Programme (Wales Housing Quality Standards) risk has been removed from the Register at the end of Quarter 2. Audit Committee endorsed that it no longer warranted a position on the Register, as the work associated with the Wales Housing Quality Standards have been concluded which has been acknowledged by the Welsh Government.
- 2.2 Of the 14 Corporate Risks, in terms of risk status, 1 risk scored high, 1 risk scored medium/high, 10 risks scored medium and 2 risks scored medium/low. The overall position of risks on the Register has remained largely unchanged, with the exception of the Waste risk that has increased marginally from a score of 4 to a score of 6, but the risk status has remained a medium. (See page 3 of Annex A).
- 2.3 In relation to the forecast Direction of Travel, the majority of risks on the Register have remained static with the exception of the Reshaping risk, the Waste risk and the Contract Management risk that are all forecast to escalate over time. It is likely that the Reshaping risk will escalate over time as a result of diminishing

resources and increased demand for services. The Council's funding position continues to be challenging given that there has been a real terms reduction in funding from the Welsh Government which places significant pressure on our key services at a time when managing demand for these services is equally as challenging. This funding position continues to be volatile despite the Council making a total of £55M savings since 2010. Equally it is anticipated that the Waste risk will escalate over time given the scale of service transformation required over the forthcoming year regarding source segregated recycling collections. There is also an emerging issue that relates to capacity issues that are being experienced arranging packages of domiciliary care for adults and the availability of placements for children.

Risk Exceptions

Deprivation of Liberty Safeguards (DoLS)

- 2.4** The Deprivation of Liberty Safeguards risk remains high status (12). This status reflects that Social Services continue to experience pressures in relation to their resources as a result of increased demand for Best Interest Assessments which continues to escalate this risk. We continue to anticipate that this risk is unlikely to diminish over time, and will maintain its high status for at least the short to medium term. In order to better manage demand, the Council is using the ADSS (Cymru) priority matrix tool to support the prioritisation of assessments; despite this the backlog continues to be significant. In response to internal audit findings, a business mapping review commenced during 2018/19 that was led by the Business Improvement Team to look at current business functions of the team and ways in which processes can be better streamlined to enable a more efficient use of time and resources.
- 2.5** This review work was completed in quarter 3 and incorporates a series of recommendations for improvement that subject to approval will form key mitigations to this risk.

Welsh Community Care Information System (WCCIS)

- 2.6** The Welsh Community Care Information System risk has retained its medium/high (8) status from the previous quarter. Although the implementation of the new social care system continues to be progressing, it has not been without its challenges.
- 2.7** The extraction of timely and accurate performance data from WCCIS continues to be an ongoing issue. However during Quarter 3 significant strides forward have been made in relation to the cleansing of data. It is anticipated that majority of the data cleansing will have been undertaken by Quarter 4, so that performance data can be more accurately reported in future quarters. Two further performance posts have been added to the Social Services establishment to further enhance our resilience and capacity to produce the necessary performance reports alongside working with are Works to develop specific reports for the Council. Equally the appointment of a Senior Systems Administrator position during Quarter 3 has added further resilience to the team

and this individual is actively identifying and resolving issues associated with WCCIS as they arise.

- 2.8 Consultancy support for the development of the financial module has been secured with additional consultancy days purchased using Integrated Care Fund monies. Work on designing and developing the finance functionality of the system will be progressed from April 2019. The legacy system continues to be maintained in parallel until all issues relating with WCCIS are fully resolved.
- 2.9 The findings of a recent Internal Audit review of WCCIS identified the need for a lessons learnt event to disseminate knowledge/learning and the need for procuring additional training which will be progressed by the lead Regional Co-ordinator from Quarter 4 onwards.
- 2.10 Although the fluctuating nature of this risk has necessitated the need for this risk to remain medium/high during Quarter 3, it is forecast that this risk will reduce in the short term.

Safeguarding

- 2.11 The Safeguarding risk remains scored as medium/low (3) on the Register. Several robust controls are in place to effectively mitigate against this risk and all actions outlined in the Risk Management Plan for 2018/19 have been attributed a green status for their progress during quarter 3. For example, review work of our Adults at Risk processes is underway that takes into account the new Welsh Government guidance. We have put in place a monthly reporting mechanism for information/data relating to child sexual exploitation with cases evaluated based on the critical enquiry framework which is then reported to the Regional Safeguarding Children's Board.
- 2.12 The Council continues to promote and embed the safer recruitment policy corporately and within schools. Our compliance overall was 95.5% showing only a slight decrease compared to the same period last year (2017/18). In relation to our safer recruitment corporately our compliance during Quarter 3 was 100% which is in line with the same period last year. However schools compliance has decreased slightly from 96% during quarter 3 2017/18 to 93.1%. The service continually monitors compliance rates and has an escalation process in place to address any compliance breaches. Compliance continues to feature as a standing agenda item at each Corporate Safeguarding Group meeting, where their remit is to also review the effectiveness of the policy to identify any potential improvements. During November 2018, a mandatory Safeguarding iDev training module was rolled out to all Vale of Glamorgan employees with completion and compliance monitored through the Corporate Safeguarding Group.
- 2.13 Although this risk remains relatively low, it will continue to feature on the Risk Register due to the volatile nature of this risk. Safeguarding is everybody's responsibility and is of the utmost importance, therefore our approach to safeguarding needs to be regularly reviewed and updated to ensure it is effectively being managed.

Contract Management

- 2.14 The Contract Management risk, remains medium/low (3) on the Register. The existing controls continue to be particularly effective and good progress has been

made in delivering the actions outlined in the Risk Management Plan during the quarter. There are now only two actions remaining on the Risk Management Plan. The development of a Central Contracts Register has slipped during the Quarter. A brief for the Register has now been agreed to progress the work which will be prioritised during Quarter 4. The Contracts Register will provide a corporate overview of all contracts.

- 2.15** The potential failure of externally commissioned providers in the delivery of services continues to be an issue particularly in the context of commissioning Social Services. Although this aspect of risk will always exist, it is currently being controlled through the 'Escalating Concerns' policy. In terms of further reinforcing and embedding this policy, quality assurance meetings are underway and the policy is under review with regional partners in order to develop a policy over a regional footprint.

Quarter 3 Risk Register

- 2.16** **Annex A** contains the full Risk Register along with a Risk Summary Report outlining the position of all Corporate Risks.

Risk Heat Map Summary

- 2.17** The Corporate Risk Summary report (See pages 4 and 5 of Annex A) contains heat maps that plot on a matrix the residual risk scores for each corporate risk.
- 2.18** The heat map for quarter 3 shows that the majority of risks are concentrated at medium. Equally, the thematic heat map shows that the majority of corporate risks congregate around medium across all risk categories.
- 2.19** In relation to risks with an amber status (medium/high) there is a greater concentration of these in relation to reputation and service delivery & well-being based risks.
- 2.20** Deprivation of Liberty Safeguards continues to sit in the high category of the matrix (with a residual score of 12) across three of the four risk categories with the exception of reputation where it scored medium/high (9).
- 2.21** There were no green status risks (medium/low or low) risks associated with the reputational risk category.

Risk Management Plan Summary

- 2.22** The majority of the actions in the Risk Management Plans are associated with Corporate Plan priorities and/or Service Plan delivery in order to further mitigate the effects of the corporate risks.
- 2.23** During quarter 3, good progress continues to be made in relation to the Risk Management Plans across all aspects of the Register. In total there are 120 mitigating actions currently being monitored via the Register most of which are linked to a corporate risk. During the quarter, we have been able to assign a RAG status to 116 of these mitigating actions. (See 6 page Annex A).
- 2.24** During quarter 3, a total of 17 actions (15%) were completed and as a result will now be removed from the Risk Management Plan in the next quarterly update and incorporated where appropriate as controls within the relevant section of the register. These completed actions were as follows:

CR2: Legislative Change & Local Government Reform

- RM/A003: Develop and implementation of the Regional Partnership Board Annual Plan. (See page 42 of Annex A)
- RM/A005: Support the Assistant Director for Integration to develop a more joined up approach to developing preventative services aligned to the Social Services and Well-being Act and Well-being of Future Generations Act. (See page 43 of Annex A)
- CS/A024: Work with Cardiff Council and the Cardiff and Vale University Health Board to increase transparency of the continuing health care process in relation to children and young people and seek local authority membership of the Panel. (See page 47 of Annex A)
- CS/A025: Utilising the Frameworks offered by the Children's Commissioning Consortium Cymru (4Cs) and the National Fostering Framework to address challenges associated with children's placements. (See page 48 of Annex A)
- PD/A059: Work with WAO to pilot an assessment framework to inform a national framework for auditing councils' implementation of the Well-being of Future generation (Wales) Act. (See page 55 of Annex A)

CR4: Waste

- NS/A024: Remodel our waste management infrastructure. (See page 81 of Annex A)

CR7: Information Security

- FIT/IT040: Further refine the ICT Strategy to ensure it has a clear vision and objectives that can be aligned to the Reshaping Services programme. (See page 115 of Annex A)
- FIT/IT010: Implement a second internet connection to the Council to provide additional service resilience and increase efficiency. (See page 119 of Annex A)
- DS/IT039: Develop a protocol to enable us to reuse information under the Open Government licence. (See page 120 of Annex A)

CR8: Welfare Reform

- FIT/A001: Continue to support the roll out of Universal Credit in line with DWP timescales. (See page 148 of Annex A)
- FIT/A003: Update the Council's website to reflect up to date information on welfare reform changes including where to get advice/support. (See page 150 of Annex A)
- HS/A053: Continue to provide information and support to residents affected by Welfare Reform/Universal Credit and raise awareness of staff and partners about the impact of the changes. (See page 156 of Annex A)

CR9: Public Building Compliance

- Roll out of the IPF system to Premises Managers. (See page 165 of Annex A)
- Review the management of compliance and in particular 'compliance data' in relation to the Council's corporate building stock. (See page 166 of Annex A)

CR11: Integrated Health & Social Care

- AS/A027: Implement the new Community Mental Health Teams Integrated Model to support working age adults with mental health needs. (See page 192 of Annex A)

CR14: Welsh Community Care Information System (WCCIS)

- Focus on minimising duplication through integrated teams accessing two systems. (See page 217 of Annex A)
- Explore options for maintaining the Legacy system in line with our Corporate Retention Policy. (See page 218 of Annex A)

2.25 In relation to the remaining risk actions in the Risk Management Plans, 75% (87) actions are on track and have been attributed a green status. Just three actions (2%) were assigned an amber status to reflect there has been some minor slippage indicating work has commenced but progress has been hindered or delayed. These actions related to developing and contributing to corporate project work streams including Town and Community Councils, Demand Management, Effectiveness of Spend and Digital Vale (CR1: Reshaping Services) (See page 23 of Annex A), complete the delivery of the Llanmaes Flood Alleviation scheme (CR7: Environmental Sustainability) (See page 138 of Annex A) and continue to review and enhance the Council's Succession Planning and Talent Management scheme (CR5: Workforce) (See page 97 of Annex A). It is anticipated progress will be brought back on track during Quarter 4.

2.26 8% (9) of actions were assigned a red status to indicate significant slippage in progress against actions. These red statuses were in relation to the following Risk areas:

CR3: School Reorganisation

- SL/A020: Complete the disposal of assets such as Eagleswell school site (Ysgol Y Ddraig). Although progress against this action has slipped, alternative options for its disposal will be considered during Quarter 4. (See page 66 of Annex A)

CR4: Waste Management

- NS/A025: Implement efficient route planning for delivery of waste and other services. This action has slipped as the service was waiting for the changes to the black bag restrictions to bed in with customers. A review of the route planning will be progressed during Quarter 4 in order to assess vehicle/staff requirements for refuse, recycling and composting. (See page 82 of Annex A)

CR5: Workforce

- NS/W006: Review of all out of hours arrangements to ensure adequate availability of resources and operational needs of the service and public are met. Meetings to discuss options with Managers and Trade Unions did not progress during the Quarter. This work will now commence during Quarter 4. (See page 106 of Annex A)

CR6: Information Security

- FIT/IT012: Continue working towards Payment Card Industry (PCI) Compliance. Although progress in relation to this action has slipped due to the sale of our previous system to a new provider, a report is due to be presented during Quarter 4 (January 2019) to seek approval to let a contract for a new income management system. (See page 119 of Annex A)

CR7: Environmental Sustainability

- NS/A014: Continue to identify funding to improve the National Cycling Network Route 88 as identified in the Active Travel Integrated Network Maps. While S106 contributions continue to be used to enhance cycling provision in the Vale of Glamorgan, staff levels have meant that the service has not had the capacity to take a proactive stance on progressing this action further. (See page 130 of Annex A)
- NS/A001: Further the feasibility study to get buses over the Cardiff Bay Barrage including further consideration of a Cosmeston Park and Ride facility. Consultants (Capita) have been appointed to carry out WelTAG 1 and 2 studies. The project is to be project managed by Arcadis consultant PM, Matthew Fry. These studies are due to be completed in quarter 4. (See page 131 of Annex A)
- NS/A003: Progress additional modelling requirements to assist with the feasibility study for bus, cycling and walking improvements at Cardiff and Barry Road, Dinas Powys. This has been delayed due to lack of resources and knowledge of the subject area but a tender is due out during Quarter 4 whereby a consultant will be appointed to undertake a number of feasibility and ecological studies relating to this project. (See page 132 of Annex A)
- NS/A009: Seek further opportunities to recruit volunteers for transportation initiatives. Lack of staff in the Passenger Transport team has meant a conflict of priorities with the day to day running of services taking priority. This has meant certain tasks, such as recruiting of staff, has taken less of a priority. (See page 134 of Annex A)

CR13: Contract Management

- FIT/A025: Develop and implement a central Contracts Register for the Council to enable effective procurement and contract management. Although this action has slipped, good headway has been made in relation to development of a brief for the Register that has now been agreed. This work will be prioritised during quarter 4 (See page 208 of Annex A).

Emerging Issues & Risks

Brexit

- 2.27** The uncertainty and implications associated with Brexit have been the subject of much discussion across the Council. In October 2018, Brexit was a primary agenda item at the Insight Board which prompted discussion regarding its potential impact on us as a local authority and the area.
- 2.28** Following the Insight Meeting it was agreed that all service areas would assess the potential impact of Brexit (and in particular in relation to a no-deal Brexit) on services. Initial work was completed during Quarter 3 and the findings were reported to CMT and Cabinet in November. The findings were also used to inform our response to a Brexit call to evidence from the Wales Audit Office in November. Following this Cabinet also received a briefing on the implications of Brexit from the WLGA.

2.29 The Council is also represented by the Director of Environment and Housing Services on the Local Resilience Forum, a regional emergency planning group. This group along with the Home Office have defined 8 risks associated with Brexit. These 8 risks will frame our impact assessment work and to also update our Business Continuity Plans for priority 1 services.

2.30 It is anticipated that this work will put us in a better position to understand the potential pressures on specific services to enable us to better prepare and respond to the changing climate to minimise disruption to service delivery.

2.31 Brexit has not been identified as standalone risk in the Register. Taking into account the emerging issues arising and the associated uncertainty it has been incorporated within the existing Legislative Change and Local Government Reform Risk through the description of the risk factors. As the impact and implications of Brexit become clearer, this facet of the Legislative Change & Local Government Reform risk will be updated accordingly.

Market Capacity Issues

2.32 There are emerging issues in relation to capacity pressures within the social care service market. This relates to placement availability for children and also within the domiciliary care sector. Domiciliary care availability is impacting on our ability to broker care packages for our citizens. As a consequence this potentially impacts on our ability to continue to support individuals to be independent or to discharge patients from hospital which creates added pressure on the demand for beds. The Resource Management and Safeguarding Division is currently working with providers across the Vale of Glamorgan to look at various ways to release capacity. Children's services is working both nationally and regionally at commissioning arrangements and placement availability. These risks are part of a national theme and will continue to escalate for the foreseeable future.

Feedback from Corporate Management Team

2.33 No recommendations were made by Corporate Management Team although comments from CMT have been incorporated within Risk report for the Quarter and these are featured in the emerging issues section at paragraph 3.31.

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

3.1 Risk Management is an intrinsic part of corporate governance and integrated business planning which underpins the delivery of the Council's Corporate Plan and its Well-being Outcomes. Our Corporate Plan has been structured around the Well-being of Future Generations (Wales) Act 2015, through the development of four Well-being Outcomes and eight Well-being Objectives. By aligning our Well-being Outcomes in the Corporate Plan with the Well-being Goals of the Act, this will enable us to better evidence our contribution to the Goals.

3.2 Corporate Risks are considered in the context of the Well-being of Future Generations in terms of their potential impact on our ability to deliver /meet the Well-being Goals. The multi-faceted nature of risk means they have the potential to impact on how we deliver our priorities within the Corporate Plan and ultimately impact on our ability to meet/deliver on the Well-being Goals. A failure to identify the different facets of risk and mitigating actions using the five ways of working puts us in a more vulnerable position in terms of our ability to manage the risks and could significantly impact on our ability to evidence our contribution to meeting the Well-being Goals into the longer term. For example, the Welfare Reform risk cuts across five of the seven Well-being Goals in relation to a Prosperous Wales, A Resilient Wales, A Healthier Wales, A More Equal Wales and a Wales of Cohesive Communities with multiple aspects of risk associated with Welfare Reform that have the potential to impact on our ability to contribute to these Goals. For instance the social impact of welfare reform could impact on tenant's health and their ability to heat their homes, live in good quality housing and feed themselves which directly impacts on the Healthier Wales and Cohesive Communities Goals. Equally there is the risk that welfare reform could have a detrimental impact on citizen's finances and their ability to sustain tenancies, access employment opportunities and pay bills. Collectively these could have an impact on our ability contribute to developing a Resilient Wales, Prosperous Wales, a More Equal Wales and Cohesive Wales Goals.

