



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK REGISTER

QUARTER 2 APRIL 2018 - SEPTEMBER 2018



Strong  
Communities  
with a Bright  
Future

## Contents

Table of Contents	Page Number
<b>Risk Definitions Glossary</b>	<b>1</b>
<b>Quarter 2: Corporate Risk Summary Report</b>	<b>2</b>
<b>Risk Register</b>	
<b>CR1: Reshaping Services</b>	<b>6</b>
<b>CR2: Legislative Change and Local Government Reform</b>	<b>33</b>
<b>CR3: School Reorganisation and Investment</b>	<b>57</b>
<b>CR4: Housing Improvement Programme</b>	<b>67</b>
<b>CR5: Waste</b>	<b>83</b>
<b>CR6: Workforce Needs</b>	<b>93</b>
<b>CR7: Information Security</b>	<b>116</b>
<b>CR8: Environmentally Sustainability</b>	<b>130</b>
<b>CR9: Welfare Reform</b>	<b>150</b>
<b>CR10: Public Buildings Compliance</b>	<b>163</b>
<b>CR11: Safeguarding</b>	<b>171</b>
<b>CR12: Integrated Health and Social Care</b>	<b>183</b>
<b>CR13: Unauthorised Deprivation of Liberty Safeguards</b>	<b>198</b>
<b>CR14: Contract Management</b>	<b>206</b>
<b>CR15: Welsh Community Care Information System</b>	<b>212</b>

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

1

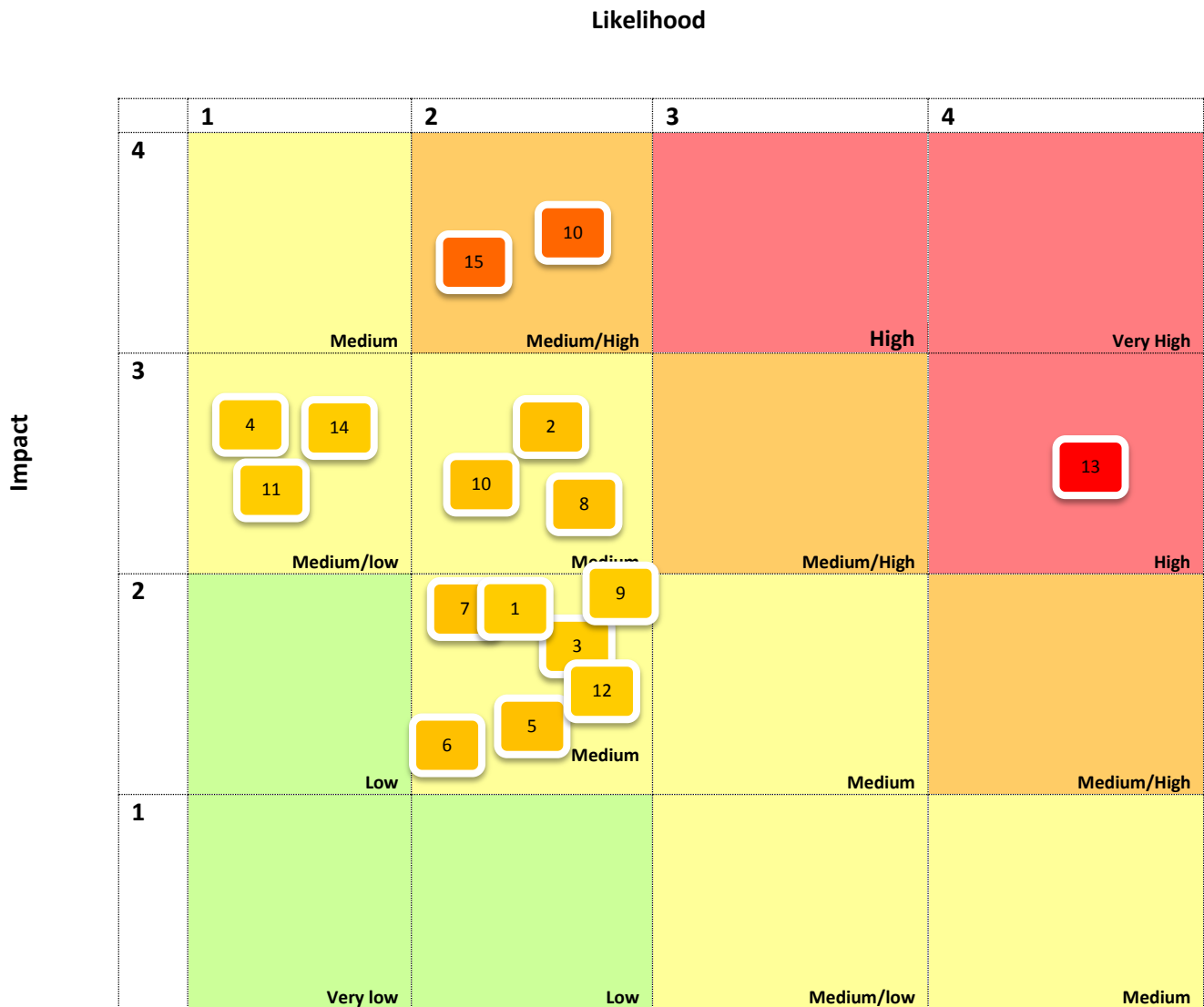
**Direction of travel** compares residual risk score for the current quarter with the previous quarter to indicate whether the risk is increasing/ decreasing or staying static.

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

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

## OVERALL RISK HEAT MAP

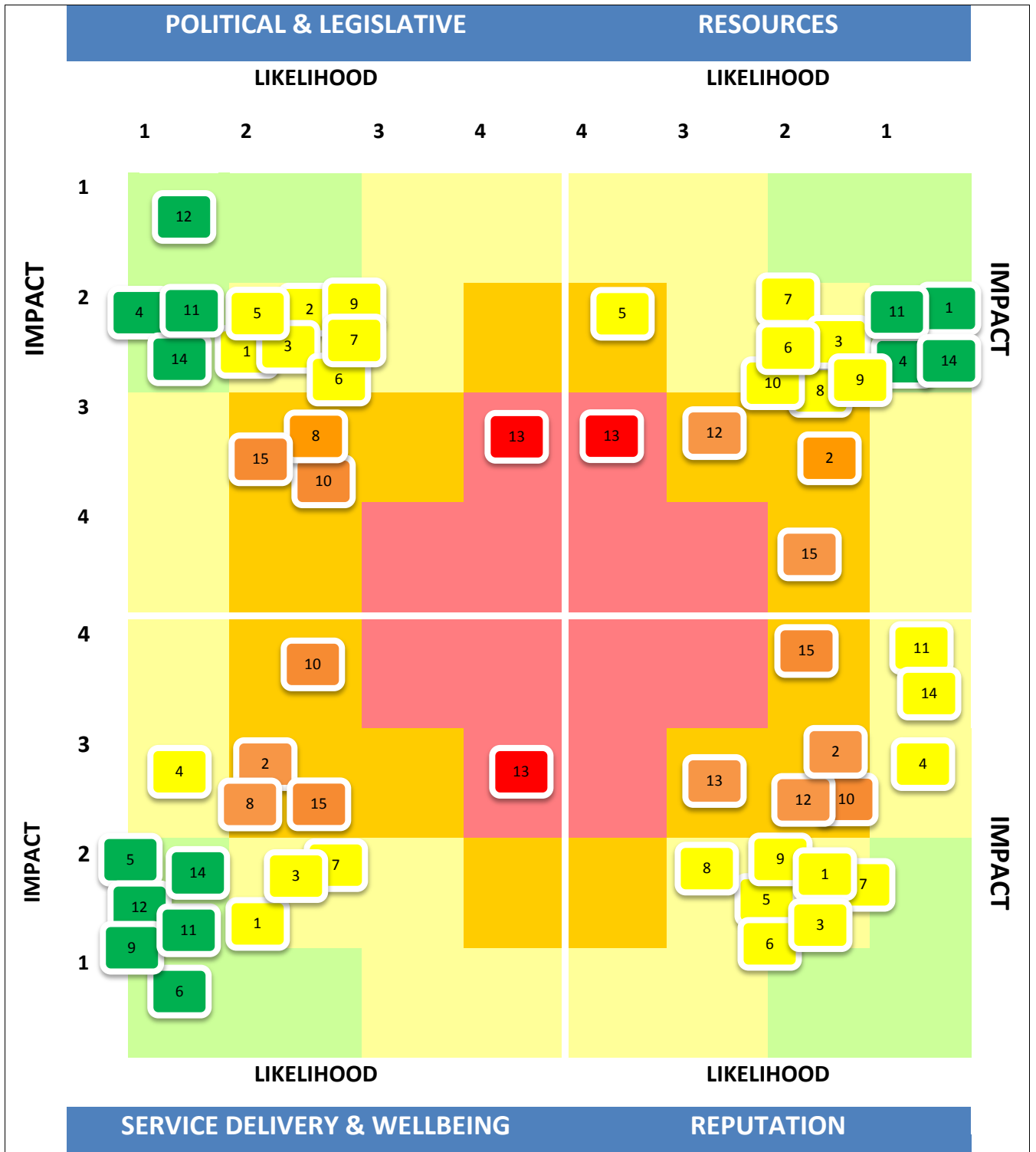
The Heat Map below uses a risk matrix quadrant to plot the residual risk scores (based on likelihood and impact) of each Corporate Risk to provide an illustration of the groupings of risks within the heat map.



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

## THEMATIC RISK HEAT MAP

The Heat Map below uses the risk matrix quadrant to plot the residual risk scores by risk category to provide an indication of the spread of the Corporate Risks across the risk categories and providing an illustration of correlation between risks.



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

## Risk Management Plan- RAG Status Overview

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

Corporate Risk	RAG Status				Total number of Actions	Total number of actions where RAG is applicable.
	Completed (Green)	Green (On track)	Amber (Minor Slippage)	Red (Slippage)		
CR1: Reshaping Services	11% (1)	100% (8)	N/A	N/A	9	9
CR2: Legislative Change & Local Government Reform	6% (1)	78% (14)	N/A	N/A	18	15
CR3: School Reorganisation & Investment	11% (1)	78% (7)	N/A	11% (1)	9	9
CR4: Housing Improvement Programme	7% (1)	71% (10)	N/A	21 (3)	14	14
CR5: Waste	N/A	100% (6)	N/A	N/A	9	6
CR6: Workforce Needs	N/A	100% (12)	N/A	N/A	12	12
CR7: Information Security	N/A	90% (9)	N/A	10% (1)	10	10
CR8: Environmental Sustainability	N/A	69% (11)	6% (1)	25% (4)	16	16
CR9: Welfare Reform	N/A	100% (7)	N/A	N/A	7	7
CR10: Public Building Compliance	25% (1)	75% (3)	N/A	N/A	5	4
CR11: Safeguarding	N/A	100% (6)	N/A	N/A	7	6
CR12: Integrated Health & Social Care	N/A	91% (10)	N/A	N/A	11	10
CR13: Unauthorised Deprivation of Liberty Safeguards (DOLs)	N/A	100% (2)	N/A	N/A	2	2
CR14: Contract Management	N/A	100% (2)	N/A	N/A	2	2
CR15: Welsh Community Care Information System (WCCIS)	N/A	100% (5)	N/A	N/A	5	5
<b>Totals</b>	<b>4% (5)</b>	<b>88% (112)</b>	<b>1% (1)</b>	<b>7% (9)</b>	<b>136</b>	<b>127</b>

## 1 – Risk Overview

### 1.1 Risk Description

**Failure to deliver the Reshaping Services Programme**

There is a risk that the Council fails to deliver the Reshaping Services Programme and therefore does not utilise alternative methods of service delivery and other approaches to mitigate the impact of budget reductions and demand challenges, thereby resulting in further cuts to services significantly impacting their availability and quality.