3.3 The five ways of working are also a key consideration in relation to our corporate risks as a key part of managing the risk involves developing a Risk Management Plan that identifies the mitigating actions that have a focus on the long term, prevention, integration, collaboration and involvement.

4. Resources and Legal Considerations

Financial

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

Employment

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

Legal (Including Equalities)

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

5. Background Papers

Corporate Risk Register

Corporate Risk Management Strategy



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK REGISTER

QUARTER 3 APRIL 2018 - DECEMBER 2018



Strong
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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	Waste	12 (H)	4 (M)	3	2	6 (M)	↑	↑
5	Workforce Needs	9 (M/H)	4 (M)	2	2	4 (M)	↔	↔
6	Information Security	12 (H)	4 (M)	2	2	4 (M)	↔	↔
7	Environmental Sustainability	12 (H)	4 (M)	2	3	6 (M)	↔	↔
8	Welfare Reform	12 (H)	4 (M)	2	2	4 (M)	↔	↔
9	Public Buildings Compliance	9 (M/H)	2 (L)	2	3	6 (M)	↔	↔
10	Safeguarding	9 (M/H)	6 (M)	1	3	3 (M/L)	↔	↔
11	Integrated Health and Social Care	6 (M)	4 (M)	2	2	4 (M)	↔	↔
12	Unauthorised Deprivation of Liberty Safeguards	12 (H)	1 (L)	4	3	12 (H)	↔	↔
13	Contract management	9 (H)	6 (M)	1	3	3 (M/L)	↔	↓
14	Welsh Community Care Information System (WCCIS)	16 (VH)	2 (L)	2	4	8 (M/H)	↔	↓

1

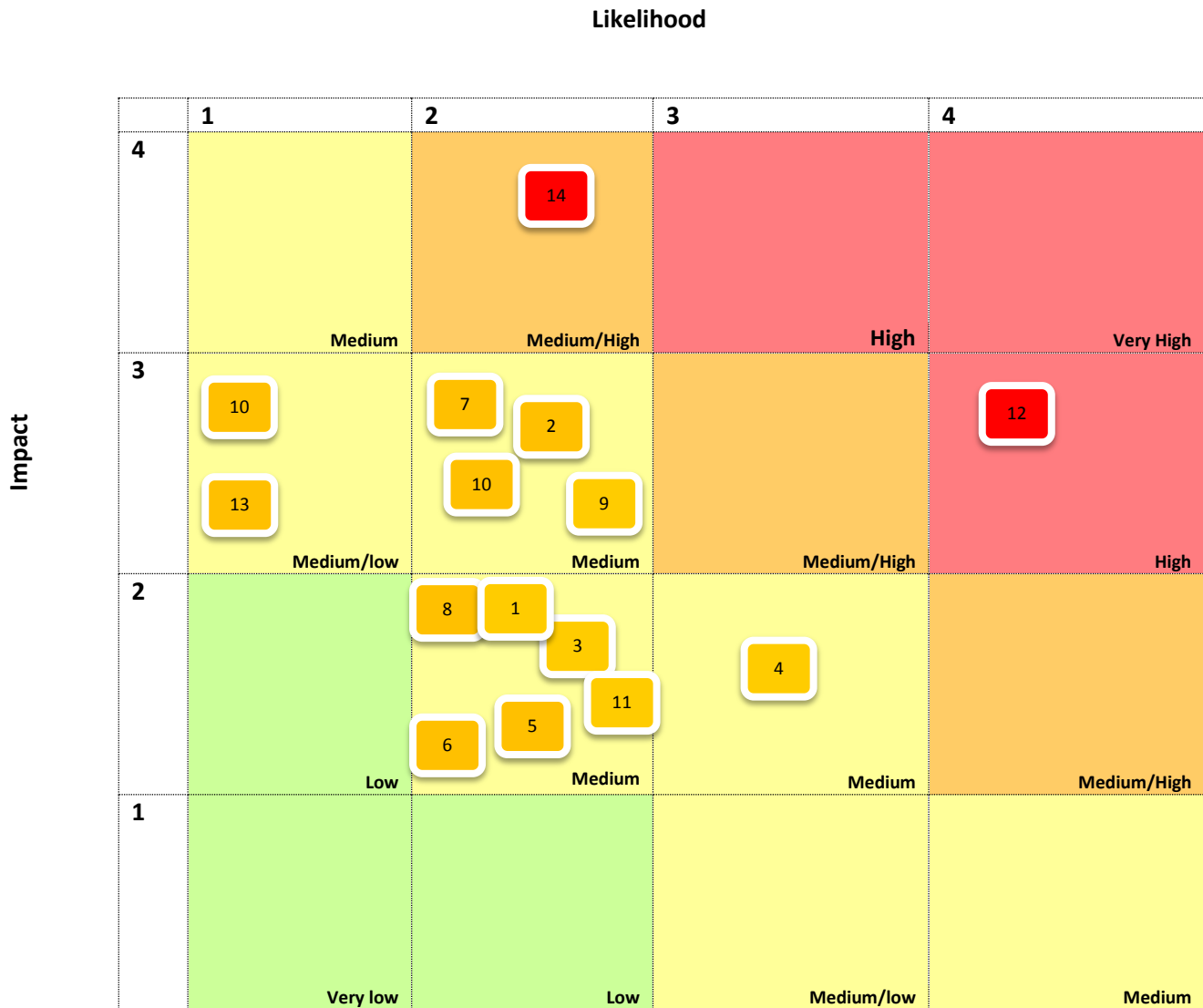
Direction of travel compares residual risk score for the current quarter with the previous quarter to indicate whether the risk is increasing/ decreasing or staying static.

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

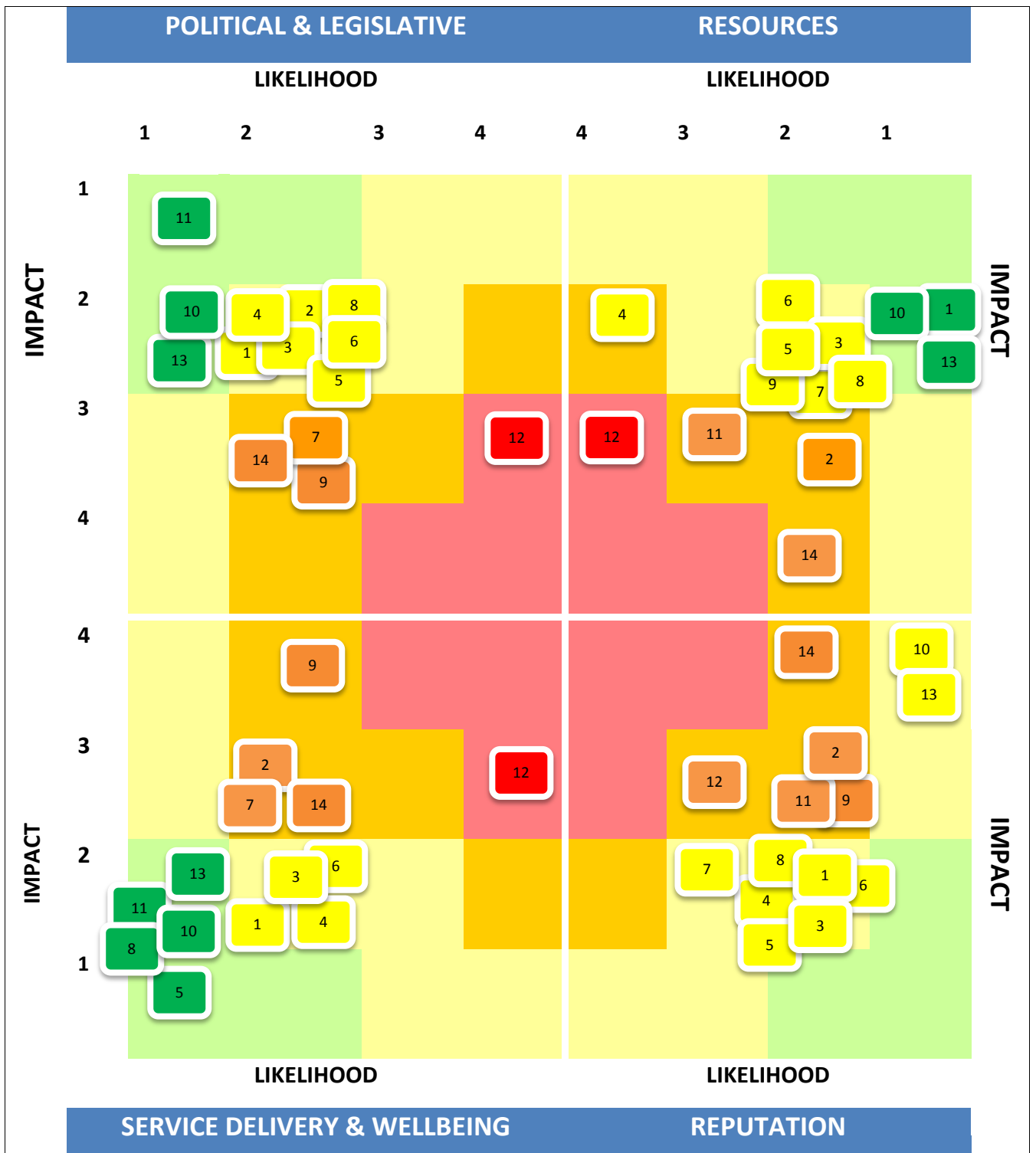
The Heat Map below uses a risk matrix quadrant to plot the residual risk scores (based on likelihood and impact) of each Corporate Risk to provide an illustration of the groupings of risks within the heat map.



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

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

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 is applicable.
	Completed (Green)	Green (On track)	Amber (Minor Slippage)	Red (Slippage)		
CR1: Reshaping Services	N/A	88% (7)	12% (1)	N/A	8	8
CR2: Legislative Change & Local Government Reform	29% (5)	71% (12)	N/A	N/A	18	17
CR3: School Reorganisation & Investment	N/A	88% (7)	N/A	12% (1)	8	8
CR4: Waste	14% (1)	71.5% (5)	N/A	14% (1)	9	7
CR5: Workforce Needs	N/A	83% (10)	8% (1)	8% (1)	12	12
CR6: Information Security	30% (3)	60% (6)	N/A	10% (1)	10	10
CR7: Environmental Sustainability	N/A	69% (11)	6% (1)	25% (4)	16	16
CR8: Welfare Reform	43% (3)	57% (4)	N/A	N/A	7	7
CR9: Public Building Compliance	50% (2)	50% (2)	N/A	N/A	4	4
CR10:Safeguarding	N/A	100% (6)	N/A	N/A	7	6
CR11: Integrated Health & Social Care	9% (1)	91% (10)	N/A	N/A	11	11
CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs)	N/A	100% (2)	N/A	N/A	2	2
CR13: Contract Management	N/A	50% (2)	N/A	50% (1)	3	3
CR14: Welsh Community Care Information System (WCCIS)	40% (2)	60% (3)	N/A	N/A	5	5
Totals	15% (17)	75% (87)	2% (3)	8% (9)	120	116

Corporate Risk 1: Reshaping Services

1 – Risk Overview						
1.1 Risk Description		Failure to deliver the Reshaping Services Programme				
<p>There is a risk that the Council fails to deliver the Reshaping Services Programme and therefore does not utilise alternative methods of service delivery and other approaches to mitigate the impact of budget reductions and demand challenges, thereby resulting in further cuts to services significantly impacting their availability and quality.</p> <p>There is the risk associated with pursuing the Reshaping Services agenda, namely the new skills and capacity required to manage significant change at a time of diminishing resources and using approaches that are relatively new concepts to the Council and its partners.</p> <p>There is also the risk of a judicial review particularly in relation to Reshaping Services agenda where new models of service delivery are developed. This could have both financial and reputational consequences if a judicial review finds our actions to be unlawful.</p>						
1.2 Risk Owner		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	<p>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.</p> <p>Fail to develop and mobilise sufficient skills and capacity to develop and deliver the Programme and manage new ways of working.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		Failure to maximise the use of our existing assets and technology to deliver services in a cost effective and efficient way.
Service Delivery and Wellbeing	Yes	<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. Tranche 3 projects have been identified, with savings included in the revenue proposals for the budgets of 2018/19 and 2019/20. Work is underway with the relevant project sponsors to put processes for delivery in place for 2018/19. The Digital Strategy 2017-2020 was considered by Cabinet at the meeting of 31st July 2017. The Digital Strategy sets out the strategic direction for the development of service and outlines new ways of working for our staff and how we work with partners that embraces new digital technologies to improve our service to customers whilst reducing costs. 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 	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>digital days with services to identify improvements and potential efficiencies. This work will continue forward into 2018/19.</p> <ul style="list-style-type: none"> As part of the Tranche 3 Procurement project, Third Party Spend targets have been established for service areas as part of the Council's Final Revenue Budget Proposals for 2018/19. Guidance will be provided during Q1 of the new year and monitoring arrangements are being put in place. The income generation and commercial opportunities project team and project board continue to identify opportunities for income generation and work is underway on a range of proposals which include identifying resource implications, including training, capacity and support needs. For example, work to support the project team developing the Catering Company proposals includes identifying the required training and skills support for the team. Delivery of Phase 2 of Space project work completed in May 2018. Works have been completed in the reception areas and ground floor and the basement. Our in-house Residential Care Services have been reshaped and all temporary posts have been changed to permanent peripatetic posts during December 2018. The Environmental Information Request Policy was implemented this quarter as approved by Cabinet on 3rd October, 2018. New fee structure for Registration Services was considered and approved by Cabinet. Revised ceremony fees have been established for Registrar Services. 			
Service Delivery & Well-being	<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. A review of the bulky collections process and online booking solutions has been undertaken; a new process is expected to be launched in 2018/19 with a significantly 	2	2	4

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

2.3 Residual Risk Scoring & Direction of Travel											
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	2	4	2	2	4		
Resources	3	3	9	3	2	6	1	2	2		
Service Delivery & Well-being	3	3	9	2	2	4	2	2	4		
Reputation	3	3	9	2	2	4	2	2	4		
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				
CP1 PD/F021 (AS/F027/ AS/F029, AS/F030) (SL/F024) (HS/A075) (AA/A017) (NS/F001) (RM/F001, CS/F016)	Progress proposals via the Reshaping Programme, seek Cabinet approval for business cases as required and implement approved projects where appropriate	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 (SC/MI TB/DD/E R/AP/RE)	March 2019	Green (On track)	Overall our projects associated with delivery of the Reshaping Services Programme have progressed well this quarter. In relation to the reshaping of the in-house residential care service, consultation with temporary post holders has been completed with relevant staff and Unions. Work has progressed to increase the use of reablement home care to help people to achieve their potential for independence by introducing a Team Around the Individual reablement support for dementia patients. Supported Accommodation provision at Rhoose Road has

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>been established. One person moved in and plans for two further people are in place.</p> <p>The Catering Management Team is working with a research company to review the opportunities of working with local farmers for the provision of fruit, veg and meat to some schools in the Vale with a draft report due mid-December. Commercial Awareness training has been undertaken and well received by staff during October half term. Progress update on the Local Authority Trading Company (LATC) with a selection of Head Teachers</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 & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>has been undertaken and project continues to progress regarding Catering Assets, Financial Systems and the Financial Appraisal in readiness for April 2019. Articles of Association are currently being drafted by Capital Law. The pilot project of a new cashless catering solution/kitchen manager solution with Cypad is currently being trialled at 6 primary schools. General feedback from catering staff, school administrators and Head teachers is very good.</p> <p>The Draft Parking Strategy has been subject to a consultation</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				
														<p>exercise and is due to be completed quarter 4. Meetings have continued to be held with Single Use Leisure Facility clubs and further progress will be made for the remaining quarter with a review to cost recovery for such facilities. A report in quarter 4 is due to be considered on passenger transport policies.</p> <p>A discretionary charging for Social Services report is due to be submitted in January and a number of service reviews have been undertaken regarding direct payments and commitment reporting to</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				
														ensure a more robust financial forecast report.
CP1 PD/F040 (Digital: FIT/IT005, (IT/IT019) FIT/IT007, FIT/F009, FIT/IT010 (IT/IT022), FIT/IT011, FIT/IT012) (Third Party: FIT/F006)	Develop and deliver Tranche 3 projects for Digital Vale, Third Party Spend, Income Generation and Commercial Opportunities, Establishment Review and service projects for the Reshaping Services Programme and seek Cabinet approval for business cases as required.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 (CL/NW)	July 2018	Green (On track)	Good progress has been made in relation to delivering Tranche 3 projects associated with Digital Vale, Income Generation and Establishment Review work. Digital Vale: Work around these project streams is ongoing. Progress has been made in many areas, these include; website refresh - a new web design was launched in November 2018. Office 365 - the development team are moving towards a technical solution for the implementation across the

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				
Income: PD/F035 (DS/F028, DS/F029, DS/F030) (FIT/F008) (HS/A076) (RP/F018) Establishment: (SL/F026, SL/F039) (HS/W028)														Organisation. Mayrise/Yota has made progress and is being used in the Service on tablets. There will be further development once the Organisation has found a secure way to integrate with CRM. Meetings continue around software application consolidation, Oracle integration, Finance / online payments system and potential replacement options for the Oracle Enterprise Resource Planning (ERP) system. Progress with Oracle integration has stalled as the search continues to find an integration partner. Finance / online payments system and potential replacement options for the Oracle Enterprise

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				
														<p>Resource Planning (ERP) system has stalled pending decisions.</p> <p>The storage tender contract has been awarded and the work to implement the solution is starting week commencing 7th January 2019.</p> <p>As part of the network redesign, an additional connection to the internet has been installed at the Civic Offices.</p> <p>The Revenues section are continuing to promote the roll out of E-Citizen but as this requires sign up from the customer then the numbers still remain relatively low. To</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				
														<p>further promote the service all outgoing emails that are sent externally continue to promote the service. Report to be presented to Cabinet on 7th January 2019 seeking approval to let a contract for a new income management system. Implementation should take 6-9 months</p> <p>Third party:</p> <p>Savings targets have been identified and are reflected in all Directorate Savings Plans for the year in line with the ongoing Reshaping Services Programme. We will continue to monitor progress against these targets on a quarterly</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				
														basis. Income Generation: The Environmental Information Request Policy was implemented this quarter as approved by Cabinet on 3rd October, 2018. A report to review the new fee structure for Registration Services was considered and approved by Cabinet this quarter. The report also included fee increases (separate to the annual fee increase linked to births and deaths). Review of ceremony fees has been completed in regard to the Registrars.

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				
														<p>The Business Development Manager in Neighbourhood Services & Transport has been reviewing additional opportunities for income generation through the teams. The delay in delivering the restructure is having an impact on the ability to offer extended services.</p> <p>Income generation with regard to both Planning Performance Agreement (PPA) and other professional services that can be offered by Planning and other departments and advertising opportunities continue to be developed and will form part of the Reshaping Tranche 4 agenda. Work to secure</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				
														sponsorship for the Summer Events Programme has commenced. Establishment: Savings targets have been set for Establishment Savings in service areas and are regularly monitored and reviewed as part of financial monitoring arrangements.
CP1 PD/C041 (DS/F027)	Continue to develop and contribute to the corporate projects work streams including Town and Community Councils, Demand Management, Effectiveness of Spend and	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB (JR)	March 2019	Amber (Minor slippage)	A revised draft Charter is to be considered by the Community Liaison Committee on 29th January 2019 and thereafter by Cabinet during February 2019. This work will help to deliver more cost effective and sustainable Council services into the longer term.

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.													
CP1 PD/W044 (HR/W001, HR/W033, HR/W015)	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 (HR HoS)	March 2019	Green (On track)	<p>There is a designated HR Business Partner to support each change process.</p> <p>The Leadership Café will see a name change in 2019 to the Learning Café - this is based on feedback from attendees. The intention is that this will make the café more accessible to all members of the authority. The events calendar for 2019 is being finalised and will be released in early January 2019.</p> <p>Managing Change support continues to be given across the range of reshaping projects with a continued focus on the organisational</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				
														<p>development agenda. This has included the continuing reframing of the Learning and Development agenda. The 2018 Staff Survey took place during quarter 3. The 2018 Staff Survey enabled respondents to include free text which will provide greater clarity in framing the Council's action plan and will be used to further explore issues as part of the Big Conversation 2 exercise.</p> <p>The fifth Management Development sessions were held in October 2018 and focused on the Well-being of Future Generations Act and the Five Ways of Working and the Mckinsey 7S Framework.</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				
CP1 PD/F042	Work with services to ensure appropriate resourcing for Reshaping Services projects in order to achieve the required transformational change.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2019	Green (On Track)	Work to support services has continued, with regular discussions at the Programme Board on the level of resource available for projects. The Income Generation and Commercial Opportunities Programme Board are considering the best way to provide commercial expertise and capacity to the various projects which are being established.
CP1 PD/AM043 (DS/F026)	Explore and promote further opportunities for Community Asset Transfers in light of the revised Compact with the Voluntary Sector and the	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 (JR)	March 2019	Green (On track)	Democratic Services staff continue to provide input into the CAT working group which evaluates any expressions of interest and business cases for

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				
	Strong Communities Grant Fund.													CAT. The review of the Community Asset Transfer (CAT) Guidance is progressing well. The revised guidance will be completed by the end of quarter 4. Work with sports organisations is continuing regarding Single Use Sports Facilities.
CP1 PD/AM047 (FIT/AM003, FIT/AM004)	Deliver the final phases of the Space Project to improve efficiency in the way services operate and deliver financial savings.		☑	☑		☑				☑	TB (CL)	March 2019	Green (On track)	The Estates section have recently been successful in securing a Welsh Government grant award under the Asset Collaboration Wales Fund which will allow us to move forward with digital occupancy studies in order to inform 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				
														work being commenced under SPACE 3. A revised Board for the Space Project has been established to progress proposals for the future.
CP1 (FIT/F002)(LS/C002)	Continue to support the Council’s Reshaping Services Agenda and its associated projects in relation to advice on financial matters, ICT, property assets, governance, risk and legal matters.	✓	✓	✓	✓	✓	✓	✓	✓	✓	CL/DM	March 2019	Green (On track)	Finance continues to be represented on key project boards relating to the Reshaping Services agenda. This includes all working groups that have either financial, property or ICT implications. Legal advice has been provided during quarter 3 in relation to key projects within the Council’s reshaping services programme timetable, including ongoing and support for the Reshaping Catering Project Team, which included the provision of legal

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				
														advice in respect of the first draft Articles of Association, and advice being sought in parallel from Grant Thornton regarding the tax implications for the proposed LATC. Legal Services were also involved in providing advice and support in respect of specific proposals in regard to IG and Commercial opportunities. Legal Services are currently undertaking a review in relation to legal fees and charges in relation to property and planning legal work.

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

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. This also applies the implications in relation to changes in the policy environment. For example, following the result of the 2016 EU Referendum there has been significant uncertainty in terms of the nature of our exit from the EU. The UK is due to leave the European Union on 29th March 2019, and although the UK and EU agreed a draft Brexit deal, no agreement has been reached in Parliament. This creates uncertainty in terms of how we, as a local authority, prepare for it and the impact and implications it has on how we deliver our services and respond to any impact on our citizens.

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

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

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

This work is being undertaken at both a local and regional level, driven through the Cardiff and Vale Integrated Health and Social Care Partnership Board. The risk can be defined as the non-compliance with requirements of the Act by failing to improve the wellbeing of people and their carers who need care and support as well as the failure to effectively transform service delivery across social services in line with the Act.

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

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

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

CR2: Legislative Change and Local Government Reform

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

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 the Social Services Wellbeing Act, Wellbeing of Future Generations Act and the proposed new Local Government Bill and Additional Learning Needs and Education Tribunal Act could lead to litigation, fines and/or political instability.</p> <p>Failure to fully embrace and participate in discussions/collaborative opportunities as a result of the proposed new Local Government Bill could have detrimental impact on political leadership of the Council.</p> <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</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>right providing services to our residents.</p> <p>Political uncertainty associated with Brexit and the impact this has on our ability to forward plan.</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> <p>Insufficient knowledge and expertise to fully meet the new requirements of the Additional Learning Needs Education Tribunal Act. This could have significant training and development implications for the local authority staff as well as school-based staff.</p> <p>Lack of capacity to meet extended requirements of ALN provision (from birth to 25 years) The legislation will require a significant amount of additional provision to be created without sufficient additional financial resources.</p> <p>Insufficient funding to deliver our additional duties under the Additional Learning Needs Educational Tribunal Act. The discharge of new responsibilities/duties under the Act (in relation ALN provision from birth to 25) could present a significant financial risk to the Council where there is already a growing need for ALN provision. Only a finite amount of funding will be transferred from the Welsh Government to fulfil the duties, which is likely to be insufficient to fully meet needs.</p> <p>Loss of EU funding impacting on our ability to sustain delivery of these programmes.</p> <p>Inability to access vital supplies (e.g. food, water fuel, medicines, materials, goods etc) from EU countries and increased costs associated with imported goods due to the potential imposition of tariffs.</p> <p>Loss of EU staff from business critical/hard to recruit positions. Applies to staff directly employed by the Council as well as indirect Agency staff/Contractors.</p> <p>Reduction in income from fees/charges due to increased bad debts as a result of any economic downturn/austerity.</p> <p>Inability to support citizens who are impacted by the changes resulting</p>

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Reputational damage associated with non-compliance with the Additional Learning Needs Education Tribunal Act and the negative criticism this could attract from our Regulators (Estyn).</p> <p>Loss of public confidence in our ability to deliver services effectively and sustainably post-Brexit.</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	<ul style="list-style-type: none"> Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments relating to legislative change. Council Leader and Managing Director are members of key national bodies such as the WLGA, SOLACE Wales and the City Deal arrangements. Insight Group oversees the coordination of integrated planning activity for the Council in terms of delivering against 	2	2	4

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> Current Controls 	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>the sustainable development principle.</p> <ul style="list-style-type: none"> The Public Service Board has adopted the plans and structures of the former LSB and will continue to deliver the identified priorities until the Wellbeing Plan is published. Work stream groups for the implementation of the Social Services Wellbeing Act are fully operational. Work closely with the Consortium with regular progress updates and reports. There are four Consortium Transformation Leads across the region that meet monthly. The local lead for the Vale of Glamorgan reports back to the Director of Education who is accountable for delivery of the ALN implementation plan. Production of the Regional Partnership Board Annual Plan. Publication of Annual Report that incorporated requirements of the Annual Well-being Assessment as part of the Well-being of Future Generations (Wales) Act. Brexit discussed at Insight and presentation to CMT and Cabinet by WLGA. Work commenced on impact assessment for Brexit on service areas in conjunction with Business Continuity Plan updates. A WAO Assessment Framework to help inform the national framework for auditing councils' implementation of the Well-being of Future Generation (Wales) Act has been piloted and findings reported at a national conference. 			
Resources	<ul style="list-style-type: none"> Worked with the PSB to develop a Wellbeing Assessment that has identified community needs alongside community assets in the form of a Well-being Plan. Raised awareness amongst staff regarding the requirements and implementation of the Social Services Wellbeing Act and identify opportunities to up skill staff across the social care 	2	1	2

2.2 Controlling Inherent Risk

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

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> Current Controls 	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>readiness survey has supported us in identifying further areas of development.</p> <ul style="list-style-type: none"> A Training Plan and a programme of training has been delivered to staff and school-based staff to reflect the new requirements in relation to the ALN Act. Funding for a number of small 3rd sector community groups funded via Delivering Transformation Grant has been approved in relation to the Social Services and Well-being (Wales) Act. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> Implementation of the Social Services Wellbeing (Wales) Act Action Plan. Continue to pursue collaborative opportunities with partners in neighbouring organisations. Worked with the PSB to develop a Wellbeing Assessment that has identified community needs alongside community assets. The Well-being Plan has been approved by the Public Service Board (PSB) and by the relevant boards of the statutory partners. The Plan was informed by the detailed Well-being Assessment published in 2017 and sets out how partners will work together to improve well-being across the Vale. We have reviewed our Well-being objectives as part of the Council's annual self-assessment process to ensure the well-being objectives remain relevant in contributing to the Council delivering our corporate priorities and contributing to the national well-being goals Continued support the ongoing development of the DEWIS information portal. Implemented new assessment processes to ensure compliance with the requirements of the Social Services Wellbeing Act. Processes at the Customer Contact Centre to support the provision of an Advice and Assistance Line have been reviewed and updated. There is also ongoing review of our Quality 	2	1	2











2.2 Controlling Inherent Risk

Category	<ul style="list-style-type: none"> Current Controls 	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Assurance and Performance Management procedures that is now business as usual.</p> <ul style="list-style-type: none"> 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. We have successfully implemented transition services underpinned by a Transition Protocol, which supports best practice across agencies. Delivered a successful Outcome Focused Case Management Pilot called 'Your Choice'. This approach has received significant attention from external organisations interested in replicating the model to demonstrate the measurement of outcomes for service users. The Social Value Forum is in place and being supported through the Integrated Health and Social Care Partnership. This Forum will develop in maturity and is expected to shape future service delivery through working with statutory partners to meet the needs of the Citizens of the Region. The Council's Duty to Report Safeguarding Concerns procedure is in place to provide employees with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V. We have commissioned a Direct Family Support service to provide contact and support for children with additional needs and their families. A three year ALN Implementation Plan for the Central South Consortium Region was agreed in August 2018. Delivery of the Implementation Plan is monitored by the transformational lead for the Vale of Glamorgan with progress reported back to the Director of 			

2.2 Controlling Inherent Risk

Category	<ul style="list-style-type: none"> Current Controls 	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Education. <ul style="list-style-type: none"> Commenced a Directorate-wide impact assessment of Brexit. Business Continuity Plans are being reviewed and updated for priority one services. 			
Reputation	<ul style="list-style-type: none"> Comprehensive consultation and engagement via the 'Let's Talk' campaign with citizens in order to inform the production of a Population Needs Assessment in relation to the Social Services Wellbeing Act and the development of the Wellbeing Assessment/Well-being Plan as part of the Wellbeing of Future Generations Act. A communication strategy in relation to the ALN Act has been developed and agreed. 	2	1	2
Overall Effectiveness of Controls Score		2	1	2

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 RM/A00 3	Contribute to the development and implementation of the Regional Partnership Board Annual Plan	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	A report regarding the development and implementation of Regional Partnership Board Annual Plan was presented in January 2019 to the Regional Partnership board.
AH7 RM/A00 4	Review and amend our processes for Adults at Risk to ensure we remain compliant 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"/>	NJ	March 2019	Green (On track)	Development workshops have taken place to consider the Adult at Risk Duty to report pathway. Further sessions are due to take place which will develop this pathway further. This is being undertaken in anticipation of the new Wales Safeguarding Procedures. Which will provide the procedural

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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				
														element of handling individual cases
AH7 RM/A00 5	Support the Assistant Director for Integration to develop a more joined up approach to developing preventative services that are aligned to the Social Services and Well-being (Wales) Act and Well-being of Future Generations Act to better promote independent living in relation to Adults.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AP	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	Panel has met and agreed funding for a number of small 3rd sector community groups funded via DTG. Highlight report will be submitted to Regional Steering Group after April 2019.
AH7 RM/A00 6	Deliver the Citizen’s Panel work stream and establish a Citizen’s Panel that complies with requirements of the Social Services and Well-being (Wales) Act.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ	March 2019	Green (On track)	The regional work stream continues to meet. We have written to the group of people identified through the qualitative performance measures and are now

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				
														planning the first regional session with them to introduce them to the ACRF Challenge Process at the end of January.
AH7 RM/A02 6	Continue to identify opportunities for joint commissioning where it can be evidenced to be of benefit in line with duties set out in Part 9 of the Social Services and Well-being (Wales) Act.	✓	✓	✓	✓	✓	✓	✓	✓	✓	GJ	March 2019	Green (On Track)	Regional work is now in place with the Reflect Project and Adult Advocacy Service. The Fee and Contracting Group continue to meet regularly to discuss and identify joint working possibilities. The Joint Commissioning Group continues to meet on a monthly basis. The group has begun to consider the requirements of the IPC's

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				
														'Let's Agree to Agree' toolkit for commissioners and providers in the setting of residential and nursing fees.
AH7 RM/A007	Continue the work of the Regional Steering Group and the long term commitment of the previous 'Delivering Transformation Grant' associated with delivery of the Social Services legislation.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2019	Green (On Track)	The Regional Steering Group continues to work well. There have been a number of recent changes in membership across the region and the group is forming new relationships to ensure the regional work continues to deliver going forward. The commitment to regional working remains, with a focus of continual service improvement and development across 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				
														region. Colleagues from across the region continue to work together in the work streams, ensuring that key actions are delivered.
AH7 RM/A008	Support the Welsh Government review and further implementation of the National Performance Measurement Framework in line with the new requirements of the Social Services and Well-being (Wales) Act going forward.	<input checked="" type="checkbox"/>	<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 2019	Green (On Track)	The region continues to support Welsh Government in the development of a new Performance and Review Framework. Representatives from across the region recently attended the Welsh Government Business Intelligence group, which brought together key people from across Wales to consider the content and impact of the new

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				
														Performance and Improvement Framework. The Regional Coordinator for Sustainable Social Services continues to represent the region on the Quantitative Writing group, providing technical expertise and developing new requirements for the quantitative data and accompanying guidance.
AH7 CS/A024	Continue to work with Cardiff Council and Cardiff and Vale University Health Board to increase the transparency of the continuing health care process, as it relates to	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2019	Green (Completed) Action completed and will be reflected as a control in the	The draft policy is currently out for consultation and implementation remains on track for April 2019.

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				
	children and young people and seek local authority membership of the panel.												Register.	
AH7 CS/A025	Utilising the frameworks offered by the Children’s Commissioning Consortium Cymru (4Cs) and the National Fostering Framework, address the challenges associated with the shortfall of children’s placements.	✓	✓	✓	✓	✓	✓	✓	✓	✓	RE	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	Challenges persist locally, regionally and nationally in securing sufficient placements to meet need. The Vale has contributed to the work of 4Cs in retendering its residential contract with the intention of attracting a greater number of providers into the market and improving capacity and choice. The NFF regional work programme in respect of fostering remains a priority for both Cardiff and the Vale. Applicants have been received in respect of the

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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 Vale Marketing and Recruitment Officer post and interviews are taking place in January.
AH7 AS/A009	Review and amend processes at the Customer Contact Centre to support the provision of advice and assistance (IAA model) in line with requirements of the Act.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2019	Green (On Track)	An engagement piece of work exploring the roles of staff and teams within the Contact centre has taken place with a series of workshops and presentations taking place during Qtr3. Staff were advised of the findings of the engagement exercise and a plan to further integrate services and teams through joint management teams, joint staff forums and working on joint induction and training plans.