There is the risk associated with pursuing the Reshaping Services agenda, namely the new skills and capacity required to manage significant change at a time of diminishing resources and using approaches that are relatively new concepts to the Council and its partners.

There is also the risk of a judicial review particularly in relation to Reshaping Services agenda where new models of service delivery are developed. This could have both financial and reputational consequences if a judicial review finds our actions to be unlawful.

### 1.2 Risk Owner

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

### 1.3 Impact on our contribution to the Wellbeing Goals

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

### 1.4 Risk Categories

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



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

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

## 2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Challenge process in place to identify projects.</li> <li>Mixed economy model approach to Reshaping approved.</li> <li>Tranche 3 projects of corporate nature to lessen impact on front line services.</li> <li>Risk management processes embedded in project management to identify and mitigate impacts on service users.</li> <li>Programme documentation makes linkages with Well-being of Future Generations Act.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees.</li> <li>Programme board and manager in place, with project team resources considered for each project.</li> <li>Council's Financial Resilience considered good by WAO.</li> <li>Business cases developed for projects and guidance in place for</li> <li>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.</li> <li>Tranche 3 projects have been identified, with savings included in the revenue proposals for the budgets of 2018/19 and 2019/20. Work is underway with the relevant project sponsors to put processes for delivery in place for 2018/19.</li> <li>The Digital Strategy 2017-2020 was considered by Cabinet at the meeting of 31st July 2017. The Digital Strategy sets out the strategic direction for the development of service and outlines new ways of working for our staff and how we work with partners that embraces new digital technologies to improve our service to customers whilst reducing costs.</li> <li>A project to implement bin collection reminder service has been initiated using existing technology. These services will be implemented in 2018/19.</li> <li>A broader review to improve online processes from a customer view has been started. This involves hosting of dedicated digital days with services to identify</li> </ul>	3	2	6











## 2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>improvements and potential efficiencies. This work will continue forward into 2018/19.</p> <ul style="list-style-type: none"> <li>As part of the Tranche 3 Procurement project, Third Party Spend targets have been established for service areas as part of the Council's Final Revenue Budget Proposals for 2018/19. Guidance will be provided during Q1 of the new year and monitoring arrangements are being put in place.</li> <li>The income generation and commercial opportunities project team and project board continue to identify opportunities for income generation and work is underway on a range of proposals which include identifying resource implications, including training, capacity and support needs. For example, work to support the project team developing the Catering Company proposals includes identifying the required training and skills support for the team.</li> <li>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</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Business cases consider non-financial implications of any proposed changes.</li> <li>Equality Impact Assessments embedded within the overall programme's management approach.</li> <li>Communications and engagement activities inform project development.</li> <li>A review of the bulky collections process and online booking solutions has been undertaken; a new process is expected to be launched in 2018/19 with a significantly improved customer experience.</li> <li>CAT guidance has been produced and implemented. Support continues to be given to groups who approach the Council with applications for Community Asset Transfers (CATs). A review of the way in which the CAT process works has commenced with a view to streamlining this where possible for both applicants and the Council.</li> </ul>	2	2	4

## 2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Risk management contained within project documentation.</li> <li>• Regular updates to Cabinet and Programme Board on status of the programme.</li> <li>• Consultation on the Council's budget annually includes questions relating to the approach being taken on Reshaping Services.</li> <li>• Programme Board includes representatives of partners (Voluntary Sector and Town &amp; Community Councils)</li> <li>• Communications campaign to support the Strong Communities Grant Fund where there is a sound business case for the Council to transfer assets to others.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## 2.3 Residual Risk Scoring & Direction of Travel

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

### 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	<b>Green (On track)</b>	The Reshaping Services Programme Board has continued to meet to monitor the progress of individual projects and overall programme activity. Work continues to commence on the process of identifying projects to form part of tranche 4 (2019/20 and 2020/21) of the programme via a process of services submitting 'baseline assessment' documents to identify opportunities. Overall our projects associated with delivery of the Reshaping Services Programme have progressed well 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 (Date)	
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term					
															<p>In relation to ICF funding further proposals have been developed for specifically for Dementia services, further development has been included with the Transformation bid with a specific project on improving the pathway for patients presenting at MEAU based at Llandough Hospital to be discharged via the reablement service in a timely way. During the quarter a bid was also put forward for Winter pressures monies through the UHB.</p> <p>Redecoration work at Rhoose Road has been completed and</p>

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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>a mini-tender was completed and a support provider identified. Families of the two people identified to bring back to the Vale have appointed solicitors which is requiring more time to address and work through the process.</p> <p>With regard to setting up a new Local Authority Trading Company for catering services, the focus this quarter has been on drawing up a draft specification for each service area that the LATC will purchase. There has been a meeting with 'Wonder' a hybrid agency for website build and marketing &amp;</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>branding ideas. There has been a visit to West Bromwich to view the Air Stream Food Trailer to ensure that the public trading arm of the company can commence in Spring/Summer of 2019. An update of the Catering Report will be considered at Scrutiny on 16 October 2018.</p> <p>Within Building Services, alternative income streams are being investigated to provide additional sources of income. These have included carpet cleaning, a review of supplies and materials used for school cleansing. Additionally, funding for</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				
														corporate compliance is being reviewed to support the team’s long term viability. Within Neighbourhood Services the Reshaping agenda has focused on income generation and asset transfer in order to minimise/recover costs associated with services. For example, the Draft Parking Strategy has been subject to a consultation exercise and is due to be completed quarter 3 / early quarter 4. Meetings continue to be held with Single Use Leisure Facility clubs and further progress will be made for the remaining two quarters with a review to

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>cost recovery for such facilities. A report in quarter 3 is due to be considered on passenger transport policies. Officer discussions have commenced on service standards across a number of function with a view to saving money.</p> <p>An EOTAS Strategy is now in place and an action plan produced.</p>
CP1 PD/F040  (Digital: FIT/IT005, IT/IT019)	Develop and deliver Tranche 3 projects for Digital Vale, Third Party Spend, Income Generation and Commercial Opportunities,	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	<b>Green (On track)</b>	Good progress has been made in relation to delivering Tranche 3 projects associated with Digital Vale, Income Generation and Establishment Review work.

### 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				
FIT/IT007, FIT/F009, FIT/IT010 (IT/IT022), FIT/IT011, FIT/IT012)  (Third Party: IFT/F006)  Income:  PD/F035) (DS/F028, DS/F029, DS/F030) (FIT/F008) (HS/A076) (RP/F018)	Establishment Review and service projects for the Reshaping Services Programme and seek Cabinet approval for business cases as required.												<p><b>Digital Vale:</b> A number of Digital Strategy projects have been initiated this quarter, such as the website refresh, webforms / Council app implementations, Mayrise / YOTA implementations, online payments, Council Tax and benefits online platform, etc. The new agile project management methodology 'SCRUM' is being used to manage the Office 365 implementation.</p> <p>The Office 365 roll-out has started and the identification of systems that could be decommissioned is underway. A wider software applications consolidation exercise is also</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				
Establishment: (SL/F026, SL/F039) (HS/W028)														<p>underway which includes the major legacy applications and Oracle</p> <p>In relation to moving towards implementing a cloud-based computing and storage solution, a tender process is underway and tenders are currently being evaluated.</p> <p>The network redesign includes a second internet connection. The associated network hardware has now been installed and will be commissioned / switched over in Q3 2018/19.</p> <p>FIT/IT011 – GREEN - E-citizen</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>allows residents to view their council tax, benefits or business rates online. The Revenues section are continuing to promote the roll out of E-Citizen but sign up from the customer the remains low. During quarter 2 a meeting with the software supplier was arranged where methods for increasing the ways of take-up were discussed.</p> <p><b>Third party:</b></p> <p>Savings targets have been identified and are reflected in all directorate estimates for the year in line with the</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>ongoing Reshaping Services Programme. We will continue to monitor progress against these targets on a quarterly basis.</p> <p><b>Income Generation:</b> During the quarter we have made good progress with exploring and developing income Work is ongoing to create an integrated service with UHB which has the potential to generate income over expenditure by expanding the range of primary care services provided. Work is also underway to procure a shared contact centre platform with Wrexham council, creating the</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>opportunity to for C1V to provide support services such as resource planning and quality assurance monitoring for Wrexham council.</p> <p>Work has progressed with the development of a draft Environmental Information Request Charging Policy has been developed. This policy will be considered by Cabinet on 1st October, 2018 with a view to the draft Policy being implemented from 12th October, 2018.</p> <p>Officer meetings have been held during this quarter to review any impacts that may</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>arise from the new ceremony fees being introduced. A further report reviewing ceremony fees is being developed and will be considered by the Cabinet on 15th October, 2018.</p> <p><b>Establishment:</b> During the quarter there has been there are number of service areas that are subject to an establishment review and associated restructuring. During quarter 2 these areas related to School Organisation and Access where some initial meetings and workforce remodelling has been undertaken. In relation 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				
														Building Services, the related business case and team structure has been developed and is now ready for consultation. Initial feedback has been received which will result in some areas of the proposed structure being reviewed to provide improved working with other teams.
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	<b>Green (On track)</b>	Programme support continues to be provided to these work streams. Work in relation to the Charter has continued. The Charter working group has met this quarter to review the current Charter. As a result of these meetings an update on 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				
	Digital Vale.													discussions of the working group and a high level draft Charter will now be considered by the Community Liaison Committee before forwarding to all Town and Community Councils (TCCs) for their consideration. A final revised charter will then be considered by the Community Liaison Committee (CLC) 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				
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	<b>Green (On track)</b>	<p>There is a designated HR Business Partner to support each change process. Managing Change support is given across a range of Reshaping Projects where the focus has been on Organisational Development.</p> <p>Leadership Café continues to strengthen with regular monthly events planned. T There also continues to be a focus on reframing the Learning and Development agenda and preparations for the 2018 Staff Survey and the fifth Management Development session in October 2018.</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	<b>Green (On Track)</b>	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 is 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	<b>Green (On track)</b>	The service continues 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.													<p>CAT. Work has recently concluded to evaluate a business case for the Western Vale Integrated Children's Centre, for example. The report to Cabinet on town and community council assets/services proposed some changes that will now be reflected in the revised CAT guidance being compiled currently.</p> <p>The review of the Community Asset Transfer (CAT) Guidance is progressing well. The work is now pending the outcome of discussions regarding the Reshaping services arrangements for the</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				
														operation and transfer of assets or services to Town/Community Councils in the Vale of Glamorgan and the Reshaping Services: A Sustainable Approach to the Provision of Single User Outdoor Sports facilities. Cabinet considered the references on 3rd September 2018 and a report from the CAT group will now be presented to Insight Board and Cabinet before the end of December 2018.
CP1 PD/AM047 (FIT/AM003,	Deliver the final phases of the Space Project to improve efficiency in the way services operate and		✓	✓		✓				✓	TB (CL)	March 2019	<b>Green (On track)</b>	The Head of Finance, Operational Manager for Property and Operational

### 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				
FIT/AM004 )	deliver financial savings.													Manager for Performance and Policy have recently met to discuss options for progressing SPACE 3 which is the next phase of the Space project. Certain priority actions are now being progressed following that meeting.
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	<b>Green (On track)</b>	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 2 in relation to key projects within the Council's reshaping



### 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				
														services programme timetable, including ongoing and support to reshaping catering – implementation, and income generation. The Monitoring Officer is a member the Reshaping Services Board and the Income Generation and Commercial Opportunities Board.
CP1 HR/C036	Continue to explore collaborative working arrangements to share HR services with neighbouring organisations to maximise resources and increase service resilience.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	HR HoS	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register in the next quarterly	A meeting was held with officers representing Bridgend CBC during Qtr 2 to explore extending potential H & S collaboration to include HR. Bridgend have subsequently withdrawn from the exploratory discussions in respect of both HR and H & S. The initiative is therefore concluded.