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>Additionally, the project steering group is considering how to the Contact Centre can move to a consistent name for all teams and services operating within the contact centre to help with identity and improve the customer and staff experience, meanwhile also supporting the implementation of the recommendations of the Parliamentary review of health and social care for provision of seamless care for residents.</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				
AH7 AS/A022	Promote the use of Dewis Cymru for the provision of information, advice and assistance for preventative 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 2019	Green (On Track)	The new Dewis Project Manager and Dewis Project Support Assistant are leading on the promotion of the resource directory across the region. They have been promoting Dewis at local events and are in the process of establishing a regional work stream to engage other directorates to use Dewis as a resource for information provision, advice and access to preventative services. In the past year we have seen an increase in the total number of registered users from 805, to 1,158, and in the total number 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				
														published resources from 973, to 1,515. Dewis can be accessed at https://www.dewis.wales/home
AH7/8 PD/A03 1	Continue to work with partners to improve self-service options to ensure that customers' enquiries are resolved as quickly as possible, complying with the Social Services and Well-being (Wales) Act 2014.	✓	✓	✓	✓	✓		✓	✓	✓	TC	March 2019	Green (On track)	Authorisation has been granted to commence an engagement exercise with Customer Relations, Adult Services and Health staff on how to meet the objectives following on from the Parliamentary Review of Health and Social Care in Wales. Staff meeting where held in September to launch the engagement with recommendations on a way
AH7/8 PD/A01 8	Work with Adult Service to improve processes at the Customer Contact													

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				
	Centre to support the provision of advice and assistance in line with requirements of the Social Services and Well-being (Wales) Act													forward expected in January 2019. This work will include a review of options to make services available digitally. A plan has been established to improve integrated working between Customer Relations, Telecare, Adult Services and Cardiff and Vale University Health Board (UHB) and create a unified service under the working title "Wellbeing Matters". This work will continue through 2019.
CP4 PD/A05 2	Work with partners to deliver the four Well-being Objectives in 'Our	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	March 2019	Green (On track)	Work is being undertaken to agree relevant measures and an approach to the Annual

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				
	Vale Our Future' the Public Service Board's Well-being Plan for 2018-23.													Report. At each Public Services Board (PSB) meeting there will be a focus on one of the four objectives with key officers attending to provide updates and discuss issues. The objective to give children the best start in life was discussed at the December meeting and this included updates on adverse childhood experiences (ACEs), parenting and the launch of the UHB children's charter. Progress is being made across all four objectives with different actions being at varying stages which reflects the

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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				
														long term nature of the plan. The Implementation Group has agreed to meet regularly and this will assist in building momentum into the delivery of the plan.
CP6 PD/A05 9	Continue to work with the WAO to pilot an assessment framework to help inform the national framework for auditing councils' implementation of the Well-being of Future Generation (Wales) Act.	✓	✓	✓	✓	✓	✓	✓	✓	✓	HI	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	Worked completed and findings have been incorporated into the WAO report and presented at a National Conference.
AC7 AA/A01	Deliver the Welsh Government's priorities	✓	✓	✓	✓	✓	✓	✓	✓	✓	SR	March 2019	Green (On	All schools have attended training for the Additional

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				
1	for 2018/19 in relation to the Additional Learning Needs Act and monitor the impact.(Central South Regional Implementation Plan)												Track)	Learning Needs (ALN) Bill and are currently completing a readiness survey which will be collated centrally and action plans developed. Cluster groups have been developed to work together on action plans and on changes needed for the ALN Bill and new code. Central staff and council members have been trained on the upcoming changes in the Bill. Transformational project Board meetings are attended regularly and monitoring of the overall plan is on target.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AC7 AA/A01 2	Further develop tracking systems for pupils with ALN and monitor impact.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SR	March 2019	Green (On Track)	Questionnaires are in use, and SER has been updated with available data. ONE training and use is still being developed in order to ensure that the right areas are being tracked and that information is recorded accurately and in a timely manner. Outreach is still to be targeted. Caseloads can be identified.
AC7 AA/A01 3	Establish a system to identify early opportunities for intervention and to identify progress of individual pupils throughout their engagement with the ALN 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"/>	SR	March 2019	Green (On Track)	Two different teams of Early Year Meetings have been attended - transformational Additional Learning Needs (ALN) Bill meetings and Disability Future meetings. Through attendance at the

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				
														Early Year (EY) meetings a core set of staff have been identified to develop an action plan of early identification for the Vale, ensuring that information is shared with the correct staff and schools. A job description is being developed for and EY coordinator role, as set out in the ALN Bill. Multi-disciplinary pathways for early identification are being developed with Cardiff to ensure consistency of approach.

CR2: Legislative Change and Local Government Reform

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	Undertake a service specific assessment of impact of the 8 risks as defined by the Home Office and Local Resilience Forums in Wales.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	All HoS/TB	March 2019	NEW ACTION RAG Not Applicable.	NEW ACTION. Action not due to commence until Quarter 4.

Corporate Risk 3: School Reorganisation and Investment

1 – Risk Overview	
1.1 Risk Description	<p>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.</p> <p>There is a risk associated with securing the necessary capital required to fund major investment projects as well as addressing building conditions across all Vale schools. The lack of available funding to address all requirements will result in buildings deteriorating further giving rise to risks associated with health and safety, DDA, business continuity and sustainability.</p> <p>Failure to establish sufficient Welsh medium places in both the primary and secondary sector would impact on the Vale’s ability in contributing to the Welsh Governments plan of one million Welsh speakers by 2050, and commitments required as part of the Council’s Welsh in Education Strategic Plan, and could directly impact on the Vale’s ability to secure 21st century schools funding in the future.</p>

1.2 Risk Owner	Head of Strategy, Community Learning and Resources (TB)
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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	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>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<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. 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>
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. 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	<ul style="list-style-type: none"> Awareness raising session held with members, Insight board and CMT on the issues associated with the 21st Century Schools Programme with the need to release funding through the rationalisation of places and the need to generate capital receipts. Comprehensive governance structures in place to effectively monitor and manage delivery of the programme such as Programme Officers and a Programme Board including the Strategic Investment Programme Chief Officers Group (strategic), the Strategic Investment Project Board (operational) and engagement with Welsh Governments Gateway Review programme to identify opportunities and risks with key stakeholders . Strategy to support Welsh medium education, Welsh language promotion and contribute to Welsh Governments target of one million 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Welsh speakers by 2050 through the Council's Welsh in Education Strategic Plan (WESP).			
Resources	<ul style="list-style-type: none"> Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme. Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects. We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements. The Directorate's Band B Strategic Outline Programme with Band B proposals was submitted to Welsh Government on 31st July 2017 following approval by Cabinet. The new staffing structures and their implementation for both new schools have now been completed and all arrangements are firmly on track for a successful opening in Quarter 2. 	2	2	4
Service Delivery & Well-being	<ul style="list-style-type: none"> Actively participate in the Council's Carbon Management Group. Work closely with the Planning Officers to identify potential educational demand as a result of new housing developments in order to maximise S106 funding. Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school). Colcot Primary School Barry – Refurbishment (fully funded by Local Authority) Romilly Primary School, Barry – new foundation phase block. (Band A) New 60 place part-time Fairfield Nursery opened. Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>open and operating successfully.</p> <ul style="list-style-type: none"> School Development needs assessments will continue to inform the new school modernisation programme. This work will require liaison between School Organisation and the newly established 21st Century Schools team looking at need as it relates to place planning up to 2026. 			
Reputation	<ul style="list-style-type: none"> Survey demand for school places in line with the Council's Welsh Education Strategic Plan. Periodic review rolling 25 year plan for schools asset renewal. Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity. Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes. 	2	2	4
Overall Effectiveness of Controls		2	2	4

School Reorganisation

2.3 Residual Risk Scoring & Direction of Travel											
	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)		

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				
AC8 SL/A020	Complete the disposal of assets such as the Eagleswell school site (Ysgol Y Ddraig)		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	LL	March 2019	Red (Slipped)	No further progress update to report with this issue. Alternative options for disposal will be considered during quarter 4.
AC10 SL/A023	Review current methodology of school place planning		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/LL	March 2019	Green (On track)	The methodology used has been reviewed and found to be effective and in line with the methods used by local authorities across Wales. Some benchmarking of historical projections has taken place and additional testing will continue into quarter 4. Options for a business intelligence approach

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	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														are being considered during quarter 4. A Project team has been established to explore a number of options. This team is meeting on a fortnightly basis with actions being monitored.
AC8 SL/A03 0	Prepare for all SIP projects identified for Band B of the 21 st Century Schools Programme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2019	Green (On track)	All Band B projects are progressing well. The Western Vale Consultation has progressed to the statutory notice process, the outcome of which will be presented to cabinet in quarter 4. Cabinet also approved Consultation on the transfer of Ysgol Sant Baruc to a new larger building 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	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														<p>Barry Waterfront.</p> <p>The following consultations will commence in Q4:</p> <ul style="list-style-type: none"> • Ysgol Sant Baruc expansion • St David’s CIW Primary School expansion • St Nicholas CIW Primary School expansion <p>A revised 21st Century Schools Programme has been agreed by Cabinet in response to Welsh Governments intervention rate change. The new programme will include additional funding</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				
														for Pencoedtre High School, The Centre for Learning & Wellbeing and Ysgol Y Deri.
AC8 SL/A03 1	Investigate alternative learning environments for the Pupil Referral Unit (PRU)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	March 2019	Green (On track)	Discussions have continued regarding provision for the Centre for Behavioural Excellence with a new therapeutic model being the preferred option. Development of the proposal continues and the name has been changed to the Centre for Learning & Well-being. Legal advice is being sort on preferred site location. Additional funding for the Centre of Learning & Wellbeing

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				
														has been approved by Cabinet. This will ensure the new site is able to meet the needs of the pupils and delivery an innovative provision. Options are still being explored for the building.
AC9 SL/A03 2	Progress the outline business cases and full business cases for all approved schemes in the Band B for Welsh Government.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	March 2019	Green (On track)	The request to increase the envelope for Band B from £142,417,000 (with Welsh Government share of funding of £83,823,000) to £143,904,000 (with Welsh Government Funding of £84,566,500) has been approved.

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				
AC12 SL/A033	Implement changes to the WESP in line with forthcoming legislation from Welsh Government.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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/SG	March 2019	Green (On track)	<p>The Council's WESP Progress Action Tracker was submitted to Welsh Government by 20 December 2018. A meeting has been scheduled for the 16 January 2019 with the Assessor from Welsh Government. Once the Tracker has been approved it will be published on the Council's website.</p> <p>The next WESP Forum meeting will be scheduled to take place in the Summer term 2019.</p>
SL/C057	Consult with key stakeholders on school admission arrangements for	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB	March 2019	Green (On track)	Cabinet approval of the consultation document has been approved this quarter.

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 academic year.													This includes the proposal to remove the use of feeder schools from the criteria for oversubscription to secondary schools. The consultation will commence 14 January 2019 in line with statutory guidance on the timescales for consultations on admission arrangements.
SL/C058	Consult with key stakeholders on various large scale school organisation projects as part of Band B of the 21 st Century Schools Programme.	✓	✓	✓	✓		✓	✓		✓	TB	March 2019	Green (On track)	The Cabinet approved progression to statutory notice stage on the Western Vale consultation. The statutory notice period was completed this quarter. Cabinet also approved consultation on the proposal for a new school 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				
														<p>Barry Waterfront. This consultation will commence in January 2019.</p> <p>The following consultations will commence in Q4:</p> <ul style="list-style-type: none"> • Ysgol Sant Baruc expansion • St David’s CIW Primary School expansion • St Nicholas CIW Primary School expansion

Corporate Risk 4: Waste

1 – Risk Overview

1.1 Risk Description	This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive. There is a Statutory Target for Recycling based on the Welsh Government's 'Towards Zero Waste' Waste Strategy. Aligned to this are national statutory landfill reduction/ diversionary targets. Failure to meet the national waste agenda and meet its associated targets increases the likelihood of incurring significant fines and could have detrimental impact on the Council's reputation.
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1.2 Risk Owner	Head of Neighbourhood Services and Transport (ER)
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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
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. Council incurs fines as a result of failing to meet statutory waste reduction targets.</p> <p>National Welsh Government grants are withdrawn as a result of failing to meet statutory waste reduction targets.</p>
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> <ul style="list-style-type: none"> i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales); ii. pollution of the local environment (e.g. contamination of groundwater; soil contamination). <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>











1.4 Risk Categories		
Categories	Yes/No	Definition
		Poor communication following any change in collection methodology resulting in poor take up of recycling and composting services. Increasing waste budget pressures as a result of new developments and an inability to deliver savings in waste management services.
Reputation	Yes	Failure to meet the statutory waste targets and comply with the Welsh Government's waste strategy would have a detrimental impact on the resident's perception of Council services and would attract criticism from our external regulators and Welsh Government.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
Political & Legislative	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 (Probable)	3 (High)	9 (Medium/High)
Overall Inherent Risk Score	4 (Almost Certain)	3 (High)	12 (High)

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<ul style="list-style-type: none"> Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running Waste Resource Action Programme (WRAP) is completed. Cabinet agreed a black bag restriction for 2018/19 (starting September 2018), to move on a phased basis to the Welsh Government Blue Print. 	2	2	4
Resources	<ul style="list-style-type: none"> Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. The 25 year Project Gwyrdd contract has been operational since 2016 which 	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>has very effective project management processes in place.</p> <ul style="list-style-type: none"> • Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council. • Household Waste Recycling contract operated by the company FCC. • A new waste management strategy has been developed. With effect from the 3rd September, the Council implemented a two black bag domiciliary refuse restriction per household. Initial results from the implementation have shown more than a 30% increase in food recycling and an equivalent reduction in black bag tonnage. • Full review of our Enforcement Policy for littering and fly tipping has been completed with an update presented to Scrutiny Members and Cabinet Members noting the progress that has been made and lessons learnt since the contract with the 3GS (environmental enforcement officers) commenced on the 7th October 2016. The 3GS contract has been extended to October 2019 and officers are currently working on a revised Enforcement and Inspection Strategy that is due to be considered by Cabinet in March 2019. Annually bid for Welsh Government Environment Grant to deliver improvements to the waste management infrastructure. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> • Increased waste awareness initiatives including a litter summit. • Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. • Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery. • Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced. • Appointed an Environmental Enforcement Partner (3GS) in October 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>2016 issue fines for dog fouling/littering offences.</p> <ul style="list-style-type: none"> • Council has continued to undertake its normal approach to recycling awareness which has allowed us to ensure we remain on track. This is updating the web site, undertaking letter drops to residential areas where there is poor participation, roadshows with the event trailer and a school education programme. • The interim Waste Transfer Station (WTS) at Cowbridge is now operational and further work has been assigned to future proof the site to accommodate the proposed service changes (source separated recycling collections). 			
Reputation	<ul style="list-style-type: none"> • Regularly implement high profile campaigns in the community to raise awareness of the importance of recycling, composting. Consultation regarding possible changes to waste service including a series of engagement events through throughout the Vale of Glamorgan area. • Maximise the use of Social Media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner to raise awareness of dog fouling/littering issues. 	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	1	2	2	4	2	8		
Service Delivery & Well-being	4	3	12	2	2	4	2	2	4		
Reputation	3	3	9	2	2	4	2	2	4		
Average risk score/ direction of travel	4	3	12	2	2	4	3	2	6 (Medium)		

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
ER16 NS/A050	Implement vehicle savings associated with waste management collection rounds.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	CS	March 2019	Green (on track)	There will be a reduction to waste vehicles (x2) implemented February 2019. These have been identified in the refuse and dry recycling collection service that will be concluded during quarter 4.
ER16 NS/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 2019	Green (On track)	Our 3 rd Quarter performance continues to exceed the current statutory recycling target of 58%.
ER16 NS/A026	Bid for the annual Welsh Government Environment Grant.		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	ER/CS/MS	March 2019	N/A	RAG not applicable. Work due to commence until Spring 2019.
ER16 NS/A029	Progress the development of a waste transfer station and rationalisation of existing operational		<input checked="" type="checkbox"/>	<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 2019	Green (On track)	The development of the waste transfer station is at the design stage. Ground investigations have commenced and the site has

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				
	depots. (Subject to WG CCP funding)													been enclosed with fencing. WRAP continue to support this project and the waste team continue to have fortnightly meetings with the Construction manager to oversee the development.
ER16 NS/A02 3	Develop/implement a Waste Reduction Strategy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CS	March 2019	Green (On track)	The Council has secured capital funding from Welsh Government's Collaborative Change Programme. A part of this strategy was the implementation of restricted residual waste. As of the 3rd September 2018 households were restricted to 2 bags per fortnight. The roll out of the source segregated recycling

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					
															scheme will commence in the rural vale in summer 2019. During the quarter we ordered 22 new vehicles in order to operate source segregation recycling.
ER16 NS/A02 4	Remodel our waste management infrastructure	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	The interim Waste Transfer Station (WTS) at Cowbridge is now operational and further work has been assigned to future proof the site to accommodate the proposed service changes (source separated recycling collections). Additionally the land at Atlantic Trading Estate (ATE) is at detailed design stage to complete the future	

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				
														infrastructure that is necessary for the Council.
ER16 NS/A02 5	Develop a 7 year Waste Management Plan (2018-25)	✓	✓	✓	✓	✓	✓	✓	✓	✓	ER/CS	March 2019	Green (On Track)	The waste strategy and service changes will be finalised in the last quarter so the development of the 7-year Waste Strategy can be concluded.
NS/IT01 6	Implement efficient route planning for delivery of waste and other services.	✓	✓	✓		✓				✓	CS	March 2019	Red (Slipped)	A review of route planning commenced in January 2019, following the black bag restrictions in September 2018. Customers are now fully aware of the changes and officers are now in a position to reassess vehicle/staff requirements for refuse,

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				
														recycling and composting.
NEW ACTION	Review of current waste services standards.	<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 2019	N/A	RAG not applicable. Service standard review will commence in quarter 4.

Corporate Risk 5: Workforce Needs

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>on our ability to deliver good quality services to meet the needs of our citizens. Loss of leadership impacting on our ability to continue to drive forward organisational change.</p> <p>There would be a potential failure to effectively engage and mobilise our resources to deliver our workforce priorities and have the appropriate skills in place, in the right areas to deliver services effectively. 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. 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>Failure to put in place succession pathways in place to address our ageing workforce in specific service areas.</p> <p>A key aspect of the workforce plan (section 6/theme viii) is the need to ensure the Council have a workforce that reflects the wider community. Within this are specific aspects to ensure that measures are taken to ensure representation from protected groups under the Equalities Act 2010. A particular feature of this includes strategies to deal with occupational segregation and address the gender pay gap that exists nationally and locally. A failure to implement actions within the workforce plan would impact adversely on such equalities commitments and our reputation as an employer.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
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	<ul style="list-style-type: none"> CMT/Cabinet, Joint Consultative Forum and Change Management Board receives regular reports on a range of HR issues and developments. Robust performance management arrangements in place across all service areas. 	2	2	4
Resources	<ul style="list-style-type: none"> Managers are supported through the management of change through training and ongoing advice from HR Officers and supported by Organisational Development. The Workforce Plan is aligned to the Corporate Plan in relation to workforce needs. A review of corporate workforce priorities has been undertaken as part of the senior management development session and will now form the basis of a refresh of the Corporate Workforce Plan. The HR team has been restructured to increase the information, planning and performance capacity of the team and to increase the focus on business and organisational development issues. The Leadership Café continues to be effective at supporting succession planning and leadership development across the Council. There have been improvements made to workforce planning processes. The Management Competency Framework continues to be used to enhance skills and expertise at our Team Manager level. '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 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>individuals and team across the Council.</p> <ul style="list-style-type: none"> The Staff Engagement Strategy has now been embedded with mechanisms to evaluate ongoing engagement. There are quarterly joint CMT engagement meetings. The Vale Induction Programme contributes to our ability to build a resilient workforce, strengthen staff knowledge and understanding of the Council's vision, values and contribution to the achievement of our corporate priorities. HR Business Partners and Assistant Business partners continue to support managers in Change Management Reviews. Support was successfully provided in relation to the extension of the Shared Audit Service. Chief Officer briefing sessions and management development sessions were held support reshaping and discuss the staff results. Apprenticeship pathway is in place to enable direct recruitment of apprentices and enables us to better support succession planning. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> Workforce Planning process delivered with a focus on alternative service delivery and workforce implications. The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data. A new Training and Development Strategy has been launched We continue to move towards a HR Self-Service model. Organisational Development support provided to the Reshaping Services Programme continues to influence how we deliver alternative models of service delivery. #itsaboutme staff appraisal process has been reviewed to ensure it remains relevant year on year to staff to connect staff activity to corporate priorities and ensures it continues to contribute to the Staff Charter and Reshaping Services Agenda. The Council is a Stonewall Champion committed to ensuring we have an 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>inclusive work place for all lesbian, gay, bi and trans-sexual staff. We have developed an action plan to further evidence that we have an inclusive work place. The Council has contributed to the Stonewall 2018/19 Employment Index Survey and increased the number of respondents to the survey and improved our Index position.. During quarter 3 we developed GLAM, a new brand for the Council's network for LGBT colleagues and allies with the launch in quarter 4.</p> <ul style="list-style-type: none"> • The NJC Single Status 2019 pay award has been assimilated into a new pay and grading structure which has been agreed. This will meet our national and local reward strategy obligations and place the council lowest pay rate for employees above the Foundation Living Wage rate. • The Management Competency Framework is in place. Several management development sessions continue to be held with managers focusing on managing the future, the Digital Strategy and commercialisation. Chief Officer briefing sessions and a management development sessions have been held in accordance with the new Management Competency Framework. This work has helped ensure managers are up skilled to fulfil their roles effectively to meet the challenges facing the Council and the new ways of working as part of the Reshaping Service programme. • We have procured an E Bulk solution to provide a significant reduction administration and the time in accessing Disclosure and Barring Services (DBS) certificates. The E Bulk system service is scheduled to go live in Quarter 4. • The new HR Structure has been embedded and all posts within the Business Partnership, Organisational Development and Employee Services teams have now been filled. Transition arrangements are nearing completion along with a programme of streamlining processes and exploring 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>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.</p> <ul style="list-style-type: none"> • Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process. Training with staff is underway with a full roll out in Quarter 4. 			
Reputation	<ul style="list-style-type: none"> • All recruitment adverts promote the Council as an equal opportunities employer. • The 'Staff Charter' continues to be embedded following consultation and refinement. The majority of objectives in the Charter have now been achieved and will be further developed following the feedback from the Big Conversation 2. • The Council's Staff Engagement Strategy continues to be strengthened alongside an effective method of continuing evaluation. The profile of the Council as an attractive employer has been raised Contribution to the wider HR network across Wales as a promoter of innovative workforce practice 	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	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/A008 RP/W034 HS/W029 HS/C048 RM/W010 RM/W011 HR/A009 NS/W00	Work with service departments and our partners to increase the number of 16-24 year old employees as a proportion of the workforce. This also includes working with Department of Work and pensions to provide a range of work placement/work experience opportunities in the Council for volunteers in receipt of state benefits.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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/GW	March 2019	Green (On track)	<p>There is a continued focus on Apprenticeship recruitment. We are continuing to develop the relationships with local education establishments (Cardiff University & Cardiff and Vale College) as well as independent Apprenticeship providers.</p> <p>Apprentices and trainees have been recruited across Housing and Building services (one apprentice in the Housing Management Team), Neighbourhood Services, Planning and Building Control (two apprentices) during the quarter to improve service resilience across teams.</p> <p>Within Social Services, good</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				
5 AS/W03 2 CS/W01 7														<p>progress has been made by the Regional Training Team to revise the Social Services Induction Programme to strengthen our linkages with the Corporate Induction Programme.</p> <p>As part of our working agreement with the Department of Work and Pensions (DWP), we continue to receive details of potential candidates for work placement opportunities.</p> <p>The Apprentice Lead within Organisational Development has attended DMT meetings and Heads of Service are currently exploring opportunities within their Divisions</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				
														for apprenticeship trainees.
CP1 HR/W03 5	Continue to strengthen our approach to staff engagement and consultation and learn from the 2018/19 Staff Survey outcomes, to ensure that employees have a voice in shaping services in line with our commitments in the Staff Charter.		☑		☑	☑		☑		☑	TBC	March 2019	Green (On track)	The 2018/2019 survey results are in and will be published early quarter 4 to coincide with The Big Conversation 2 (2018/2019). Planning is underway for the second annual awards and is scheduled for May 10th 2019 at the Vale Hotel, nominations open on January 7th. The Big Conversation 2 2019 will take place in February, with communications beginning in January.
CP1 HR/W03 3	Strengthen and promote the Council’s Leadership Café to support leadership development		☑	☑	☑	☑		☑	☑	☑	TBC	March 2019	Green (On track)	The Leadership Café will see a name change in 2019 to the Learning Café - this is based on feedback from attendees. The intention is that this will make the

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	and the Reshaping Services Strategy.													café more accessible to all members of the authority. The events calendar for 2019 is being finalised and will be released in Quarter 4.
CP2 HR/W03 9	Continue to support all directorates and service areas to review and strengthen their arrangements in relation to attendance management to minimise absence levels and increase resilience.		✓	✓	✓	✓		✓	✓	✓	TBC	March 2019	Green (On track)	The focus on attendance management has continued throughout quarter 3 and in accordance with the corporate action plan and as considered and approved by Cabinet. The 2018/19 performance outcome for quarter 3 is 6.32 days lost per FTE which is under the target of 6.59 days per FTE. This figure is lower than last year’s performance in the same period of 7.18 days per FTE.

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/W04 5 AS/W03 3 PD/W04 4 PD/W05 0 HR/W04 8 HR/W04 2	Continue to refine the training and development ‘offer’ to support the Management Competency Framework. This includes Reframing the Council’s Employee Learning and Development Strategy and undertaking a Skills Audit across all service areas to increase capacity across the Council.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	GW	March 2019	Green (On track)	<p>The Management Competency Framework has been approved and is awaiting launch in quarter 4. The first leadership cohort are going through the sessions and will be complete in quarter 1 2019. Refinements to the programme are being made prior to the wider roll out.</p> <p>The first sessions have taken place for the Management development sessions within the pilot phase. Feedback from the sessions has been positive, but will be reviewed in due course. Ongoing.</p> <p>iDev functionality development is ongoing with course bookings for Corporate Training is wholly within</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>iDev. Conversations will continue with Social Care Training in late quarter 4 with regards to transferring all of their training and course booking into iDev</p> <p>The Core Competency Framework is awaiting sign off from Corporate Management Team. Soft launch is still scheduled for January 2019 although this may push into February as on a corporate level, we have several other large engagement initiatives taking place in January. Implementation into the #itsaboutme process will take place over quarter 4.</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/W03 8 NS/W00 3 FIT/W01 6 RP/W03 0 HS/W03 0 HS/W04 7 DS/W01 0 RM/W0 06 AA/W01 9 SL/W04 3 PD/W05	Continue to review and enhance the Council’s succession Planning and Talent Management Scheme model and extend this Council-wide.		<input checked="" type="checkbox"/>	<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 2019	Amber (Minor slippage)	The core competency framework is now complete and awaiting presentation to Corporate Management Team (CMT) for approval in early quarter 4. The Management Competency Framework has been agreed and signed off by CMT. A Succession Planning and Talent scheme has been approved as part of the ‘Developing my Skills’ corporate work stream. Further work on this will continue into 2019/20 once the Management Competency Framework is fully embedded. This will be further developed following #itsaboutme functionality in iDev will be finalised and trialled in January 2019 and will be ready to roll out to the business by the end

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				
1														<p>of quarter 4. It is anticipated that training/workshops will be developed as part of the next set of Management Development sessions.</p> <p>In relation to Finance, ICT and Property services, succession planning and career development opportunities have been utilised within the new structures that have been implemented in ICT, Property and Audit. The structures improve career progression</p> <p>Strategy, Community Learning and Resources are currently undertaking a review of roles and individual/ team tasks and documentation in order to ensure workforce development 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 (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>succession planning are prioritised.</p> <p>Within Regeneration & Planning, we have implemented succession planning initiatives which have included funding staff through day release educational courses and employing graduates undertaking professional qualifications. Apprentices have been appointed in the Building Control section and market forces supplements have been applied to key posts.</p> <p>Within Housing & Building Services, a number of successful secondments have been completed in the Housing Management team. These have</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				
														<p>enabled existing staff to develop their skills and knowledge by carrying out more senior roles e.g. when colleagues have been on maternity leave.</p> <p>Resource Management & Safeguarding, a plan for shadowing a number of different job roles will commence in Quarter 4.</p>
- CP2 NS/W00 4 AS/W03 4 CS/W01 9 RP/W03 2 RM/W0	Identify business critical posts/recruitment issues (especially where market forces apply) in key service areas and explore options to better target recruitment.										ER SC RE	March 2019	Green (On track)	Recruitment continues to progress for the majority of the posts in the Neighbourhood Services and Transport Structure. However, there are currently several posts which are difficult to attract appropriately experience and qualified staff and where this is the case there will be a need to

3. Risk Management Plan – Mitigating Actions														
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
09														<p>consider market supplements or different grades to address the situation.</p> <p>Within Social Services, the Directorate is actively working towards tackling Recruitment and Retention issues associated with business critical posts. For example, Approved Mental Health Professional (AMHP) recruitment issues are becoming more significant but there are actions to review the career progression pathway in consultation with HR, Senior management and Trade Unions in quarter 4 and this will involve benchmarking with other Local Authorities. Within Children and Young People Services, we</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				
														<p>continue to support a bespoke recruitment campaign for social worker (SW) posts. There continue to be Social Work vacancies in CPP and IFST and these will be subject to advertisement in January.</p> <p>Within Regeneration & Planning, we have addressed recruitment and retention through targeted advertising/contact particularly the use of CCR (City Deal) network. This also includes obtaining market forces supplements for some senior building control posts in order to retain qualified staff.</p>
CP2 NS/W00 5	Develop and implement strategies to address aging										ER SC RE	March 2019	Green (On track)	Within Neighbourhood Services Several graduate/ trainee posts

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/W03 2 CS/W01 7	workforce profile in key service areas.													<p>have been filled.</p> <p>Within Social Services, the exercise to support established social work staff to have the opportunity to explore new roles was warmly welcomed with staff commencing six months trials in alternative positions in August. We have successfully appointed from within teams to more senior positions which begins to address the succession planning issues. Actions have progressed and become embedded. Formal review of the secondment arrangements planned for January 2019.</p> <p>Within Children and Young People Services, interviews have taken</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				
														place for the remaining management vacancy in the Division (15 Plus Team) and once this individual commences in post, all management posts will be filled on a permanent basis.
CP2 NS/W00 7 FIT/W01 7 CS/W02 0 FIT/W02 0 RP/W02 9 RP/W03 1 RP/W03	Build resilience within teams/service areas by focusing on up skilling and developing flexibility in skill sets and encouraging self-development and where possible build on collaborative working arrangements. This includes building fluidity/flexibility within roles and across										ER CL		Green (On track)	During the quarter we have continued to focus on building resilience within teams. For example within Legal Services, work in relation to increasing service resilience remains ongoing. During the quarter shadowing, on-the-job training and case discussion has been progressed to further enhance knowledge and skills. Within Finance & ICT, 100% 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				
3 DS/W01 4 RM/W008 AA/W020 LS/W005 SL/W044 PD/W049	teams to support a culture where staff are supported through change.													<p>#itsaboutme reviews have been completed. All staff are accessing the idev system to access appropriate training and staff are being supported to access external learning opportunities where appropriate.</p> <p>In June 2018 Cabinet agreed the extension of the Internal Audit Shared Service for Bridgend and the Vale of Glamorgan to include Merthyr Tydfil and Rhondda Cynon Taf Councils. This extension of the current service will help to develop a Regional Internal Audit Shared Service that would reinforce business resilience, further enhance the range of audit expertise available to the Council.</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				
														<p>The recruitment process for the Head of the Regional Internal Audit Shared Service was completed in quarter 3 and the post holder is due to start with the authority in February 2019.</p> <p>Regeneration & Planning – We have explored options through the use of professional networks and regional partners to provide resilience in areas of specialism. Support has been offered to neighbouring authorities in respect of plan preparation and specialist skills continue to be developed across the department.</p> <p>Within Democratic Services, four additional Relief Registrars were</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>appointed.</p> <p>Achievement for All- Many opportunities to work collaboratively have been developed through the Additional Learning Needs (ALN) transformational Bill, e.g. Welsh provision. Sensory work is being developed across the region with WA funding. Early Years identification and intervention is being worked on across the region, but also with the Cardiff and Vale Health Board and social services. Joint training is being run by the Vale and Cardiff for dispute resolution. Further development of collaboration with CAVC and Cardiff for transition is being</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				
														developed. Strategy, Community Learning & Resources- The Shared Library Management System (LMS) post will continue in the New Year and greater engagement with Cardiff Council on the development of their HWB system is planned.
NS/W006	Review all out of hours arrangements to ensure adequate availability of resources and operational needs of service and public are being adequately met.										ER		Red (Slipped)	Meetings to discuss the options with Managers and recognised Trade Unions did not progress during the quarter. This work along will be undertaken in quarter 4.
HS/W046 RM/W0	Undertake/implement service restructures in line with Reshaping										MI AP	March 2019	Green (On track)	The Housing and Building Services restructure has been completed. Within Resource Management 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 & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
04 AA/W02 5	Agenda.													Safeguarding, the majority of vacant posts have been filled and further recruitment drives will take place in Quarter 4.
SL/W04 5 AA/W02 1 FIT/W01 9	Ensure that employees understand how their work fits into the wider work of the Council and how they can effectively contribute to change.												Green (On track)	Through corporate engagement and staff appraisals the role and contribution of staff to the wider work of the Council has been explored. We also continue to encourage attendance at the Leadership Café.