**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				
													update.	

## 1 – Risk Overview

### 1.1 Risk Description

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

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

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

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

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

There continues to be a risk in relation to the proposed new Local Government Bill

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

Whilst the Welsh Government has indicated that merger arrangements are not to be progressed for all local authorities, there is uncertainty relating to the reform agenda. A working group has been established by WG and are currently working on a number of key themes, including collaboration and shared services. 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 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,

	<p>the Minister for Lifelong Learning and Welsh Language announced a £20million funding package .The overall risk associated with this new legislation, relates to our capacity and capability to effectively meet the Additional Learning Needs of our learners from birth to 25.This is against a backdrop of growing demand for ALN provision due to increasing numbers of children and young people presenting with increasingly more complex needs. This is likely to impact on our ability to meet those needs in line with requirements of the legislation at a time when our budgets are already under pressure.</p>
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<b>1.2 Risk Owner</b>	<b>Corporate Management Team</b>
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<b>1.3 Impact on our contribution to the Wellbeing Goals</b>
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A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	Yes	Yes	Yes	Yes	Yes	Yes

<b>1.4 Risk Categories</b>
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Categories	Yes/No	Definition
<b><i>Political &amp; Legislative</i></b>	Yes	<p>Political and legislative repercussions of failing to meet the requirements of the Social Services Wellbeing Act, Wellbeing of Future Generations Act and the proposed new Local Government Bill and Additional Learning Needs and Education Tribunal Act could lead to litigation, fines and/or political instability.</p> <p>Failure to fully embrace and participate in discussions/collaborative opportunities as a result of the proposed new Local Government Bill could have detrimental impact on political leadership of the Council.</p> <p>Failure to represent the Vale of Glamorgan Council’s position in relation to the Local Government Reform agenda, as a local authority in its own right providing services to our residents.</p>
<b><i>Resources</i></b>	Yes	<p>Insufficient funding to ensure that we can meet our legislative requirements associated with the Social Services Wellbeing Act, Wellbeing of Future Generations Act, and the proposed new Local Government Bill.</p> <p>The financial management of responding to and resourcing legislative changes/Local Government Reform across a breadth of services and the impact of any reform will be a major undertaking, and developing</p>

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		terms of their responsibilities and duties under the Act.
<b>Reputation</b>	Yes	<p>Effective communication with staff and with our customers will be essential during a time of significant organisational change.</p> <p>Failure to communicate effectively could undermine the trust of employees, external stakeholders and our customers and poorly orchestrated delivery of organisational reform and changes associated with legislative change.</p> <p>Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity. Lack of credibility and potential criticism from our external regulators.</p> <p>Reputational damage associated with non-compliance with the Additional Learning Needs Education Tribunal Act and the negative criticism this could attract from our Regulators (Estyn).</p>

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

## 2.2 Controlling Inherent Risk

Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments relating to legislative change.</li> <li>Council Leader and Managing Director are members of key national bodies such as the WLGA, SOLACE Wales and the City Deal arrangements.</li> <li>Insight Group oversees the coordination of integrated planning activity for the Council in terms of delivering against the sustainable development principle.</li> <li>The Public Service Board has adopted the plans and structures of the former LSB and will continue to deliver the identified priorities until the Wellbeing Plan is published.</li> <li>Work stream groups for the implementation of the Social Services Wellbeing Act are fully operational.</li> <li>Work closely with the Consortium with regular progress updates and reports. There are four Consortium Transformation Leads across the region that meet monthly. The local lead for the Vale of Glamorgan reports back to the Director of Education who is accountable for delivery of the ALN implementation plan.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Worked with the PSB to develop a Wellbeing Assessment that has identified community needs alongside community assets in the form of a Well-being Plan.</li> <li>Raised awareness amongst staff regarding the requirements and implementation of the Social Services Wellbeing Act and identify opportunities to up skill staff across the social care sector to ensure they are able to meet the demands of the Act. A training programme is in place that appropriately responds to the Division's training needs identified in relation to the Act.</li> <li>Continue to support the ongoing development of the DEWIS information</li> </ul>	2	1	2



## 2.2 Controlling Inherent Risk

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

## 2.2 Controlling Inherent Risk

Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Implementation of the Social Services Wellbeing (Wales) Act Action Plan.</li> <li>Continue to pursue collaborative opportunities with partners in neighbouring organisations.</li> <li>Worked with the PSB to develop a Wellbeing Assessment that has identified community needs alongside community assets.</li> <li>The Well-being Plan has been approved by the Public Service Board (PSB) and by the relevant boards of the statutory partners. The Plan was informed by the detailed Well-being Assessment published in 2017 and sets out how partners will work together to improve well-being across the Vale.</li> <li>We have reviewed our Well-being objectives as part of the Council's annual self-assessment process to ensure the well-being objectives remain relevant in contributing to the Council delivering our corporate priorities and contributing to the national well-being goals</li> <li>Continued support the ongoing development of the DEWIS information portal.</li> <li>Implemented new assessment processes to ensure compliance with the requirements of the Social Services Wellbeing Act.</li> <li>Processes at the Customer Contact Centre to support the provision of an Advice and Assistance Line have been reviewed and updated. There is also ongoing review of our Quality Assurance and Performance Management procedures that is now business as usual.</li> <li>The Welsh Community Care and Information System was launched in November 2017 to enable the safe sharing of information and deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act.</li> <li>We have successfully implemented transition services underpinned by a</li> </ul>	2	1	2

## 2.2 Controlling Inherent Risk

Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Transition Protocol, which supports best practice across agencies.</p> <ul style="list-style-type: none"> <li>Delivered a successful Outcome Focused Case Management Pilot called 'Your Choice'. This approach has received significant attention from external organisations interested in replicating the model to demonstrate the measurement of outcomes for service users.</li> <li>The Social Value Forum is in place and being supported through the Integrated Health and Social Care Partnership. This Forum will develop in maturity and is expected to shape future service delivery through working with statutory partners to meet the needs of the Citizens of the Region.</li> <li>The Council's Duty to Report Safeguarding Concerns procedure is in place to provide employees with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V.</li> <li>We have commissioned a Direct Family Support service to provide contact and support for children with additional needs and their families.</li> <li>A three year ALN Implementation Plan for the Central South Consortium Region was agreed in August 2018. Delivery of the Implementation Plan is monitored by the transformational lead for the Vale of Glamorgan with progress reported back to the Director of Education.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Comprehensive consultation and engagement via the 'Let's Talk' campaign with citizens in order to inform the production of a Population Needs Assessment in relation to the Social Services Wellbeing Act and the development of the Wellbeing Assessment/Well-being Plan as part of the Wellbeing of Future Generations Act.</li> <li>A communication strategy in relation to the ALN Act has been developed and</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	• Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	agreed.			
<b>Overall Effectiveness of Controls Score</b>		<b>2</b>	<b>1</b>	<b>2</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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

**3. Risk Management Plan – Mitigating Actions**

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	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	<b>Not applicable</b>	Awaiting update for Quarter 2 period.
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	<b>Green (On track)</b>	The review of current processes is underway, taking into account the new Welsh Government guidance. The first two chapters are now in a draft form and open to consultation. This work will help assure staff to feel confident in using procedures and ensure effective compliance with our Safeguarding responsibilities under the Act.

**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 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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	<b>Green (On Track)</b>	Both ICF and DTG funding has been successfully utilized to established small community groups. The summary report was compiled and another round of applications will be considered in November.
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	<b>Green (On track)</b>	The regional work stream continues to meet and is working well. A group of people have been identified through the qualitative performance measures to work with us on our pilot ‘Strengthening citizen

**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				
														engagement in the Annual Council Reporting Framework (ACRF) challenge process for Cardiff and Vale’ to inform best practice in this area. We are working with an organisation called Tempo (formerly Spice), who are supporting us with this project, encouraging participation by giving citizens the opportunity to earn Time Credits.
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	✓	✓	✓	✓	✓	✓	✓	✓	✓	GJ	March 2019	<b>Green (On Track)</b>	Regional work is now in place with the Reflect Project and Adult Advocacy Service. The Fee and Contracting Group continue



**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				
	of the Social Services and Well-being (Wales) Act.													to meet regularly to discuss and identify joint working possibilities.
AH7 RM/A007	Continue the work of the Regional Steering Group and the long term commitment of the previous 'Delivering Transformation Grant' associated with delivery of the Social Services legislation.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2019	<b>Green (On Track)</b>	The Regional Steering Group continues to work well. The associated work streams are in place and meet on a regular basis. The work streams are led by senior member of the management team and each has developed a project brief which outlines the key actions they are required to deliver on. Colleagues from across the regions are working together to ensure they are achieved.

**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/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	<b>Green (On Track)</b>	The region is supporting Welsh Government in the development of a new Performance and Review Framework. Heads of Service are participating in workshops which give them the opportunity to shape the detail of the new Framework, and the Regional Coordinator for Sustainable Social Services is representing the region on the Quantitative Writing group, providing technical expertise and developing new requirements for the quantitative data and accompanying guidance.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 CS/A024	Continue to work with Cardiff Council and Cardiff and Vale University Health Board to increase the transparency of the continuing health care process, as it relates to children and young people and seek local authority membership of the panel.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	RE	March 2019	<b>Not applicable</b>	Awaiting update for Quarter 2 period.
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	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	RE	March 2019	<b>Not applicable</b>	Awaiting update for Quarter 2 period.