Corporate Risk 6: Information Security

1 – Risk Overview	
1.1 Risk Description	<p>Information Security involves the practise of preventing the unauthorised use, access, disclosure, disruption, modification, inspection, recording or destruction of information. This definition applies regardless of the form data/information may take i.e. electronic or physical.</p> <p>Local authorities have a duty to safeguard the data/information in line with requirements of legislation such as Data Protection Act 1998 and Computer Misuse Act 1990. In addition to legislative requirements there are also identified standards that public bodies can work towards to further enhance and strengthen their approach to information security such as compliance with the Public Services Network, Payment Card Industry and IS027001 that governs information security management.</p> <p>The General Data Protection Regulation is a regulation that has been made by the European Parliament, The Council of the European Union and European Commission which is intended to strengthen and further unify the approach to data protection across the EU. Despite the Brexit decision, the UK Government confirmed its intent to still adopt this as a legislative framework. This new regulation has applied in the UK since 25th May 2018. The principles of the GDPR are similar to the those set out in the Data Protection Act, but with additional details regarding accountability and governance requirements and specifically requires organisations to show how they comply with the principles by documenting decisions the organisation takes in relation to processing activities. The Regulations have been designed to further minimise the risk of data breaches and uphold the protection of personal data, which is likely to result ensuring robust policies and procedures to ensure good governance measures are in place. The key risk associated with this is that we fail to meet the requirements of this regulation and safeguard our information and data.</p> <p>The key risk associated with this is the failure to implement adequate information security management systems across the Council.</p>

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

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	<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</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		in the public domain could cause political instability and loss of credibility.
Resources	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>
Service Delivery and Wellbeing	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>
Reputation	Yes	<p>Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity.</p> <p>Lack of credibility and potential criticism from our external regulators and the Information Commissioner.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
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> <p>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.</p>	2	2	4
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 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. Secure e-mail solution in place</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<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. There is ongoing review of systems as part of Reshaping Services Agenda to ensure they are fit for purpose and support the new services going forward. This work is also closely aligned to the Digital Strategy. The Digital Programme Board has now approved the Digital programme of works and systems will be consolidated going forward as individual projects are implemented.</p> <p>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.</p> <p>Data Protection refresher training delivered to all relevant staff that incorporates the GDPR requirements.</p> <p>Second internet connection will be installed at the Civic Offices by end of March 2019</p>			
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 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> <p>ICT Strategy has been signed off.</p> <p>Protocol to enable us to reuse information under the Open Government licence has been developed and published on our website.</p>	2	2	4
Reputation	<p>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.</p>	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	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 FIT/IT040	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 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	The ICT Strategy has been signed off by the Head of Service.
CP1 FIT/IT005	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 2019	Green (On Track)	A number of Digital Strategy project streams are ongoing. Progress has been made in many areas, these include; website refresh - a new web design was launched in November 2018. Office 365 - the development team are moving towards a technical solution for the implementation

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>across the Organisation. Mayrise/Yota has made progress and is being used in the Service on tablets. There will be further development once the Organisation has found a secure way to integrate with CRM. Meetings continue around software application consolidation, Oracle integration, Finance / online payments system and potential replacement options for the Oracle Enterprise Resource Planning (ERP) system. Progress with Oracle integration has stalled as the search continues to</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				
														find an integration partner. Finance / online payments system and potential replacement options for the Oracle Enterprise Resource Planning (ERP) system has stalled pending decisions.
CP1 FIT/IT00 7	Conclude the review of ICT systems and software across the Council to ensure it is fit for purpose.	✓	✓	✓	✓	✓	✓	✓		✓	NW	March 2019	Green (On Track)	The Office 365 technical project group are developing a technical solution in preparedness for the Organisational rollout. Core team rollout is on track for on-boarding of mailboxes into the cloud for quarter 4. Agreement has been reached to initially rollout the basic MS Suite and selected items from 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				
														Office 365 suite with collaborative tools being made available later in the project. Work also continues around a wider software applications consolidation exercise which is considering our approach to major legacy applications.
CP1 FIT/F00 09	Conclude the evaluation of cloud-based computing and cloud-based storage for as a potential cost-effective solution for the Council to increase efficiency.		✓	✓	✓	✓	✓	✓		✓	EW	March 2019	Green (On Track)	The Cloud-based Storage tender contract has been awarded and the work to implement the solution is starting on w/c 7th January 2019.

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 FIT/IT01 0	Implement a second internet connection to the Council to provide additional service resilience and increase efficiency.		☑	☑	☑	☑	☑		☑	☑	RH	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	As part of the network redesign, an additional connection to the internet has been installed at the Civic Offices.
FIT/IT01 2	Continue working towards Payment Card Industry (PCI) Compliance.	☑	☑	☑	☑	☑			☑	☑	CM/NW	March 2019	Red (Slipped)	Report to be presented to Cabinet on 7th January 2019 seeking approval to let a contract for a new income management system. Implementation should take 6-9 months
DS/IT03 7	Undertake a review of our existing Information Sharing Protocol Framework and associated templates to	☑	☑	☑	☑	☑	☑	☑	☑	☑	TC	March 2019	Green (On track)	Work on the review of WASPI documentation remains ongoing and has been planned around existing workload

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				
	raise awareness amongst staff.													commitments. During the quarter Waspi have updated their templates and we are now awaiting the ICO's updated statutory code.
DS/IT03 8	Identify and develop new Information Sharing Protocols for all required arrangements.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TC	March 2019	Green (On track)	Work is progressing with the related work being completed by the end of quarter 4.
DS/IT03 9	Develop a protocol to enable us to reuse information under the Open Government licence	✓	✓	✓	✓	✓				✓	TC	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	Protocol developed and available on website.
FIT/W02 1	Support the development of appropriate corporate	✓	✓	✓	✓	✓		✓	✓	✓	CL	May 2019	Green (On track)	Training has been made available to staff via the iddev system and via face-

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				
	systems including training in order to ensure the Council complies with the General Data Protection Regulation.													to-face briefing sessions. All Elected Members have received training as part of the implementation of the new legislation. Corporate Management team considered an update report in December 2018 which has been circulated to all elected members for information.

Corporate Risk 7: 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> <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>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<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	<ul style="list-style-type: none"> Supplementary planning guidance on sustainable development in new builds is in place. Development Management – ensuring decisions on new development proposals have regard to sustainability. The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment) Insight Board Submit bids to Welsh Government for any Environment Grants to implement environmental and countryside programmes locally. The Corporate Plan 2016-20 sets out our priorities relevant to promoting and enhancing sustainability. Implementation of the requirements of the Environment Act 2016. A Regional Transport Authority to govern and promote transport matters including Active Travel. 	2	1	2
Resources	<ul style="list-style-type: none"> Development of updated Carbon Management plan (CMP) Space Programme and Asset Management Strategy Insight Board Automatic meter readings for utilities for all Vale owned buildings. We completed the implementation of LED lighting in residential areas during summer 2018. We have been awarded a Salix Grant to update LED main road (highway) lighting. A review will be undertaken during quarter 3/4 on carbon money savings as a result of this project. Invested in new replacement vehicles that meet the EU 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Environmental Standards to operate on biofuel.</p> <ul style="list-style-type: none"> • Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally. • Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally. • Opportunities to seek S106 funding have been carried out as and when funding becomes available throughout the year, these have included S106 Barry Waterfront funding to carry out the signage scheme. • Council owned & leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term. • Vehicle & plant applications are being reviewed at the time of purchase; in-line with the needs of the department. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> • Prioritise maintenance in all council services – including gritting, drainage, etc. • Sustainable procurement outlined in procurement guideline documents • Green travel plan established and publicised to all staff • Active Travel – ensuring walking and cycling routes are provided • Internal and external publicity for individuals and organisations on how to reduce gas emissions • Minimise the risk and impact of flooding and coastal erosion via an effective Flood Risk Management 	2	1	2

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>for 2019/20.</p> <ul style="list-style-type: none"> • Successful delivery of grant funded biodiversity programme. Projects have included; the re-introduction of water voles at Cosmeston, woodland improvement works at Porthkerry and Cosmeston, Badger survey at Porthkerry and the Heritage Coast, Environmental education delivered at all sites, new leaflet designed for the Heritage Coast, community projects with Vale ways, Wick and Graig Penllyn, pollination project at Porthkerry and Heritage Coast plus a hedgerow connectivity project at Cosmeston. • Eight urban parks and two Country Parks have been awarded Green Flag Status. Penarth Marina, Southerndown and Whitmore Bay have maintained their Blue Flag status. We have successfully maintained our Seaside Awards for Jackson Bay and Cold Knap. 			
Reputation	<ul style="list-style-type: none"> • Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns. • Provision of child pedestrian and cycling training in Vale schools. • Promotion of Active travel. • Work with our Environmental Enforcement Partner (3GS), who supports us in raising awareness of keeping our local communities clean and litter free. • Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision making processes. 	1	2	2
Overall Effectiveness of Controls		2	2	4

2.3 Residual Risk Scoring & Direction of Travel											
	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				
ER5 NS/A00 4	Implement Integrated Network and Active Travel Maps and continue to improve Active Travel highway network.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER/KP	March 2019	Green (On Track)	S106 contributions continue to be used to improve Active Travel routes - highlights include Rhoose Active Travel improvement works and Ogmore by Sea footway improvements. In quarter 3 a bid was submitted again for the Active Travel route from Weycock Cross to the Airport but it was unsuccessful.
ER12 NS/A01 4	Continue to identify funding to improve the National Cycling Network route 88 as identified in the Active Travel Integrated Network Maps.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KP/MC	March 2019	Red (Slipped)	While S106 contributions continue to be used to enhance cycling provision in the VOG staff levels at present have meant a proactive stance has not been possible. As a result, one officer has been dealing with Active Travel in quarter 3 and dedicating their time

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				
														to investigate with schools requirements to get pupils to walk/cycle to and from school. In addition a number of meetings have taken place with schools to enable the team to know what bids to put together for Welsh Government funding. Bids are once again going into Welsh Government for funding to construct St Athan Active Travel improvements and Weycock Cross to Cardiff Airport.
ER3 NS/A00 1	Further the feasibility study to get buses over the Cardiff Bay Barrage, including further consideration of a	✓	✓	✓	✓	✓	✓	✓	✓	✓	ER/KP	March 2019	Red (Slipped)	Consultants (Capita) have been appointed to carry out WelTAG 1 and 2 studies. The project is to be project managed by Arcadis consultant PM, Matthew Fry.

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				
	Cosmeston Park and Ride facility.													These studies are due to be completed in quarter 4.
ER4 NS/A002	Continue to deliver transport improvement schemes associated with the Cardiff Capital Region Metro including cycle infrastructure and bus stop improvements from Weycock Cross to Cardiff Airport.	✓	✓	✓	✓	✓	✓	✓	✓	✓	MC/CH/KP	March 2019	Green (On Track)	Welsh Government funding has been received to continue work on the M4 J34 link to Cardiff Airport. Penarth headland link work has also progressed with Consultants appointed and undertaking WelTAG 1 and 2 work. Welsh Government funding of £145k (and £30k S106) is being used to upgrade bus stops/shelters on the A48 and other strategic sites.
ER4 NS/A003	Progress additional modelling requirements to assist with the feasibility study for bus, cycling and	✓	✓	✓	✓	✓	✓	✓	✓	✓	MC/KP	March 2019	Red (Slipped)	This project has been delayed due to lack of resources and knowledge of the subject area but a tender is due out in Quarter 4 whereby a consultant will be

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				
	walking improvements at Cardiff and Barry Road, Dinas Powys.													appointed to undertake a number of feasibility and ecological studies relating to this project.
ER9 NS/A008	Continue to extend the Greenlinks Community Transport Service.		☑	☑			☑	☑	☑	☑	KP	March 2019	Green (On track)	The Greenlinks scheme continues to provide transport to residents in the Vale of Glamorgan. Unfortunately, there has been a loss of volunteers which has led to reduced service on certain days. Despite this, the scheme continues to run five days a week and provides those unable to access regular public transport with a suitable alternative.
ER12 NS/A01	Continue to proactively promote the take up of Welsh Government		☑	☑					☑	☑	KP	March 2019	Green (On track)	e Council continues to promote the scheme on digital platforms and all local Bus Services (including

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				
5	Concessionary Travel Schemes.													certain Greenlinks services) throughout the Vale of Glamorgan accept concessionary travel passes. Officers are working with Welsh Government on the card renewal and new guidance that will form the scheme post 2019.
ER9 NS/A00 9	Seek further opportunities to recruit volunteers for transportation initiatives.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KP	March 2019	Red (Slipped)	Lack of staff in the Passenger Transport team has meant a conflict of priorities with the day to day running of services taking priority. This has meant certain tasks, such as recruiting of staff, has taken less of a priority. However, a 'your bus matters' event was conducted in Kings Square, Barry and Greenlinks was represented at this event

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				
														with membership and volunteer recruitment highlighted to residents.
ER15 NS/A019	Continue to implement conversion of non LED lighting to LED lighting in residential areas.		☑	☑		☑		☑	☑	☑	MC/CS	March 2019	Green (On Track)	The design and planning of the next phase of the project to convert the remaining 911 ornamental and bespoke street lighting lantern units within the Vale is currently ongoing with conversion works due to commence in quarter 4. Prior to commencing these works, it is intended to liaise with and notify the individual Ward Members and any resident associations in specific areas where the works may materially impact the character of the current street lighting arrangements.

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 NS/A020	Purchase new vehicles from the Neighbourhood Replacement Fund in line with current EU Environmental Standards including the ability to operate on biofuel.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KP/GG	March 2018	Green (On Track)	During quarter 3 new environmentally friendly vehicles have been purchased via the Neighbourhood Replacement Fund. These new vehicles will replace older models which are beyond serviceable life. In addition to these purchased vehicles we have purchased 22 new recycling vehicles, 11 of the 22 vehicles will be delivered in the 4th quarter of the financial year. The new vehicles are being purchased to meet the changing requirements of Neighbourhood services waste/recycling collection service.

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 NS/A02 1	Continue to explore the need for fleet and options for better usage.		☑	☑	☑	☑		☑	☑	☑	KP/GG	March 2019	Green (On track)	We are continuing to support services to analyse vehicle utilisation via the vehicle management system and where possible vehicles are being replaced with a more suitable alternative or not being replaced at all.
ER18 NS/A03 0	Monitor the changes in coastal waters and coastal erosion at Penarth in accordance with the Shoreline Management Plc.		☑	☑	☑	☑		☑	☑	☑	MC/CM	March 2019	Green (On track)	The collection of wind, wave and tide data at Penarth Pier continues to be ongoing with equipment in-situ on site. The annual photographic and topographic monitoring of Penarth frontage is delayed due to weather and is now planned to take place in quarter 4 subject to appropriate weather conditions.

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				
ER18 NS/A03 1	Complete the delivery of the Llanmaes Flood Alleviation Scheme	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MC/CM	December 2018	Amber (Minor slippage)	The construction of the attenuation pond as part of the Northern Access Road (NAR) continues to progress well. The cabinet report seeking appropriate delegations to progress detailed design and enter into land agreements for the next phase of the project will now be progressed in quarter 4. The final modelling of the catchment is nearing completion by consultants appointed to carry out NAR design via Welsh Government.
AH1 NS/A03 7	Seek S106 and other funding to deliver improved walking and cycling access to parks and other		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER/DK/KP	March 2019	Green (On Track)	A number of S106 schemes have been designed (St Brides bus layby, Fferm Goch walkway to community centre) and are due to be

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				
	leisure facilities.													constructed in the New Year and a number are already in the construction phase (including Rhoose Active Travel route, Ogmere by Sea footway improvements) and others are being designed (At Athan Active Travel, Maendy sustainable transport). In addition the Council has obtained £118k from Welsh Government Local Transport Fund to carry out additional WelTAG studies on the J34 of the M4 link to Cardiff Airport.
ER7 RP/A09 1	To prepare and consult on the following Supplementary Planning	✓	✓	✓	✓	✓		✓	✓	✓	VR	March 2019	Green (On track)	The remaining SPG (Renewable Energy, Tourism and Leisure Development and Parking Standards) were reported to Cabinet for

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				
	Guidance (SPG) Renewable Energy , Parking and Travel Plan, Tourism, Public Art, Trees and Development.													approval for public consultation on 3 December 2018.
ER17 RP/A03 4	Deliver a programme of Biodiversity Projects funded by the new Welsh Government's Single Environment Grant		☑	☑	☑	☑	☑	☑	☑	☑	BG	March 2019	Green (On track)	The first interim claim was submitted in October 2018. Works have progressed with the outstanding elements of the grant. 6 new interpretation boards have been designed and erected across the 3 sites i.e. Cosmeston, Porthkerry and the Heritage Coast. Woodland management works have been completed at Cogan wood Cosmeston, with work to begin at Porthkerry in January 2019.

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				
														A new mini digger has been purchased and will be used to improve and maintain wetland habitats and waterways.

Corporate Risk 8: Welfare Reform

1 – Risk Overview						
1.1 Risk Description		<p>The UK Government’s Welfare Reform will introduce the greatest change in the administration of welfare benefits for a generation. In addition to significant change in the way in which the council will run the housing and council tax benefits service, the changes will affect Social Services and Housing Services and will have an impact on the overall finances of the authority.</p> <p>Significant changes have been implemented, including changes to the Housing Benefit scheme and the introduction of the Council Tax Reduction Scheme to replace Council Tax Benefit. The Welsh Government implemented the Discretionary Assistance Fund from April 2013 and the DWP started the roll out of the Personal Independence Payment in Wales from July 2013.</p> <p>Universal Credit which will replace Housing Benefit, Job Seeker's Allowance (Income Based), Employment and Support Allowance (Income Related), Income Support, Working Tax Credit and Child Tax Credit was introduced in the Vale of Glamorgan in February 2016. 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.</p> <p>Universal Support Delivered Locally has been implemented since February 2016 in line with the introduction of Universal Credit in the Vale of Glamorgan. The risk associated with Welfare Reform can be defined as the roll out of the Welfare Reform programme has a detrimental financial and social impact on residents.</p>				
1.2 Risk Owner		Head of Finance (CL)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	Yes	Yes	Yes	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
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 are likely to impact on the resourcing and workforce needs/requirements for delivery of the programme. Failure to implement information management systems effectively or the systems are not fit for purpose impacting on the ability to process and accurately administer timely benefits to clients.</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. 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	<ul style="list-style-type: none"> • Identification and prioritisation of key risks associated with welfare reform. • Progress reports are monitored by Scrutiny Corporate Performance and Resources. • Public Services Board has oversight of the issues/developments in relation to Welfare Reform as it is linked to the Well-being Plan Objective to reduce poverty and tackle inequalities linked to deprivation. • DWP Partnership Group- meets monthly to monitor the implementation of UC and address any issues. 	2	2	4
Resources	<ul style="list-style-type: none"> • Budgets have been allocated to deal with expected impact of homelessness and rent arrears. • Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes. • Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed. • Impact of the Council Tax Reduction Scheme and future WG funding reviewed. Strengthened how welfare-reform risks are managed by developing a more corporate-level approach that co-ordinates activity across the council (where one report is now presented to Corporate Performance and Resources Scrutiny Committee) • Impact of the introduction of the benefits cap reviewed and reported. • The Council has access to the Department of Work and Pensions' (DWP's) landlord portal and is able to check the status of claims and confirm rents and to process claims quickly. A system of managed payments (APA's) has been established so that housing costs for vulnerable tenants can be paid directly to the landlord to minimise arrears. 	2	2	4
Service Delivery & Well-being	<ul style="list-style-type: none"> • Improved the management and access to and use of Discretionary Housing Payments. • Improved engagement with tenants affected by the removal of the spare-room subsidy through: the provision of regular advice and information on the options open to them to address the financial impact of the change in their circumstances; the promotion of the 'Your benefits are 	3	2	6

2.2 Controlling Inherent Risk			
Category	Current Controls	Effectiveness of controls	
		Likelihood Score	Impact score
	<p>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> <ul style="list-style-type: none"> • Continue to support the effective roll out of Universal Credit across the Vale of Glamorgan. Benefit Section within Financial Services continues to liaise with the Department of Work and Pensions (DWP) and the Jobcentre using Universal Support Delivered Locally (USDL) to support roll out of Universal Credit (UC) across the Vale of Glamorgan. USDL is a partnership approach between the Council and the Job Centre Plus to provide local support for universal credit claimants. This support provided by the Council 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. • There are various initiatives/support mechanisms in place families who are experiencing financial hardships such as the Sofa scheme, provision of advice and sustaining our partnership with the Food Bank. • The Multi-Agency Landlord group meets regularly to discuss and identify how we mitigate the adverse impacts of welfare reform on tenants. For example working on a joint communication campaign to raise awareness of welfare reform. • Support tenants to access employment and ran our first Vale Home's employment boot camp in partnership with Forces Fitness. This is funded through the community investment contribution. We have established a Time Banking Scheme to give individuals access to opportunities provided by the Community Investment Team and support them in gaining new skills. Community Investment has supported tenants to complete work experience placements to gain essential experience to aid them in seeking employment. We have continued to develop our digital inclusion programme by establishing computer suites within our 5 sheltered housing schemes and family hostel. This has enabled tenants who may 		

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	<p>otherwise not have access to computers to engage in digital activities. Established relationships with adult learning who are now running training sessions within our Sheltered Schemes.</p> <ul style="list-style-type: none"> • Universal Credit went live on the 10 October 2018. Staff have been carrying out Personal Budgeting appointments with customers identified as needing some help and also providing assisted digital support. • The website was updated for Universal Credit full service going live on the 10 October 2018. The website now provides advice on this service with links to Gov.uk along with other places to get further information and help. • Grant funding has been made available to CAB to provide support to applicants with regards to digital applications and the Council officers are working with CAB to ensure applicants are correctly signposted for advice 			
Reputation	<ul style="list-style-type: none"> • 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 FIT/A00 1	Continue to support the roll out of Universal Credit in line with DWP timescales.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register	Universal Credit went live on the 10 October 2018 and is gradually picking up pace. All staff were given further training to identify who should and who should not come under Universal Credit. The numbers however are still low overall. Since the go live date the staff have been carrying out Personal Budgeting appointments with customers identified as needing some help and also providing assisted digital support. This has involved staff being placed in the Jobcentre to help customers to set up e-mail accounts and make their initial claim for Universal Credit along with helping providing the additional information to finalise their claim.

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 FIT/A00 2	Update Elected Members on the progress made in implementing Welfare Reform changes.	<input checked="" type="checkbox"/>	<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	Green (On Track)	A briefing was arranged for all Elected Members on 12th December 2018 at which a representative from the Department of Works and Pensions updated members with regard to the changes with the implementation of Universal Credit in the Vale. The briefing was held before the Full Council meeting and was well attended. There was also a member question at the Council meeting on 12th December 2018 requesting information with regard to the level of support provided to council tenants when they required additional support as a result of the implementation of the Universal Credit.

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 FIT/A00 3	Update the Council's website to reflect up to date information on welfare reform changes including where to get advice/support and proactively publicise.			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register	The website was updated for Universal Credit full service going live on the 10 October 2018. The website now provides advice on this service with links to Gov.uk along with other places to get further information and help.
IS003 HS/A05 1	Continue to work with partners to deliver the objectives stated within the Financial Inclusion Strategy, including the Multi-agency landlords group to mitigate the effects of Welfare Reform on all social tenants living in the Vale.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2019	Green (On Track)	We have continued to support and meet partners to deliver the objectives started within the Financial Inclusion Strategy. The multi landlord group has met twice during the third quarter to discuss the on-going complex cases with Universal Credit. During these meetings we have shared experiences which has assisted to overcome some of these issues experienced with Universal

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>Credit. We have gained ‘trusted partnership’ status which has assisted to deal with many of the new claims quickly, offered support to every tenant to deal with these changes and other benefit advice when needed.</p> <p>The Universal Credit working group has continued to carry out road shows to raise awareness to the public and promote Digital Inclusion training to assist tenants within the Vale of. We have also increased our use of social media to expand our reach more. We use leaflets to raise awareness of the changes and to offer assistance if they feel that they do not understand or are having difficulties moving</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				
														onto Universal Credit. The Money Advice Team has contacted and offered home visits for any resident that is facing these changes and moving onto Universal Credit along with other benefit advice.
IS002 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.	✓	✓	✓	✓	✓	✓	✓	✓	✓	PT	March 2019	Green (On track)	The Community Investment Team have been extremely busy during the last quarter including attending a number of community events to increase engagement with tenants, such as working with Money Advice to provide Universal Credit Roadshow events throughout the Vale. To date we have run or proactively attend 27 community events. We had significant engagement at these events with over 500 tenants engaging.

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>Time Banking continues to support the roll out of the Community Investment Strategy and we have seen a steady rise in the number of tenants engaging in volunteering. During quarter 3, 70 tenants signed up to the scheme and 168 young people. 100% of those engaging with time banking report feeling valued by their local community. 87% of tenants report increased feelings of self-esteem and during quarter 3 82% reported increased confidence.</p> <p>The Community Investment Team in partnership with local residents have been focusing on bring the waste land at Margaret Avenue back into use.</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>Working with Richard Stopgate we have agreed to use funding through the Environmental improvement budget to complete the ground work required at the site ready to look at a community management model. A tender is currently being prepared with the view of completing all garden works by the end of quarter 4. The team have been working closely with Colcot School who will take a lead in supporting the community to manage the garden moving forward.</p> <p>Employment and training activities continue to support some of those furthest away from the job market. We have</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				
														supported 19 tenants into employment so far this year. On average 11 of those we support into employment have maintained a job for over 6 months showing that the work carried out by the team is starting to evidence sustainable change. During quarter 3 32 tenants have gained a recognised qualification. During Q4 Housing Services will be hosting a tenant work experience placement. During a 6 week period the individual will be spending time with various departments within Housing Services to gain experience and learn more about the diverse range of jobs within the sector. Moving forward we hope to provide tenants with more

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>opportunities to gain work based experience within our services.</p> <p>We continue to run a number of digital inclusion schemes throughout the Vale in partnership with Newydd and Adult Learning, during quarter 3 87 tenants have engaged in digital inclusion with 77 of these aged 55+.</p>
IS003 HS/A05 3	Continue to provide information and support to residents affected by Welfare Reform/Universal Credit and raise awareness of staff and partners about the impact of the changes.			☑	☑			☑	☑	☑	MI	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	Universal Credit (UC) went 'live' in the Vale during October 2018. The total level of UC arrears is currently £39,000 which works out at £350 per tenant (as opposed to Housing Benefit (HB) arrears which are £150 per tenant). The increase reflects the fact there is a 5

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>week waiting period for new claimants and UC is subsequently paid monthly (whereas HB was paid weekly). The Council has access to the Department of Work and Pensions' (DWP's) landlord portal and is able to check the status of claims and confirm rents. This is useful and allows claims to be processed quickly. It is also possible to apply for managed payments (APA's) so that housing costs for vulnerable tenants are paid directly to the landlord. This reduces the risk of the tenant not paying their housing costs. So far, APA's have been requested for 20% of new UC claimants and this has been an effective way to minimise</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				
														arrears. Council staff continue to work closely with partners and take part in the DWP Partnership Group- which meets monthly to monitor the implementation of UC and address issues.
ER2 HR/A009	Work with the Department of Work and Pensions to provide a range of work placement/work experience opportunities in the Council for volunteers in receipt of state benefits.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AU	March 2019	Green (On track)	The scheme remains in place and we continue to receive details of potential candidates and placement opportunities. The Department of Work and Pensions (DWP) candidates continue to be engaged in HR under a temporary part time agency contract to undertake data input. In addition a further candidate started in HR Employee Services in December potential placements starting with Council Tax in the New Year.

CR8: Welfare Reform

Corporate Risk 9: Public Buildings Compliance

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

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

1.3 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	Political and legislative repercussions of failing to ensure the Council owned corporate buildings are not compliant with current duties/requirements as part of the Health and Safety at Work Act 1974.
Resources	Yes	<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 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 the Third Party providers and Schools are effectively managing any building compliance issues and associated risks.</p> <p>Failure to safeguard the wellbeing of our service users/residents/pupils in Council-owned assets and other associated public buildings as a result of an incident arising from non-compliance.</p> <p>Inability to sustain service delivery/business continuity from premises as a result of an incident associated with non-compliance.</p>
Reputation	Yes	<p>Erosion of public confidence and trust in the Council as a result of a compliance failure which would damage its reputation and attract negative criticism from Welsh Government our regulators.</p> <p>Reputational risk of failing to address/monitor compliance in any buildings where the Council has a vested interest/stake in the premises and/or the services that are being delivered.</p>

1.3 Risk Categories		
Categories	Yes/No	Definition

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
Political & Legislative	<ul style="list-style-type: none"> Regular reporting of progress/updates via Insight Board, CMT and Schools Operational Investment Board. Regular operational meetings with project team. 	2	1	2
Resources	<ul style="list-style-type: none"> Successful appointment of a Compliance Officer and two trainee positions. Effective mechanism for the collection of compliance data from schools. Process/mechanism established for the collection/reporting of data from Schools. Discussions regarding cost mechanisms for service are ongoing. IPF database is being populated and relevant paperwork scanned onto the system. Schools who have signed up to an agreement with us are charged a 'minder's fee' for compliance. Any school not signed up to this are subject to regular monitoring visits. 	2	2	4
Service Delivery & Well-being	<ul style="list-style-type: none"> Site visits are conducted on all school sites and corporate (Council owned) assets where Corporate Compliance team have 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
	<p>been engaged.</p> <ul style="list-style-type: none"> • IPF database is fully populated and documentation is entered onto the system to capture compliance evidence/information with service dates being updated at the same time. Individual site managers are provided regular updates on compliance position with advance notification of certificate expiry. • Officers are working with individual sites to address any issues which have been identified during the visits. • Regular reminders sent to duty holders of premises for up and coming services/inspections. • Inventory for Social Services assets has now been completed to provide full picture of compliance in relation to Social Services. 			
Reputation	<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
Overall Effectiveness of controls		2	1	2

CR9: Public Buildings Compliance

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	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				
	Create a Master List of all public buildings along with a 'weighting' formula for recharging compliance data management costs.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AT/MS	March 2019	Green (On track)	A Revenue Growth bid has been submitted that focuses on the development of a centralised fund rather than using a 'weighted formula approach'. We are awaiting the outcome of this bid before any further work can be progressed. As a consequence the nature of the action being progressed could be subject to change.
	Roll out use of IPF system to Premises Managers that includes making enquiries with the IPF system provider regarding the licenses and the costs of training based on the potential numbers indicated via the full	✓	✓	✓	✓	✓	✓	✓	✓	✓	AT/GT	March 2019	Green (Completed) Action completed and will be reflected as a control in	IPF fully populated with available documentation and individual site managers are provided regular updates on compliance position with advance notification of certificate expiry.

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				
	inventory details.												the Register.	
	Roll out new corporate building compliance approach to non-school premises.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AT/GT	March 2019	Green (On track)	Majority of site visits have been conducted. This work remains ongoing. 97% of corporate buildings have now been inspected.
AM1 HS/AM0 31	Review the management of compliance and in particular, 'compliance data' in relation to the Council's Corporate Building stock.	✓	✓	✓	✓	✓		✓	✓	✓	AT	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	A significant amount of data continues to be collated on the corporate compliance status of public buildings and loaded onto the corporate asset database, IPF. A report has been developed to identify the status of each site and provide alerts where certificates are about to expire. Individual

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				
														directorates are now receiving updates on the compliance status of their service area.

Corporate Risk 10: Safeguarding

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

1.4 Risk Categories		
Categories	Yes/No	Definition
<i>Political & Legislative</i>	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>
<i>Resources</i>	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>
<i>Service Delivery and Wellbeing</i>	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>

1.4 Risk Categories		
Categories	Yes/No	Definition
		Failure to put in place appropriate safeguards for children, young people and adults at risk resulting in potential harm/injury.
Reputation	Yes	The erosion of public confidence and trust in the Council as a result of a safeguarding incident would damage the reputation of the Council and attract negative criticism from our regulators.

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
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> <p>The Corporate Safeguarding Group (CSG) meet quarterly and they have developed a work plan to help monitor the implementation of the Corporate Safeguarding Policy. A designated safeguarding page has been designed which will hold all the details of the CSG policy, personnel with links to relevant policy/procedures and other guidance to support safeguarding practice and awareness.</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</p>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	<p>employees with guidance on how to refer vulnerable people about whom they have concerns to Social 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>The application of the Safer Recruitment policy continues to be promoted within Service areas and is monitored on an ongoing basis, with reports to Cabinet and the relevant Scrutiny Committee on a six-monthly basis. The Safer Recruitment policy has been adopted in all schools within the Vale of Glamorgan.</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> <p>Staff continue to be supported via training sessions to ensure all staff are trained in the four core modules of the new Act.</p>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	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.			
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 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</p>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	commitment to the protection, welfare and safeguarding of children and vulnerable adults.			
Reputation	Obtain the views of children and vulnerable adults/their families and implement protocols in respect of neglect and child sexual exploitation. Information sharing protocols are in place and used appropriately.	3	1	3
Overall Effectiveness of Controls		3	2	6

2.3 Residual Risk Scoring & Direction of Travel

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 RM/A00 4	Review and amend our processes for Adults at Risk to ensure we remain compliant 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"/>	NJ	March 2019	Green (On track)	Development workshops have taken place to consider the Adult at Risk duty to report pathway. Further sessions are due to take place which will develop this pathway further. This is being undertaken in anticipation of the new All Wales Safeguarding Procedures, which will provide the procedural element of handling individual cases.
AH11 RM/A01 0	Enable the Corporate Safeguarding Group to continue to focus on delivery of Corporate Safeguarding Action Plan and put in place appropriate mechanisms to monitor compliance of the Policy across the Council for all relevant	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NJ (All Council Directorates)	March 2019	Green (On track)	During this quarter we have continued to work with representatives from other Directorates who provide reports and information in relation to their safeguarding activities. Delivery of the Corporate Safeguarding Action Plan continues to be monitored regularly by the Corporate

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				
	staff, contractors and volunteers.													Safeguarding Group.
AH11 RM/A01 1	Develop and implement training workshops for staff in respect of safeguarding enquiries relating to Adults at risk.	✓	✓	✓	✓			✓	✓	✓	NJ	March 2019	Not applicable Action not due	Training sessions will be established for staff to attend that will be aligned to the roll out of the new All Wales Safeguarding Procedures later this year (2019).
AH11 RM/A01 2	Support the completion of the review of the All Wales Child and Adult Protection Procedures.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ	March 2019	Green (On track)	Work is underway regarding the All Wales Safeguarding procedures led by the Cardiff and Vale Regional Safeguarding Board. This work is on track to be completed by October 2019.
AH11 RM/A01 3	Implement agreed recommendations arising from the 2018/19 Safeguarding Internal Audit work.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ	March 2019	Green (On track)	The iDev mandatory module for Safeguarding was rolled out to all Vale of Glamorgan employees in November

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				
														2017. Completion and compliance will be monitored through the Corporate Safeguarding Group.
AH14 RM/A01 5	Collate and review a data set linked to Child Sexual Exploitation to enable the authority to analyse the safeguarding activity and outcomes in this area.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NJ	March 2019	Green (On track)	The audit of Child Sexual Exploitation (CSE) cases using the Critical Enquiry Framework is being undertaken by the audit sub group and reported to the Regional Safeguarding Children’s Board (RSCB). Locally we are developing a monthly performance management suite that includes the CSE information in relation to activity and outcomes.
AH11 HR/A00	Continue to support and monitor the application of the	☑	☑	☑	☑	☑	☑	☑	☑	☑	LB	March 2018	Green (On track)	Regular reports and updates are provided regarding the application of the safer

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				
2	Council’s Safer Recruitment Policy.													recruitment policy. Compliance is as follows for quarter 3 - October 100%, November 96% and December 100%. Regular monitoring will continue. A Safer Recruitment Audit was completed in quarter 3 where it was recommended that Learning and Skills recommend to schools that Risk Assessments should only be used in exceptional circumstances. Schools will be communicated with during quarter 4.