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				
	placements.													
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	<b>Green (On Track)</b>	Ongoing work to undertake this and ensure continued compliance, but ongoing exploration to improve access to alternative digital channels.
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	<b>Green (On Track)</b>	A Dewis Project Manager has been recruited during the quarter and is working together with the Dewis Project Support Assistant to lead on the promotion of the resource directory across the region. Dewis continues to be developed as a source of information provision, advice

**3. Risk Management Plan – Mitigating Actions**

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														and assistance with around 1400 resources across the region. It can be accessed at <a href="https://www.dewis.wales/home">https://www.dewis.wales/home</a>
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	<b>Green (On track)</b>	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 meetings where held in September 2018 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 includes a review of options to improve the IAA process.
CP4 PD/A05 2	Work with partners to deliver the four Well-being Objectives in 'Our Vale Our Future' the Public Service Board's Well-being Plan for 2018-23.	☑	☑	☑	☑	☑	☑	☑	☑	☑	HI	March 2019	<b>Green (On track)</b>	The procurement of the shared contact centre technology framework remains ongoing, progress has been made this quarter with the tender being advertised in August 2018. Implementation is expected to be completed in February 2019. Integrated eforms are expected to be implemented in January 2019. Both of these two projects will help improve demand and

**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				
														customer management.
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	<b>Green (On track)</b>	The pilot work has concluded within the first quarter of this year and the service contributed to the national conference organised by the WAO. Further opportunities to contribute to the developing audit approach will be considered as they arise. During November 2018 the first WAO audit around the Act will commence on a specific element of the Council's Corporate Plan.

**3. Risk Management Plan – Mitigating Actions**

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
CP6 PD/A06 4	Develop and publish an Annual Report that incorporates both an Annual Well-being Report as required by the Well-being of Future Generations (Wales) Act and a performance assessment as required by the Local Government Measure, including a review of all regulatory recommendations.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register in the next quarterly	This work has been completed, with the report being presented to Scrutiny Committees, Cabinet and Council on target.
AC7 AA/A01 1	Deliver the Welsh Government’s priorities for 2018/19 in relation to the Additional Learning Needs Act and monitor the impact.(Central South	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	<b>Green (On Track)</b>	A Central South Implementation plan has been agreed and 7 work streams developed to cover the 8 priorities identified to implement the Bill. A project



**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				
	Regional Implementation Plan)													coordinator has been appointed to coordinate the LA's and the work streams. Training and funding will be given to schools in facilitate the use of the readiness tools in schools.
AC7 AA/A01 2	Further develop tracking systems for pupils with ALN and monitor impact.	☑	☑	☑	☑	☑			☑	☑	SR	March 2019	<b>Green (On Track)</b>	ONE is in use and provision is being recorded and tracked in most cases. Outreach needs to be targeted. Impact has been recorded on individual SERs and questionnaires are being developed to track effective provision with different stakeholders. Caseloads are beginning to be consistently

**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				
														identified using agreed set criteria.
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.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SR	March 2019	<b>Green (On Track)</b>	Met with the existing EY coordinator and ALN teams to identify existing procedures. Work stream 4 identified as part of the CSC Implementation plan, priority is allocated to Merthyr, regional working group being set up. Meeting set up with disability futures to map out joint action plan with Cardiff.

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 21<sup>st</sup> Century Schools Investment Programme as well as smaller scale asset renewal schemes. It also includes school reorganisation as the reduction of surplus places and condition of school buildings are the primary criteria for securing 21<sup>st</sup> Century Schools grant funding. We anticipate further demand for school places emerging as a result of new and expanding housing developments. Whilst the requirement for increased capacity in certain areas has been identified, in many cases there will be insufficient s106 funding to cover costs placing increased pressure on available funding.</p> <p>There is a risk associated with securing the necessary capital required to fund major investment projects as well as addressing building conditions across all Vale schools. The lack of available funding to address all requirements will result in buildings deteriorating further giving rise to risks associated with health and safety, DDA, business continuity and sustainability.</p> <p>Failure to implement an appropriate school re-organisation programme could result in the Vale not achieving its surplus place targets of 10.19% in the primary sector and 12.9% in the secondary sector by 2016 as agreed with the Minister for Education and Skills. Failure to establish sufficient Welsh medium places in both the primary and secondary sector would impact on the Vale's ability in contributing to the Welsh Governments plan of one million Welsh speakers by 2050, and commitments required as part of the Council's Welsh in Education Strategic Plan, and could directly impact on the Vale's ability to secure 21<sup>st</sup> century schools funding in the future.</p>

1.2 Risk Owner		<b>Head of Strategy, Community Learning and Resources (TB)</b>				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	No	No	Yes	No	Yes

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

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Resources</b>	Yes	<p>Failure to deliver the programme in line with plans approved by Welsh Government could impact on the Council's success in securing grant funding in future bands of the 21<sup>st</sup> Century Schools Programme. 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 21<sup>st</sup> Century Schools is that all grant funded schemes should meet BREEAM Excellent which addresses wide-ranging environmental and sustainability issues. Failure to deliver schemes would impact adversely on a range of factors including energy efficiency, carbon emissions, minimising waste and improvements to community involvement and social inclusion.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to implement an appropriate school reorganisation programme as a result of not achieving our surplus place target. Impact of new housing developments is likely to place a significant pressure on school place planning. Insufficient capital funding for building works could lead to further deterioration resulting in implications for health and safety. Funding for adaptations to schools under Disability Discrimination Act is limited and could result in a pupil not being able to attend the school of choice or not being able to access facilities used by other pupils. Failure to meet demand for Welsh medium education.</p> <p>Impact of a poor learning environment on a pupil's learning experience if we fail to meet the 21<sup>st</sup> Century Schools standards.</p>
<b>Reputation</b>	Yes	<p>Failing to provide the right type and number of school places in the right areas could result in the Council being in breach of statutory requirements which would impact on its reputation. Similarly, closure of schools as a result of building failure would attract negative publicity and criticism from the community and regulators.</p>











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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Awareness raising session held with members, Insight board and CMT on the issues associated with the 21<sup>st</sup> Century Schools Programme with the need to release funding through the rationalisation of places and the need to generate capital receipts.</li> <li>Comprehensive governance structures in place to effectively monitor and manage delivery of the programme such as Programme Officers and a Programme Board including the Strategic Investment Programme Chief Officers Group (strategic), the Strategic Investment Project Board (operational) and engagement with Welsh Governments Gateway Review programme to identify opportunities and risks with key stakeholders .</li> <li>Strategy to support Welsh medium education, Welsh language promotion and contribute to Welsh Governments target of one million</li> </ul>	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).			
<b>Resources</b>	<ul style="list-style-type: none"> <li>Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme.</li> <li>Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects.</li> <li>We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements.</li> <li>The Directorate's Band B Strategic Outline Programme with Band B proposals was submitted to Welsh Government on 31<sup>st</sup> July 2017 following approval by Cabinet.</li> <li>The new staffing structures and their implementation for both new schools have now been completed and all arrangements are firmly on track for a successful opening in Quarter 2.</li> </ul>	2	2	4
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Actively participate in the Council's Carbon Management Group.</li> <li>Work closely with the Planning Officers to identify potential educational demand as a result of new housing developments in order to maximise S106 funding.</li> <li>Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school).</li> <li>Colcot Primary School Barry – Refurbishment (fully funded by Local Authority)</li> <li>Romilly Primary School, Barry – new foundation phase block. (Band A)</li> <li>New 60 place part-time Fairfield Nursery opened.</li> <li>Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now</li> </ul>	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"> <li>School Development needs assessments will continue to inform the new school modernisation programme. This work will require liaison between School Organisation and the newly established 21st Century Schools team looking at need as it relates to place planning up to 2026.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Survey demand for school places in line with the Council's Welsh Education Strategic Plan.</li> <li>Periodic review rolling 25 year plan for schools asset renewal.</li> <li>Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity.</li> <li>Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## School Reorganisation

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



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/A017	Implementation of the Proposal to transform secondary education in Barry by creating two new mixed sex schools on the existing sites of Bryn Hafren and Barry Comprehensive schools.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB/LL/JS	September 2018	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register in the next quarterly update.	Both schools opened successfully on 1 September 2018.
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	<b>Red (Slipped)</b>	Negotiations remain ongoing.

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				
AC10 SL/A02 3	Review current methodology of school place planning		✓	✓	✓	✓	✓	✓	✓	✓	TB/LL	March 2019	<b>Green (On track)</b>	Initial data collection has been identified, recruitment of key posts has now been completed which will allow the School Organisation team to focus on this priority in quarter 3 and 4.
AC8 SL/A03 0	Prepare for all SIP projects identified for Band B of the 21 <sup>st</sup> Century Schools Programme.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	March 2019	<b>Green (On track)</b>	The proposal for primary provision in the Western Vale will be presented to Cabinet for determination in quarter 3. Preparation for the next Band B projects is also progressing to plan with Cabinet Reports also planned in Quarter 3.
AC8 SL/A03	Investigate alternative learning environments for	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB/LL/JS	March 2019	<b>Green (On track)</b>	Further feasibility investigations have taken place at various sites

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	the Pupil Referral Unit (PRU)													this quarter and options will be presented in quarter 3 and 4.
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	<b>Green (On track)</b>	Approval of the Business Cases for the three Barry Comprehensive Schools was approved by the Welsh Government in August and by Cabinet in October 2018.
AC12 SL/A03 3	Implement changes to the WESP in line with forthcoming legislation from Welsh Government.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB/LL/S G	March 2019	<b>Green (On track)</b>	First engagement meeting has taken place and terms of reference agreed. Next WESP meeting scheduled to take place in Quarter 3.
SL/C05 7	Consult with key stakeholders on school admission arrangements for	✓	✓	✓	✓		✓	✓		✓	TB	March 2019	<b>Green (On track)</b>	Four schools have agreed to be part of the pilot for reception 2019 in order to inform any

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				
	the academic year 2018/19.													potential policy or process change in future years. The software changes have been prioritised in order to ensure that parent's experience of applying to aided school governing bodies via the online process is positive.
SL/C058	Consult with key stakeholders on various large scale school organisation projects as part of Band B of the 21 <sup>st</sup> Century Schools Programme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB	March 2019	<b>Green (On track)</b>	The report on Primary provision in the Western Vale was considered at Cabinet on 15 October and has progressed to the Statutory notice stage.

**Corporate Risk 4: Home Improvement Programme**

**1 – Risk Overview**

**1.1 Risk Description**

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

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

The Council commenced its Housing Improvement Programme to meet WHQS in September 2012 and has agreed with the Welsh Government that compliance will be achieved by March 2018 (5½ year programme). External contractors were appointed at that time to deliver the programme via a framework contract. The Council's internal contractor also delivered a proportion of the works. All qualifying works have now been completed and the Council has entered the Maintenance phase of the standard.

The Welsh Government has advised that now that the WHQS standards have been met by the local authority, the risk of failing the standard has been removed. The focus going forward is our ability to maintain the quality of our housing stock in line with the WHQS requirements.