Corporate Risk 11: 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. The recommendations arising from the recent Parliamentary Review of Health and Social Care has further cemented the need for further developing our approach to integrating health and social care services. The Parliamentary review identified that the focus needs to be on 'empowering individuals to take decisions, tailoring care to the individual's expressed needs, whilst being more proactive and preventative. The review also emphasised the need for care provision to be 'seamless', of high quality and as close to home as possible.</p> <p>Although, significant strides have been made by the Vale of Glamorgan in relation to integrated health and social care services, there continue to be risks and challenges associated with its delivery. For example, developing a more integrated approach to service provision is likely to propose further challenges with technology, information sharing, staffing structures and governance re policies and financial management. Financial scrutiny will be required to ensure that any risks associated with mandated pooled funding are properly considered. There are also risks associated with the overall sustainability of these new ways of working, given that a significant amount of investment in new ways of working is via Grant funding and therefore short term and finite.</p> <p>Existing HR and IT arrangements may need to be reviewed as organisations work more closely together. The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&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. The focus continues to be on accessing funding such as Integrated Care Fund and Transformation Fund in order to further expand and develop our integrated service models. For example, Regional Partners recently submitted a bid to access Transformation Funding to support implementation of the Parliamentary Review. As a result, the region was awarded £7million to deliver 7 projects across the Cardiff and Vale region with the vision of developing more 'seamless care' for our citizens. £1.3million of this Transformation funding was secured by the Vale of Glamorgan in partnership with the Health Board to lead on piloting a new GP triaging scheme using the Council's Customer Contact Centre (C1V). There are also opportunities arising to bid for additional new ICF monies for 2019/20.</p>				
1.2 Risk Owner		Head of Adult Services (SC)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	No	No	Yes	Yes	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	<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>
Resources	Yes	<p>Failure to effectively project plan, manage and communicate changes to models of service delivery resulting in delays and/or compromising the quality and delivery of integrated health and social care services.</p> <p>Inability of staff to work effectively across organisational boundaries to deliver the integrated health and social care programme, as a result of poor staffing levels and/or a lack of training.</p> <p>Failure to implement a fully integrated IT information system that is accessible to staff across the health and social care organisational boundaries.</p> <p>Failure to agree pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny.</p> <p>Ineffective scrutiny of the utilisation and expenditure of pooled budgets.</p> <p>Sustainability of projects into the longer term is uncertain due to the short-term and time-limited nature of funding e.g. ICF and Transformation funding.</p> <p>Capacity to deliver fully integrated service models with existing assets and infrastructure and in line with the University Health Board's 'Shaping our Future Well-being' agenda that will see the development of Well-being Hubs/Health Centres.</p>
Service Delivery and Wellbeing	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 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>

1.4 Risk Categories		
Categories	Yes/No	Definition
		Failure to adequately resource the Customer Contact Centre for dealing with health and social care queries impacting on access to services and waiting times.
Reputation	Yes	Failure to manage expectations of service delivery as part of the new delivery models impacting on the Council's reputation.

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<ul style="list-style-type: none"> Information Sharing Protocols developed and operational. Integration of Health and Social Care is considered at all levels of the organisation through the leadership group and the strategic implementation group. Arrangements are reviewed through regular reports to Scrutiny Committee Healthy Living and Social Care Committee. Significant changes to structure and staff arrangements are considered by Cabinet. Cabinet Member and Managing Director are members of the Regional Partnership Board that oversees integration and the work of the Integrated Health and Social Care Partnership, including access to resources for the Integrated Care Fund (ICF) and Transformation Fund. 	3	3	9

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Resources	<ul style="list-style-type: none"> Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board. Developed the ability to view both database systems via Vale IT. Implemented WCCIS within the Vale of Glamorgan Council whilst awaiting regional implementation by partner organisations. IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development. Joint Commissioning Board meets regularly to progress work for pooled arrangements. Contact Centre Development meetings are held fortnightly to review and monitor functions and future business streams. To further improve integrated services at our 'front door', we have commenced engagement work across the Contact Centre in relation to C1V Call Handlers, Customer Service Representatives for Adult Social Care and Call Handlers in relation to Health Services in order to further develop and enhance a more 'seamless' model of service provision in line with the recommendations arising from the Parliamentary Review. 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. Agreement for a pooled arrangements for older person's care home placements across the three statutory partners has been put in place. 	1	1	1
Service Delivery & Well-being	<ul style="list-style-type: none"> DEWIS Cymru Portal is providing more effective signposting for service users to adult services. Continued to develop the Customer Contact Centre as a single point of 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>access for community health and social care services through expanding the range of services that are available.</p> <ul style="list-style-type: none"> • Reviewed and put in place new assessment processes and IT infrastructure to ensure compliance with the Social Services Wellbeing Act. • Effectively use funding including the Integrated Care Fund and Transformation Fund to explore new models/ways of working to further enhance integrated service delivery. E. Integrated Community Resource Teams and wellbeing co-ordinators that are linked to GP practices which has increased the capacity to support people to become more independent. The ICF has also been used to develop a commissioning strategy for accommodations with care and the creation of 6 intermediate care beds at the Ty Dyfan reablement unit to support older people following hospital discharge to regain their independence. • The Welsh Community Care and Information System was launched in November 2017 to enable the safe sharing of information to deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act. There is also ongoing developed in relation to • The financial functionality of the system. We continue to support the implementation on a Regional basis and feed into the National team. • Joint Care Package approval process has been agreed with Cardiff and Vale University Health Board (UHB) for use on complex hospital discharges. This work is aimed to reduce the numbers of delayed transfers of care for social care reasons. • Delivered a successful Outcome Focused Case Management Pilot called 'Your Choice'. This approach has received significant attention from external organisations interested in replicating the model to demonstrate the measurement of outcomes for 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>service users and we won a Social Care Wales award.</p> <ul style="list-style-type: none"> All Community Mental Health Teams have now moved to Barry Hospital to form the Integrated Mental Health team. The Vale's Locality Mental Health Team has been established and is now operational. 			
Reputation	<ul style="list-style-type: none"> 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				
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 (On track)	Quarter 3 has seen the Engagement sessions take place for Council and University Health Board staff. The feedback sessions took place at the end of the quarter with proposals being worked into an action plan for implementation in the new calendar year. Proposals include a joint management approach, integrated staff forum and joint training/induction plan - review in 12 months to see if more formal proposals need to be considered to achieve the recommendations of the Parliamentary Review for seamless care delivery at the front door. New business opportunities are being considered within the UHB for

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				
														delivery via the Day Time Services element of our integrated communications Hub at C1V.
AS/A009 PD/A01 8 AH7	Review and amend processes at the Customer Contact Centre to support provision of advice and assistance in line with requirements of the Act.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TC	March 2019	Green (On track)	An engagement piece exploring the roles of staff and teams within the Contact centre has taken place with a series of workshops and presentations taking place during Qtr3. Staff were advised of the findings of the engagement exercise and a plan to further integrate services and teams through joint management teams, joint staff forums and working on joint induction and training plans. Additionally, the project steering group is considering how the Contact Centre can move to a consistent name for all teams and services operating

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>within the contact centre to help with identity and improve the customer and staff experience, meanwhile also supporting the implementation of the recommendations of the Parliamentary review of health and social care for provision of seamless care for residents.</p> <p>A plan has been established to improve integrated working between Customer Relations, Telecare, Adult Services and Cardiff and Vale University Health Board (UHB) and create a unified service under the working title "Wellbeing Matters". This work will continue through 2019.</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				
AH8 PD/A03 2	Continue to strengthen and extend shared working between C1V and the Health Board to provide a more integrated service for the public.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2019	Green (On track)	Engagement process completed Health, Social Care and Customer Relations staff. Work commencing in Q4 to address identified barriers to greater integrated working around lack of knowledge of roles within different teams, creation of joint induction and training, creation of joint staff forums to progress ideas and issues and the implementation of integrated management forums. Customer Relations is supporting the implementation of a GP Triage service delivered via the single point of access for Vale of Glamorgan residents.
AH9 AS/A024	Maximise access to and use of grant funding streams such as the Integrated Care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2019	Green (On track)	The procurement and evaluation of responses is complete and contract award is expected mid-January 2019

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				
	Funding to support development of further integrated services.													with initial roll out by 31 March 2019. The council has received an indication that it has been successful in bidding for £350K grant funding to be shared with its procurement partners and which includes £50K for recruitment of a Project Manager.
AH9 AS/A025	Improve communications with Mental Health Service in order to support effective transition for young people to move into Adult Mental Health Services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2019	Green (On track)	Meetings held between Cardiff and Vale University Health Board, CAMHS and Cardiff and the Vale Local Authority to discuss linking in with developments around the regional Transition Protocol and to clarify process. Discussions have taken place between the Vale Integrated Manager and the Paris co-ordinator to assist in providing data from Paris of those in the Transition age

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				
														group. This quarter there were nine Health to Health referrals of people between 17-19 and 4 referrals via TRIG.
AH9 AS/A027	Implement the new Community Mental Health Teams Integrated Model to support working age adults with mental health needs.	✓	✓	✓	✓	✓	✓	✓	✓	✓	LW	March 2019	Green (Completed) Action completed and will be reflected as a control in the Register.	All Community Mental Health Teams have now moved to Barry Hospital to form the Integrated Mental Health team. The Vale’s Locality Mental Health Team has been established and is now operational.
AH9 AS/A028	Work with partners to launch the 10 year Dementia Strategy to better integrate the service via a multi-agency service model.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AC	March 2019	Green (On track)	Senior managers are linked into the Dementia Action Groups as appropriate. Head of Adults Services attends the Welsh Government Steering Group - Dementia Oversight and Implementation Group on behalf of all Heads of Adults Services across Wales. The ICF

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				
														Dementia project continues to progress with roll out planned for quarter 4.
AH9 AS/A026	Work with partners to develop locality models in response to the recommendations of the parliamentary review.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2019	Green (On track)	Welsh Government confirmed the Region's bid for Transformation monies was successful. The Integrated post Head of Adults/Locality Manager will lead on the GP triage trial bringing together primary care and social prescribing through the platform already proven to be successful within C1V. Other transformation projects involving Adults services include development of a short term night sitting/visiting service and assessing people in their own homes for ongoing care and support rather than in hospital -

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				
														'Get Me Home'. These projects will commence in quarter 4.
AH9 AS/A029	Further develop and enhance the Integrated Autism Service with a specific focus on enhancing links with other services, service users and their carers and the provision of training for professionals.	✓	✓	✓	✓	✓	✓	✓	✓	✓	KI	March 2019	Green (On track)	The Integrated Autism Service (IAS) continues to consolidate its work across Cardiff and Vale. A total of 15 training sessions for professionals between July 2018 and October 2019 are booked. This will provide specialist training and creating links with approximately 450 staff across a variety of professions in health and social care. Adults receiving a diagnosis are enrolled on a post diagnostic course run jointly with a 3rd sector organisation. The materials for this course have been printed and are available for other IAS teams across

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				
														Wales.
AS/AM0 41	Review the quality of our existing assets to ensure they are 'fit for purpose' both now and in the future, which includes identifying options for the way forward in relation to delivery of integrated health and social care services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2019	Green (On track)	Work remains ongoing. The Locality Project Group supports this action and the Head of Adult Services continues to be involved in major developments across health and social care and well positioned to maximise opportunities to accommodate future services and to ensure that assets are used effectively.
AS/AM0 23	Continue to develop Ty Jenner as a Health and Social Care Hub.		✓	✓		✓	✓	✓	✓	✓	SC	March 2019	Green (On track)	Ty Jenner continues to be a hub for health and social care staff, additional health staff will move into these premises in quarter 4. Additionally, work progresses with Barry hospital also supporting health and social care staff. The Locality team continues to consider all assets

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				
														with a view for opportunities for integration across the locality to support the wider agenda for health and social care.

Corporate Risk 12: Unauthorised Deprivation of Liberty Safeguards

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

CR12: Unauthorised Deprivation of Liberty Safeguards

Wales	Prosperous Wales	Wales	Wales	Equal Wales	Cohesive Communities	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 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>
<i>Reputation</i>	Yes	<p>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</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		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> <p>Financial contributions by partners are reviewed at every DOLs Board.</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 users.</p>	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
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				
	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 2019	Green (On track)	The proportion of funding remains a challenge. We continue to have ongoing discussions with the Health Board.
	Undertake review of the business functions of the DOLs Team.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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 2019	Green (On track)	Review work was completed during Quarter 3 and recommendations are being finalised and subject to approval.

Corporate Risk 13: 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.</p> <p>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. <p>A recent review of the contracting practices in the Vale, undertaken by South Wales audit Partnership, has concluded that our systems are robust and our policies and procedures are effective. There are now a good range of controls in place that have addressed the majority of the issues that were originally highlighted in the Internal Audit during 2016. As a result the focus of this risk has now shifted towards the risks associated with managing the quality of services, contractual performance and preventing the failure of commissioned services in order to secure service sustainability.</p>

1.2 Risk Owner		Head of Finance (CL)				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	Yes	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>Failure to comply with Council procedures may result in the Council being in breach of EU tendering thresholds.</p>
Resources	Yes	Services are not provided in the most cost effective or efficient way for the Council.

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>The Council is exposed to possible legal challenge if processes are not completed correctly and contracts are not effectively managed.</p> <p>The ability of the Council to challenge poor performance is limited if performance standards have not been set and agreed to effectively monitor contracts.</p>
Service Delivery and Wellbeing	Yes	<p>Quality of key services could suffer as a result of poor contractual performance.</p> <p>Service performance measures are not formally agreed and reviewed regularly via contract monitoring processes.</p> <p>Closure/failure of commissioned providers and the impact this has on our ability to deliver statutory services.</p>
Reputation	Yes	Failure to ensure service continuity as a result of provider failure.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
Political & Legislative	3 (Probable)	3 (High)	9 (Medium/High)
Resources	3 (Probable)	3 (High)	9 (Medium/High)
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 Review of contracting arrangements undertaken which concluded that robust systems were in place and policies and procedure were up to date and relevant. 	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	•			
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
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											
	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	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					
CP10 FIT/A025	Develop and implement a central contracts register for the Council to enable effective procurement and contract management.	<input checked="" type="checkbox"/>	<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)	Progress has been made towards developing central contracts register this quarter with the development brief for the register having now been agreed. Procurement and ICT are working together to develop the system. This will be prioritised in quarter 4.
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	Green (On track)	Review of quality assurance meetings are underway every 2 months. New approach established on a regional footprint to bring consistency to escalating concerns process. The Escalating Concerns policy is

CR13: Contract Management

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				
														currently under review with regional partners.

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

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











1.3 Risk Categories		
Categories	Yes/No	Definition
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 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Insight, CMT and Cabinet. <ul style="list-style-type: none"> Regional partners have further delayed implementation of WCCIS. 			
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. We are running SWIFT and WCCIS concurrently at present. SWIFT is legacy system is read-only. SWIFT contract has been extended for another year. Performance staff have attended SQL training to understand how to build performance related reports. Performance staff have liaised with other WCCIS sites (local authorities) to access additional support and to gain greater understanding of how to build reports and access data. Appointment of a Senior Systems Support Officer who is responsible for progressing WCCIS project delivery. 	2	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 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>additional layer of protection.</p> <ul style="list-style-type: none"> Representatives Attend Regional and National Operational Meetings to identify and discuss any operational issues with the system and impact on service delivery. Fortnightly operational meetings post-implementation to identify and address system based issues as they arise. Such as changes to social work practice and including the development of new forms etc. Introduced a 'clinic' for users to attend to discuss their forms etc. Dashboards within WCCIS have been developed to enable staff to manage their own data have been completed. 			
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											
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	3	12	2	1	2	2	3	6		
Resources	4	4	16	2	1	2	2	4	8		
Service Delivery & Well-being	4	3	12	2	1	2	2	3	6		
Reputation	4	4	16	2	1	2	2	4	8		
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/A00 9	Continue full implementation of the Welsh Community Care Information System (WCCIS) for the Directorate including a focus on developing the financial aspects of the system.	✓	✓	✓	✓	✓	✓	✓	✓	✓	GJ	March 2019	Green (On track)	Further progress has been made to identify data issues within the system. Additional support has been secured via the Regional Project Team and training sessions for staff have commenced.
	Ensure that Performance staff are competent to extract and report Performance related data to support service managers and report to Welsh Government, CIW etc. including the public for FOI requests	✓	✓	✓	✓	✓	✓	✓	✓	✓	NH	March 2019	Green (On track)	Care Works have provided SQL report training to our performance team on how to develop the reporting function. Further training is planned 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
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Address issues relating to financial functionality of WCCIS.	✓	✓	✓	✓	✓	✓	✓	✓	✓	GJ	March 2019	Green (On track)	The Regional Lead is taking this forward with Care Works. Conversations continue to be progressed and the financial functionality will be piloted from April 2019 where a number of consultation days have been agreed with the provider.
	Focus on minimising duplication through integrated teams accessing two systems.	✓	✓	✓	✓	✓	✓	✓	✓	✓	GJ	Ongoing	Green (Completed) Action completed and will be reflected as a control in the Register.	Legacy system continues to be maintained until issues associated with WCCIS are fully resolved and the financial module is in place.

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				
	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	Green (Completed) Action completed and will be reflected as a control in the Register.	Licences are no longer required.