The overarching risk is failure to meet the requirements of the Housing Act and maintain WHQS standards. The primary consequence of this could result in the withdrawal of Welsh Government funds, but there are also political, legislative and reputational consequences for the Council.

Delays in maintaining the Wales Housing Quality Standard works could be the result of:

- Having a number of "Hard to Treat" properties across the Vale that require over and above the normal refurbishment requirements leading to additional expenditure;
- Poor performance and contractual compliance by external contractors impacting on the quality of work undertaken or the availability of suitably experienced contracting staff to undertake aspects of the improvement work needed;
- Tenants refusing the works/access to their properties; and
- Insufficient budget available in year to pay for work for properties requiring work which could impact on priorities in future years.

**1.2 Risk Owner**

**Head of Housing and Building Services (MI)**

**1.3 Alignment with Well-being Goals**

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

<b>1.3 Risk Categories</b>		
<b>Categories</b>	<b>Yes/No</b>	<b>Definition</b>
<b><i>Political &amp; Legislative</i></b>	Yes	<p>Failure to comply with requirements of the Wales Housing Act 2014 to maintain WHQS standards within Welsh Government requirements could result in litigation.</p> <p>Failure to improve the quality of housing to make them safer could result in a breach of duties under the Housing Health and Safety ratings system.</p>
<b><i>Resources</i></b>	Yes	<p>Failure to maintain WHQS could result a withdrawal of the Capital Grant.</p> <p>Failure to effectively project manage the delivery of this maintenance programme through our existing resources resulting in overall delays to the programme.</p> <p>Failure to adopt a strategic approach to the asset management of the Council's housing management stock.</p> <p>Insufficient current budget available in year to pay for work on additional properties that require work, could result in the re-profiling of our budget priorities in future years.</p> <p>Risk of financial dispute with the contractors regarding the work they have undertaken leading to our inability to meet the final settlement figure. Such disputes could lead to delays in notifying leaseholders of their costs of contribution.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Failure to effectively communicate and engage with service users/tenants regarding the improvement works required and the timescales involved, resulting in poor buy in and support from local communities.</p> <p>The programme fails to safeguard the wellbeing of its tenants and provide good quality housing that meets the diverse needs of the community.</p> <p>Poor quality completion of works jeopardising the safety of tenants in properties.</p> <p>Not improving the Council's housing stock to create modern, energy efficient homes for the Vale's tenants Inability to maximise the supply of Council Housing from new build developments.</p>
<b><i>Reputation</i></b>	Yes	<p>Reputational damage of poor performance by contractors and requiring leaseholders to contribute to improvement works. Failure to deliver the programme of works to the standards required could attract negative publicity and criticism from tenants and regulators.</p>











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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Project governance structure in place including the Housing Improvement Group, the Quality and Design Forum, the Hard to Treat Working Group that produces regular update reports to the Homes and Safe Communities Committee and Cabinet.</li> <li>Annual report submitted to Welsh Government on the progress with the Housing Improvement Programme.</li> <li>Development Board has been established chaired by the Leader that has a focus on maximising the supply of Council Housing from new build developments.</li> </ul>	3	2	6
<b>Resources</b>	<ul style="list-style-type: none"> <li>Adopted a project management approach to delivering the improvement works with an Investment Plan and Asset Management Plan in place.</li> <li>Undertaken a restructure of the service to ensure that we have the correct staff skills and expertise in place to manage delivery of the housing improvement programme.</li> <li>Produced a Stock Condition report and undertaken a Surplus Land Review to assess the current condition of properties and opportunities that surplus land presents.</li> </ul>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Ongoing stock condition surveys.</li> <li>Asset management database, Keystone, in place to map investment levels/ compliance on a property by property basis.</li> <li>Produced a Housing Business Plan that outlines the a detailed financial forecast in the form of a 30year model that takes into account all assets within the Council's Housing Revenue Account (HRA).</li> <li>Appointment of additional staff such as a Housing Improvement Supervisor.</li> <li>A £15million programme of work has been budgeted.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>WHQS Improvement Programme completed by the end of March 2018. Focus going forward will be on maintenance of properties to WHQS standards.</li> <li>Asset management database, Keystone, in place to map investment levels/ compliance on a property by property basis.</li> <li>Robust approach to performance management in place.</li> <li>Housing estate grading methodology has been finalised, testing has been completed, staff have been trained and the new grading system has gone live.</li> <li>Effectively embedded principles and procedures within the service to minimise the length of time it takes to let empty properties.</li> <li>Estate action plans are now in place for all main Council estates. These Plans identify key issues and actions which will drive improvements in the individual housing estates. Over the next 12 months each of the plans will be reviewed and improved to ensure efficiency.</li> <li>Tenancy Management Policy which sets out in detail how the Council is to manage tenancy related matters has been adopted, which describes how the Council creates, changes and ends tenancy agreements. The Policy ensures the Council follows current legislation and enables tenants to exercise their rights, as set out in the tenancy agreement. It also provides a reference point for housing staff to make their decisions.</li> </ul>	2	1	2



2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>All 'housing owned' land has been identified and a number of options are being considered for various sites. Some areas are being subject to viability assessments to see if they can be developed for new housing, some smaller parcels of land have been disposed of after they have been deemed surplus to requirements and other plots are being considered for community use. A good example of this is the community garden at Treharne.</li> <li>All WHQS work have been completed to achieve the Welsh Governments Welsh Housing Quality Standard and the evidence had been updated in Keystone (asset management software), which substantiates this position.</li> <li>The Council has adopted a Tenant Engagement Strategy which includes agreement on the key aims for tenant involvement and the supporting priority actions. The document will remain in place for the next three years and sets out how tenants will be engaged in order to improve services provided. Progress with implementing the Strategy will be measured via the completion of individual actions contained within the Operational Delivery Plan.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Project governance structure in place including the Housing Improvement Group, the Quality and Design Forum, the Hard to Treat Working Group that produces regular reports to the Homes and Safe Communities Committee and Cabinet.</li> <li>Robust approach to performance management in place.</li> <li>The Quality Design Forum has been set up to engage with tenants to monitor the performance of contractors. Regular meetings with the Welsh Government to provide them with updates on the Housing Improvement Programme and we produce and submit quarterly monitoring reports.</li> </ul>	3	1	3
<b>Overall Effectiveness of Controls</b>		<b>3</b>	<b>2</b>	<b>6</b>

2.3 Residual Risk Scoring & Direction of Travel											
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	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	1	2	1	3	3		
Reputation	3	3	9	3	1	3	1	3	3		
<b>Average risk score/ direction of travel</b>	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				
IS007/HS/A03 1	Implement a customer portal which allows tenants to check information held, review their rent account access online services and access information on housing services.			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2018	<b>Green (Completed)</b> Action completed and will be reflected as a control in the Register in the next quarterly update.	The customer portal has now been implemented and is 'live' for tenants to use. A small number of tenants have already registered and no issues have been identified. The portal will be promoted to tenants over the next few months with aim to increase the number of tenants accessing digital services.
New Action	Review Estate Management Action Plans.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2019	<b>Green (On track)</b>	A review of Estate Plans is underway and a series of workshops have been carried out focusing on different neighbourhoods. The draft plans will be subject to further tenant consultation with the aim to produce and publish new plans 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				
New Action	Undertake a commissioning exercise for new contractors for the maintenance work associated with the WHQS 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"/>	MI	September 2018	<b>Green (On track)</b>	We are in the process of and where possible utilising national frameworks to undertake the procurement exercise. We anticipate that a tender process will be completed by end of year. (quarter 4).
IS002 HS/A05 2	Identify a suitable estate-based regeneration project in collaboration with the local community and key stakeholders.		<input checked="" type="checkbox"/>	<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	<b>Green (On track)</b>	The regeneration works are continuing at Buttrills estate, where a significant investment is being made to the external environment-taking into account the priorities identified by the local community. This includes improved boundaries, pathways, and lighting as well as upgrades of the playground and communal green spaces. Initial consultations with residents are also underway at Central Estates in Barry (Williams Crescent, Irving Place and Owens Close) with a view to improving the external environment.

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				
														So far the residents have identified security of the rear gardens and the removal of the block outhouses as a priority. Lastly, draft layout plans are being developed at Fair Oaks sheltered complex in Dinas Powys, these focus on improved parking and vehicle access which has been an issue for many tenants at the site. Ongoing, the Estate action plans will inform the regeneration investment priorities across the Vale.
IS007 HS/A05 5	Implement the new Tenant Participation Strategy		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2019	<b>Green (On Track)</b>	The regeneration works are continuing at Buttrills estate, where a significant investment is being made to the external environment-taking into account the priorities identified by the local community. This includes improved boundaries, pathways, and lighting as well as upgrades of the playground and communal green spaces. Initial

CR4: Housing Improvement Programme

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														consultations with residents are also underway at Central Estates in Barry (Williams Crescent, Irving Place and Owens Close) with a view to improving the external environment. So far the residents have identified security of the rear gardens and the removal of the block outhouses as a priority. Lastly, draft layout plans are being developed at Fair Oaks sheltered complex in Dinas Powys, these focus on improved parking and vehicle access which has been an issue for many tenants at the site. Ongoing, the Estate action plans will inform the regeneration investment priorities across the Vale.
IS007 HS/A05 0	Develop and deliver the life cycle/renewals replacement programme to	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2019	<b>Green (On Track)</b>	During the last Quarter surveys have continued with the surveying programme which is due to be completed the end November. At the end of this quarter 1747 out 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				
	ensure WHQS stock compliance is maintained during 2018/19.													3347 surveys have been completed.  Once 50% of the surveys had been completed the Capital Projects Team began work to package the schemes identified for 2018/19 e.g. replacement flat and pitched roofs and windows, Kitchen and Bathroom, Heating installation and loft insulation replacements. work is now being undertaken to complete the procurement process or use existing frameworks to speed up delivery of the identified works. It should be noted that considerably less work (approximately 30%) has been identified to completed than originally forecast following the completion of the first 50% of surveys.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
IS007 HS/A05 7	Complete the Butrills Environmental Improvement Project.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2019	<b>Red (Slipped)</b>	<p>During the last quarter phase 2 of the project has continued very slowly with the external wrapping of the buildings, installation of new windows, replacement communal access doors and refurbishment of the balconies being undertaken.</p> <p>Phase 2 is due to finish shortly with scaffolding currently being removed from Awbery House. The program has slipped slight due to poor site management by the principal contractor IWL.</p> <p>The Capital Projects Team continue to work with principal contractor to bring the project back on program. Discussions are currently taking</p>



CR4: Housing Improvement Programme

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														place to end the contract with IWL.  Phase 3 (Communal area improvements) & 4 (environmental works) continue to be developed to start as soon as issues are resolved with IWL. Elements of phase 3 have started with new lobby and flat front doors being installed within the communal areas along with new communal access doors. Replacement fencing has also been installed as a result of the external works.
IS008 HS/A058	Continue to develop and identify opportunities for the Council House development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2019	<b>Green (On Track)</b>	During the last quarter work has continued to be undertaken by the Housing Development Manager to identified opportunities for the Council Housing Development programme. E.g. Colcot Clinic, Moat

CR4: Housing Improvement Programme

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	programme.													Farm Llysworney, Former NHS site Cardiff Road, Dinas Powys. New opportunities will continue to be taken to Strategic Board for approval to carry out the due diligence on the sites before Strategic Board approve viability to be planned in for delivery.
IS008 HS/A059	Produce a Housing Development Strategy	✓	✓	✓	✓	✓	✓	✓	✓	✓	AT	November 2018	Green (On Track)	A draft Housing Development Strategy has been created and is currently going through consultation within the management team before going on to strategic board for comment.
IS008 HS/A046	Continue to develop an Asset Management/Investment Strategy for Council Owned Homes.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AT	August 2018	Green (On Track)	During the Last quarter further work has been undertaken to develop the draft Asset Management Strategy for senior management consultation. A report has been written to be taken to Cabinet during November to approve the draft HAMS prior to wider consultation.

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				
IT4 HS/IT03 8	Explore the market to identify a replacement contractor repairs module.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2019	<b>Green (On Track)</b>	Contact has been made with potential providers and viewings of one system has been undertaken to enable the scope to be developed.
AM4 HS/AM0 34	Review the Council's Housing Stock and develop plans for remodelling certain stock types in specific areas.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2019	<b>Red (Slipped)</b>	During the last quarter works have been identified to remodel the Buttrills Walk, and North Walk property storage sheds. Works have also progressed with the packaging Aireys property refurbishment scheme.
P1 HS/F040	Delivery and completion of Gibonsdown external wall refurbishment 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"/>	AT	March 2019	<b>Green (On Track)</b>	During the last Quarter the contract started 30th July and is programmed to finish on the 14th December 2018. Progress on site is approximately one week behind. Work is progressing well.
P2 HS/F041	Rebuild three Hawksley Bungalows	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	December 2018	<b>Red (Slipped)</b>	During Quarter 2 the closing date for tenders closed and one submission was received. The team has evaluated the tender return and

CR4: Housing Improvement Programme

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														deemed it as a valid tender to be put to cabinet for approval to accept and execute the JCT Intermediate Contract. Cabinet report going to cabinet the 15th October. Contractor proposed programme identifies completion by the 31st March 2019.

Corporate Risk 5: Waste

1 – Risk Overview

<b>1.1 Risk Description</b>	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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<b>1.2 Risk Owner</b>	<b>Head of Neighbourhood Services and Transport (ER)</b>
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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
<b>Political &amp; Legislative</b>	Yes	Failure of contract agreements associated with our waste collaborations. Failure to comply with statutory waste targets and the associated Welsh Government guidance.
<b>Resources</b>	Yes	<p>Inability to streamline our approach to optimise productivity as consequence of budgetary cuts and/or staff shortages that will impact on our performance against waste reduction targets.</p> <p>Inability to effectively monitor and manage our contract agreements resulting in poor contractual compliance and performance. Council incurs fines as a result of failing to meet statutory waste reduction targets.</p> <p>National Welsh Government grants are withdrawn as a result of failing to meet statutory waste reduction targets.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including:</p> <ul style="list-style-type: none"> <li>i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales);</li> <li>ii. pollution of the local environment (e.g. contamination of groundwater; soil contamination).</li> </ul> <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.
<b>Reputation</b>	Yes	Failure to meet the statutory waste targets and comply with the Welsh Government's waste strategy would have a detrimental impact on the resident's perception of Council services and would attract criticism from our external regulators and Welsh Government.











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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running</li> <li>Waste Resource Action Programme (WRAP) is completed. Cabinet agreed a black bag restriction for 2018/19 (starting September 2018), to move on a phased basis to the Welsh Government Blue Print.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</li> <li>The 25 year Project Gwyrdd contract has been operational since 2016 which</li> </ul>	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"> <li>• Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council.</li> <li>• Household Waste Recycling contract operated by the company FCC.</li> <li>• A new waste management strategy has been developed. With effect from the 3<sup>rd</sup> 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. Further detail of the impact of this service change will be known in quarter 3/4.</li> <li>• Full review of our Enforcement Policy for littering and fly tipping has been completed with an update presented to Scrutiny Members and Cabinet Members noting the progress that has been made and lessons learnt since the contract with the 3GS (environmental enforcement officers) commenced on the 7th October 2016. The 3GS contract has been extended to October 2019 and officers are currently working on a revised Enforcement and Inspection Strategy. Annually bid for Welsh Government Environment Grant to deliver improvements to the waste management infrastructure.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Increased waste awareness initiatives including a litter summit.</li> <li>• Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</li> <li>• Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery.</li> <li>• Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced.</li> <li>• Appointed an Environmental</li> </ul>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Enforcement Partner (3GS) in October 2016 issue fines for dog fouling/littering offences.</p> <ul style="list-style-type: none"> <li>Council has continued to undertake its normal approach to recycling awareness which has allowed us to ensure we remain on track. This is updating the web site, undertaking letter drops to residential areas where there is poor participation, roadshows with the event trailer and a school education programme.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Regularly implement high profile campaigns in the community to raise awareness of the importance of recycling, composting. Consultation regarding possible changes to waste service including a series of engagement events through throughout the Vale of Glamorgan area.</li> <li>Maximise the use of Social Media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner to raise awareness of dog fouling/littering issues.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>



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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
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	<b>Green (on track)</b>	The site at Cowbridge is set up and in theory that will result in less operational down time which should demonstrate a reduction in fleet. However this indicator is not complete as earlier indications from the implementation of restricted residual waste suggest that there is pressure on the current recycling fleet.
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	<b>Not applicable</b>	We are awaiting confirmation of external validation of our national recycling target for the quarter.
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	<b>Not applicable (Not due to commence)</b>	Not due to commence until January 2019.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
ER16 NS/A029	Progress the development of a waste transfer station and rationalisation of existing operational depots. (Subject to WG CCP funding)		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	CS	March 2019	<b>Green (On track)</b>	The development of the waste transfer station is ready for detailed design stage. Ground investigations have commenced and the site is due to be secured the beginning of November. 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/A023	Develop/implement a Waste Reduction Strategy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS	March 2019	<b>Green (On track)</b>	The future strategy has now been confirmed now the Council has secured capital funding from WG's Collaborative Change

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				
														Programme. As part of this strategy was the implementation of restricted residual waste. As of 3rd September 2018 households were restricted to 2 bags per fortnight. This will be the strategy for the remainder of the year with waste wardens being added September/October. Early indications suggest a reduction of residual waste of over 30%. This strategy will be finalised in quarter 3.
ER16 NS/A02 4	Remodel our waste management infrastructure	✓	✓	✓	✓	✓	✓	✓	✓	✓	CS	March 2019	<b>Green (On Track)</b>	An interim Waste Transfer Station (WTS) has been secured and now operational.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														This facility is based at Cowbridge Compost a site formerly used to treat the Councils Food and Green Waste. The development of this site will continue as this facility will also act as the interim sorting site for the pending revised recycling service ( collection of source separated recycling material)
ER16 NS/A02 5	Develop a 7 year Waste Management Plan (2018-25)	✓	✓	✓	✓	✓	✓	✓	✓	✓	ER/CS	March 2019	<b>Green (On Track)</b>	The future strategy has now been confirmed now the Council has secured capital funding from WG's Collaborative Change Programme. Therefore the 7 year waste strategy will be

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														completed by 31st March 2108.
NS/IT016	Implement efficient route planning for delivery of waste and other services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>					CS	March 2019	<b>Green (On Track)</b>	The full review and change of collection day being implemented April 2019. The data has been completed and it has been sent for further detailed design which is being undertaken by WRAP officers in consultation with Webaspx (the software system used by the service area).
<b>NEW ACTION</b>	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	<b>Not applicable (New action)</b>	New action. Action not due to commence until quarter 3.

Corporate Risk 6: 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
<b>Political &amp; Legislative</b>	Yes	Political and legislative repercussions of failing to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.
<b>Resources</b>	Yes	<p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on a range of factors including the commitments to increase the number of apprenticeships within the Council (and wider community), the increase of younger employees (as a percentage of the wider workforce) and the aims within the Council's Equalities Strategy.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan (and specifically in relation to change management) would impact adversely on the Council's ability to respond to financial challenges over the next four years.</p> <p>The realisation of the risk would lead to an inability to recruit and retain suitably qualified staff with appropriate skills in the right areas to deliver services effectively. E.g. Inability to recruit and 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>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to properly anticipate and respond to future workforce needs could pose a threat to the effectiveness and viability of sustainable service delivery and its ability to meet achieve the outcomes and priorities set out in our Corporate Plan.</p> <p>There would be a potential inability to anticipate and plan for workforce needs of the future in order to meet changing service requirements. There would also be an inability to manage and support organisational change impacting on our ability to deliver sustainable services both now and in the future.</p>
<b>Reputation</b>	Yes	<p>Negative perception of the Council amongst citizens as an employer impacting on recruitment and retention rates across the organisation.</p> <p>Failure to put in place succession pathways in place to address our ageing workforce in specific service areas.</p> <p>A key aspect of the workforce plan (section 6/theme viii) is the need to ensure the Council have a workforce that reflects the wider community. Within this are specific aspects to ensure that measures are taken to ensure representation from protected groups under the Equalities Act 2010. A particular feature of this includes strategies to deal with occupational segregation and address the gender pay gap that exists nationally and locally. A failure to implement actions within the workforce plan would impact adversely on such equalities commitments and our reputation as an employer.</p>

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



2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>• CMT/Cabinet receives regular reports on a range of HR issues and developments.</li> <li>• Robust performance management arrangements in place across all service areas.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Managers are supported through the management of change through training and ongoing advice from HR Officers.</li> <li>• The Workforce Plan is aligned to the Corporate Plan in relation to workforce needs. A review of corporate workforce priorities has been undertaken as part of the senior management development session and will now form the basis of a refresh of the Corporate Workforce Plan.</li> <li>• The HR team has been restructured to increase the information, planning and performance capacity of the team and to increase the focus on business and organisational development issues.</li> <li>• The Leadership Café continues to be effective at supporting succession planning and leadership development across the Council.</li> <li>• There have been improvements made to workforce planning processes.</li> <li>• The Management Competency Framework continues to be used to enhance skills and expertise at our Team Manager level.</li> <li>• 'Staff Charter' is fully embedded within the organisation. Some commitments within the Staff Charter relate to celebrating success and staff recognition. The establishment of the 'Going the Extra Mile' scheme (GEM), provides an opportunity to put forward members of staff in recognition for their work. These stories are then celebrated and shared with staff on the internal Staffnet. In addition to this the Council has established a Team Awards event to recognise the good work of both individuals and team across the Council.</li> </ul>	2	2	4

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>The Council is a Stonewall Champion committed to ensuring we have an inclusive work place for all lesbian, gay, bi and trans-sexual staff. We have developed an action plan to further evidence that we have an inclusive work place. The Council has contributed to the Stonewall 2018/19 Employment Index Survey and the feedback will provide the opportunity to refresh our action plan.</li> <li>The NJC Single Status 2019 pay award has been assimilated into a new pay and grading structure which is currently being consulted on with the trade unions. Once agreed, this will meet our national and local reward strategy obligations and place the council lowest pay rate for employees above the Foundation Living Wage rate.</li> <li>The new Management Competency Framework was launched in April 2017. Several management development sessions have been held with managers focusing on managing the future, the Digital Strategy and commercialisation. Chief Officer briefing sessions and a management development sessions have been held in accordance with the new Management Competency Framework. This work has helped ensure managers are up skilled to fulfil their roles effectively to meet the challenges facing the Council and the new ways of working as part of the Reshaping Service programme.</li> <li>We have procured an E Bulk solution to provide a significant reduction administration and the time in accessing Disclosure and Barring Services (DBS) certificates. The E Bulk system service is scheduled to go live in November 2018.</li> <li>The new HR Structure has been launched and all posts within the Business Partnership, Organisational Development and Employee Services teams have now been filled. Transition arrangements are ongoing as is the programme of streamlining processes and exploring digitalisation</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	opportunities. The new HR model helps to streamline the delivery of HR services to provide a framework for up skilling staff and sharing skills.			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>All recruitment adverts promote the Council as an equal opportunities employer.</li> <li>The new 'Staff Charter' has been launched following consultation and refinement.</li> <li>The Council's Staff Engagement Strategy continues to be strengthened alongside an effective method of continuing evaluation. The profile of the Council as an attractive employer has been raised i.e. through our staff engagement processes, 3rd best attendance figures in Wales, Leadership Café award and previously shortlisted for LGC Local Authority of the Year award.</li> <li>Contribution to the wider HR network across Wales as a promoter of innovative workforce practice</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	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	<b>Green (On track)</b>	<p>All processes are established for the direct recruitment of apprentices, with three apprentices recruited in this way during September and several in the pipeline for the coming months.</p> <p>We have engaged with local universities and have continued to attend their job fairs, giving us a more direct approach to advertising for graduate opportunities. We have also been building links with Cardiff University on a Work Experience approach, allowing engage the University on short term assignments for specific projects.</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>Apprentices, graduates and trainees have been recruited across Housing and building services to improve service resilience.</p> <p>Within Resource Management and Safeguarding the division is actively working with corporate colleagues to expand the Apprenticeship Scheme. We continue to offer prior consideration for our “Looked after Children” in recruiting for apprenticeship opportunities.</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 placement</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				
														opportunities. One of the DWP candidates has recently been engaged in HR under a temporary part time agency contract.  Within Neighbourhood Services Several graduate/ trainee posts have also been filled this quarter and consideration will be given as part of the review to any needs for shadowing/ succession planning.
CP1 HR/W03 5	Continue to strengthen our approach to staff engagement and consultation and learn from the 2017 Staff Survey outcomes, to ensure that employees have a		☑		☑	☑		☑		☑	TBC	March 2019	<b>Green (On track)</b>	The Council's staff engagement strategy has been refined on the basis of results from the 2017 Employee Survey. The 2018 survey questionnaire now enables staff to include comments (free text) to support their response which will contribute to improvements on



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				
	voice in shaping services in line with our commitments in the Staff Charter.													staff communications and the accessibility of learning and development opportunities. The 2018/19 Annual Staff Survey arrangements have been concluded and the Survey successfully launched on 1 October 2018. Preparations have been undertaken for next year's Employee Recognition event which will held on the 11th May 2019.  Big Conversation 2 will take place in Jan/Feb 2019, plans currently underway planning the event that will cover all staff members.
CP1 HR/W03 3	Strengthen and promote the Council's Leadership		✓	✓	✓	✓		✓	✓	✓	TBC	March 2019	<b>Green (On track)</b>	Leadership Café events happening monthly as planned.

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				
	Café to support leadership development and the Reshaping Services Strategy.													Café committee will be meeting in October to determine the 2019 calendar and discuss opportunities to improve the attendance at Leadership Café event in 2019.
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	<b>Green (On track)</b>	The focus on attendance management has continued throughout Q2 and in accordance with the corporate action plan and as considered and approved by Cabinet. The 2018/19 performance outcome for Month six or Qtr 2 is 3.71 days per FTE which is under the target of 4.08 days per FTE. This figure is lower than last year’s performance in the same period of 4.45 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	<b>Green (On track)</b>	<p>Management Development sessions and Chief Officer Sessions were successfully run in Sept 2018.</p> <p>Management Competency Framework has been further developed, and approved by the CMT in Oct 2018. Leadership Development Programme has been developed in line with the more detailed framework and a trial cohort from Social Services will start the programme in October 2018, with a wider programme planned for Q3. The competency framework and leadership programme will use the iDev functionality to support all managers with their development.</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>iDev functionality continues to be developed in the line with a Blended Learning Strategy. Conversations taking place with Social Care Training Team to discuss the wider use of the iDev system.</p> <p>Work progressing with Developing my Skills Working Group on the Core Competency Framework, ready to be presented at the CMT/Engagement meeting in November and a soft launch in January 2019, with full implementation in readiness for #itsaboutme 2019/20.</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	<b>Green (On track)</b>	<p>A Succession Planning and Talent scheme has been approved as part of the ‘Developing my Skills’ corporate work stream.</p> <p>Within Neighbourhood Services, a review is underway with a report expected at the end of Quarter 3. Several graduate/ trainee posts have also been filled this quarter.</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>

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>opportunities for staff at all levels.</p> <p>Within Housing and Building Services, Apprentices and Trainees are incorporated into the service where appropriate to support succession planning as opportunities arise.</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 succession planning are prioritised this year. A meeting has taken place with the Operational Manager, Strategy &amp; Resources, Organisation and Training Manager and a representative of HR to commence workforce</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				
														planning including succession planning. A further meeting is scheduled for November 2018.
CP2 NS/W00 4 AS/W03 4 CS/W01 9 RP/W03 2 RM/W0 09	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	<b>Green (On track)</b>	<p>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 consider market supplements or different grades to address the situation.</p> <p>Within Social Services, the Directorate is actively working towards an action plan to tackle Recruitment and Retention issues</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				
														associated with business critical and hard to recruit posts. A wider recruitment campaign will be undertaken in November.
CP2 NS/W00 5 AS/W03 2 CS/W01 7	Develop and implement strategies to address aging workforce profile in key service areas.										ER SC RE	March 2019	<b>Green (On track)</b>	<p>Within Neighbourhood Services Several graduate/ trainee posts have also been filled this quarter with consideration in relation to undertaking shadowing/ succession planning.</p> <p>Within Adult 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.</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 NS/W00 7 FIT/W01 7 CS/W02 0 FIT/W02 0 RP/W02 9 RP/W03 1 RP/W03 3 DS/W01 4 RM/W0 08 AA/W02 0 LS/W00	Build resilience within teams/service areas by focusing on up skilling and developing flexibility in skill sets and encouraging self-development and where possible build on collaborative working arrangements. This includes building fluidity/flexibility within roles and across teams to support a culture where staff are supported through change.										ER CL		<b>Green (On track)</b>	<p>During the quarter we have continued to focus on building resilience within teams. For example within Neighbourhood Services, there has been further staff training and another member of staff has gained a LGV licence adding to our resilience.</p> <p>On the 18th June 2018 Cabinet were presented with and agreed the extension of the Internal Audit Shared Service for Bridgend and the Vale of Glamorgan to include Merthyr Tydfil and Rhondda Cynon Taff Councils. This extension of the current service will help to develop a Regional Internal Audit Shared Service that would reinforce business resilience and further</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 SL/W04 4 PD/W04 9														<p>enhance the range of audit expertise. The recruitment process for the Head of the new service commenced during the next quarter.</p> <p>Within Legal Service, 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.</p> <p>Within Strategy, Community Learning and Resources, the shared post role for the National Library Management System has been continued and discussions regarding shared bibliography</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				
														negotiation are ongoing. The regional learning partnership is currently advertising for a regional co-ordinator to be jointly funded by all providers.
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		<b>Green (On Track)</b>	Some progress has been made during Quarter 2 and the existing information and possibilities moving forward have been drafted. During Quarter 3 meetings to discuss the options need to be held with Managers and recognised Trade Unions with a view to consultation in Quarter 4.
HS/W046 RM/W004	Undertake/implement service restructures in line with Reshaping Agenda.										MI AP	March 2019	<b>Green (On track)</b>	The Housing and Building Services restructure has been completed. The new Supporting People Coordinator and Strategy

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				
AA/W025														Coordinator is in post and the Supporting People Gateway system has now gone 'live' to ensure the clients with the highest needs are prioritised and referred to the most appropriate services. Within Resource Management and Safeguarding, a number of vacant posts have been filled and a recruitment drive to increase capacity within RNMS has commenced.
SL/W045 AA/W021 FIT/W019	Ensure that employees understand how their work fits into the wider work of the Council and how they can effectively												<b>Green (On track)</b>	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

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				
	contribute to change.													encourage attendance at the Leadership Café. Within Achievement for All, a service development day was undertaken that set out how the roles and responsibilities of teams contributed to the overall work of the Council. This has helped to reinforce and employees understanding for their role and contribution to change.

Corporate Risk 7: 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 25<sup>th</sup> May 2018. The principles of the GDPR are similar to the those set out in the Data Protection Act, but with additional details regarding accountability and governance requirements and specifically requires organisations to show how they comply with the principles by documenting decisions the organisation takes in relation to processing activities. The Regulations have been designed to further minimise the risk of data breaches and uphold the protection of personal data, which is likely to result ensuring robust policies and procedures to ensure good governance measures are in place. The key risk associated with this is that we fail to meet the requirements of this regulation and safeguard our information and data.</p> <p>The key risk associated with this is the failure to implement adequate information security management systems across the Council.</p>

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<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 &amp; 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
<b>Resources</b>	<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>			
<b>Service Delivery &amp; Well-being</b>	<p>Information Security &amp; 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>	2	2	4
<b>Reputation</b>	<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
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	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	<b>Green (On Track)</b>	The ICT Strategy has now been reviewed and updated. The strategy will be presented to Cabinet for approval.
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	<b>Green (On Track)</b>	A number of Digital Strategy projects have been initiated and resourced by ICT where required this quarter, such as the website refresh, web forms / Council app implementations, Mayrise / YOTA implementations, online payments, Council Tax

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														and benefits online platform, etc. The new agile project management methodology 'SCRUM' is being used to manage the Office 365 implementation. Meetings have taken place to discuss software application consolidation, Oracle integration, Finance / online payments system and potential replacement options for the Oracle Enterprise Resource Planning (ERP) system.

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/IT007	Conclude the review of ICT systems and software across the Council to ensure it is fit for purpose.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	NW	March 2019	<b>Green (On Track)</b>	The Office 365 roll-out has started and the identification of systems that could be decommissioned is underway. A wider software applications consolidation exercise is also underway which includes the major legacy applications and Oracle. An all-Wales audit of major systems has also been completed to inform the project team of potential options in terms of what is available in the market and what is being used by other Welsh local authorities.
CP1 FIT/F00	Conclude the evaluation of cloud-based		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	EW	March 2019	<b>Green (On Track)</b>	A report was presented and approved by Cabinet

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
09	computing and cloud-based storage for as a potential cost-effective solution for the Council to increase efficiency.													on the 30th July providing authority for the tender process to be carried out. Since approval has been granted the storage refresh tender has now been released and is currently being evaluated.
CP1 FIT/IT01 0	Implement a second internet connection to the Council to provide additional service resilience and increase efficiency.		✓	✓	✓	✓	✓		✓	✓	RH	March 2019	<b>Green (On track)</b>	The network redesign includes a second internet connection. The associated network hardware has now been installed and will be commissioned / switched over in Q3 2018/19. This will increase the Council and service resilience in line with the Digital Strategy.

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				
FIT/IT012	Continue working towards Payment Card Industry (PCI) Compliance.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CM/NW	March 2019	<b>Red (Slipped)</b>	The current system supplier has been sold which has resulted in the slippage. Discussions are ongoing to source a compliant system and a method of procurement for a replacement system is currently being established and a report will shortly be presented to 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				
														Management Team (CMT). It is anticipated that implementation will take around 6 months due to the complexity of the integration with numerous Council systems.
DS/IT03 7	Undertake a review of our existing Information Sharing Protocol Framework and associated templates to raise awareness amongst staff.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TC	March 2019	<b>Green (On track)</b>	Work on the review of WASPI documentation remains ongoing and has been planned around existing workload commitments. During the quarter Waspi have updated their templates and we are now awaiting the ICO's updated statutory code.
DS/IT03 8	Identify and develop new Information	✓	✓	✓	✓	✓	✓	✓	✓	✓	TC	March 2019	<b>Green (On track)</b>	A survey will need to be undertaken to establish



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				
	Sharing Protocols for all required arrangements.													the full degree of Council Sharing and to check arrangements. This work will ensure effective mechanisms and safeguards are in place to ensure appropriate sharing of information with our partners. As part of our GDPR compliance we asked service areas who they share information with. Those results need to be analysed and cross referenced with WASPI. This will be completed by the target date of March of next year.
DS/IT039	Develop a protocol to enable us to reuse information under 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"/>	TC	March 2019	<b>Green (On track)</b>	The open Government Licence is published on the Website, however,

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				
	Open Government licence													further work needs to be considered to ensure effective mechanisms in place to enable the reuse of information as part of the Open Government licence to promote greater transparency and accessibility to Council held information.
FIT/W02 1	Support the development of appropriate corporate systems including training in order to ensure the Council complies with the General Data Protection Regulation.	✓	✓	✓	✓	✓		✓	✓	✓	CL	May 2019	<b>Green ( On track)</b>	General Data Protection Regulation (GDPR) training has been successfully rolled out on the iDev online training system. In addition to this work 10 training sessions were also organised and delivered to staff across the Authority within this reporting timeline. Training has also been

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				
														provided to elected members.

**Corporate Risk 8: Environmental Sustainability**

1 – Risk Overview						
<b>1.1 Risk Description</b>		<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>				
<b>1.2 Risk Owner</b>		<b>Head of Neighbourhood Services and Transport (ER)</b>				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	Yes	Yes	Yes	No	Yes	No

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>funding via the City Deal. The City Deal footprint provides opportunities for local services regionally.</p> <ul style="list-style-type: none"> <li>• Opportunities to seek S106 funding have been carried out as and when funding becomes available throughout the year, these have included S106 Barry Waterfront funding to carry out the signage scheme.</li> <li>• Council owned &amp; leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term.</li> <li>• Vehicle &amp; plant applications are being reviewed at the time of purchase; in-line with the needs of the department.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Prioritise maintenance in all council services – including gritting, drainage, etc.</li> <li>• Sustainable procurement outlined in procurement guideline documents</li> <li>• Green travel plan established and publicised to all staff</li> <li>• Active Travel – ensuring walking and cycling routes are provided</li> <li>• Internal and external publicity for individuals and organisations on how to reduce gas emissions</li> <li>• Minimise the risk and impact of flooding and coastal erosion via an effective Flood Risk Management Plan, flood reduction measures and a Shoreline Management Plan. We effectively monitor changes in coastal waters and coastal erosion.</li> <li>• BREEAM standard for major projects e.g. schools/Extracare</li> <li>• Local Biodiversity Plan</li> <li>• Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation.</li> <li>• Work underway on the delivery of a Flood Alleviation Scheme at Boverton and Llanmaes. The work at Coldbrook has been completed.</li> </ul>	2	1	2



2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>The Vale of Glamorgan Local Development Plan (LDP) 2011-2026 was adopted by full Council on 28/06/2017. The LDP will be the basis for decisions on land use planning in the Vale of Glamorgan and will be used by the Council to guide and manage new development proposals.</li> <li>The Residential Development and Householder Design Guide, Conversion of Rural Buildings, Minerals Safeguarding and Biodiversity Supplementary Planning Guidance (SPG) and have been approved for use alongside the LDP to support planning decisions.</li> <li>All Active Travel maps have been completed and published. The Council is seeking finance to implement routes where opportunities arise.</li> <li>The feasibility works have been completed for the bus, cycle and walking routes from Weycock Cross to Cardiff Airport. The development of a more detail design is subject to the outcome of a second transport grant bid. A decision is expected November 2018.</li> <li>Procured additional Refuse Vehicles (8 x 16 tonne &amp; 4 x 26 Tonne) for the financial year 2017/18. All vehicles have received their PDI and all vehicles have been correctly fitted out with operational equipment to meet the department requirements. The Vehicles will to help deliver the service more efficiently and assist with savings identified and sustainability.</li> <li>Successfully completed the Coldbrook Flood Alleviation Scheme which will see a reduction in the risk of flooding for residents and businesses within the area.</li> <li>Successful delivery of grant funded biodiversity programme. Projects have included; the re-introduction of water voles at Cosmeston, woodland improvement works at Porthkerry and Cosmeston, Badger survey at</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>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.</p> <ul style="list-style-type: none"> <li>• Eight urban parks and two Country Parks have been awarded Green Flag Status. Penarth Marina, Southerndown and Whitmore Bay have maintained their Blue Flag status. We have successfully maintained our Seaside Awards for Jackson Bay and Cold Knap.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns.</li> <li>• Provision of child pedestrian and cycling training in Vale schools.</li> <li>• Promotion of Active travel.</li> <li>• Appointment of an Environmental Enforcement Partner (3GS), who supports us in raising awareness of keeping our local communities clean and litter free.</li> <li>• Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision making processes.</li> </ul>	1	2	2
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	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	<b>Green (On Track)</b>	Out of the two applications put to WG for active travel funding only the St Athan Active Travel improvement scheme was successful with the VOGC given £12k for design works - this will be carried out in Q4. A number of other improvement schemes are now designed and works will commence in Q3.
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	<b>Red (Slipped)</b>	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 taken. We have rebid for a second transport grant  For the development of a

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														walking/cycling route from Weycock Cross to the airport. We are awaiting the outcome of this grand bid, with a decision is expected November 2018. Once staff levels are at capacity one person will dedicate their time to active travel and cycling - this will be end of Q3.
ER3 NS/A00 1	Further the feasibility study to get buses over the Cardiff Bay Barrage, including further consideration of a Cosmeston Park and Ride facility.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER/KP	March 2019	<b>Red (Slipped)</b>	The VOGC was given £600k by WG to conduct a WelTAG Stage 3 report which give an outline business case for the creation of the Penarth Headland link. This would run in conjunction with running buses over the barrage. As no WelTAG Stage 1 or 2 has been conducted the VOGC has taken 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				
														opinion that these need to be conducted first before moving on. Q3 will see the appointment of consultants for this project and a WelTAG 1 and 2 report produced by the end of Q4. In addition meetings are continuing with Cardiff Council to progress the feasibility of getting a bus over the barrage. However, due to staff shortages in Q1 and Q2 progress on this has slipped
ER4 NS/A002	Continue to deliver transport improvement schemes associated with the Cardiff Capital Region Metro including cycle	☑	☑	☑	☑	☑	☑	☑	☑	☑	MC/CH/KP	March 2019	<b>Green (On Track)</b>	Bid made in quarter 1 for £1.5m of funding for pedestrian/cycle way from Weycock Cross to Cardiff Airport was unsuccessful although design funding is available via S106. The work

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				
	infrastructure and bus stop improvements from Weycock Cross to Cardiff Airport.													in respect of the pedestrian/cycle access around Penarth Headland Link will be reported to Cabinet in quarter 3 together with commencement of a WelTAG Stages 1 and 2 for the scheme.
ER4 NS/A003	Progress additional modelling requirements to assist with the feasibility study for bus, cycling and walking improvements at Cardiff and Barry Road, Dinas Powys.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MC/KP	March 2019	<b>Red (Slipped)</b>	This project is delayed due to a resource issue but is being moved forward in quarter 3 to finalise the business case and feasibility for this project.
ER9 NS/A00	Continue to extend the Greenlinks Community Transport Service.		☑	☑			☑	☑	☑	☑	KP	March 2019	<b>Green (On track)</b>	The Greenlinks scheme continues to provide transport to residents in the VOG. Unfortunately, there

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				
8														has been a loss of volunteers which has led to reduced service on certain days. However, the scheme continues to run five days a week and provided those unable to access regular public transport with a suitable alternative.
ER12 NS/A01 5	Continue to proactively promote the take up of Welsh Government Concessionary Travel Schemes.		☑	☑					☑	☑	KP	March 2019	<b>Green (On track)</b>	The Council continues to promote the scheme on digital platforms and all local bus services throughout the VOG accept concessionary travel passes.
ER9 NS/A00 9	Seek further opportunities to recruit volunteers for transportation initiatives.		☑	☑			☑	☑	☑	☑	KP	March 2019	<b>Red (Slipped)</b>	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,



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 taken less of a priority. However, during Q2 a 'your bus matters' event was conducted in Kings Square, Barry and Greenlinks was represented at this event 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	<b>Green (On Track)</b>	The first phase of this project involving the conversion of some 5,366 standard conventional lanterns throughout residential areas was successfully completed at the end of August 2018. The next phase of the project is to convert the remaining 911 ornamental and bespoke street lighting lantern units which exist in some areas of the Vale. This

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														next phase is currently being planned and programmed with the intention of completing this work and the overall project to convert residential lanterns to LED by the end of the current financial year subject to procurement of the necessary contracts.
ER15 NS/A020	Purchase new vehicles from the Neighbourhood Replacement Fund in line with current EU Environmental Standards including the ability to operate on biofuel.		✓	✓	✓	✓		✓	✓	✓	KP/GG	March 2018	<b>Green (On Track)</b>	During the second quarter 2 new environmentally friendly vehicles have been purchased via the Neighbourhood Replacement Fund. These new vehicles will replace order models which are beyond serviceable life. Additionally to these purchased vehicles we are currently working 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				
														purchasing 8 new recycling vehicles in the 3 and 4th quarter of the financial year. The new vehicles are being purchased to meet the changing requirements of Neighbourhood services waste/recycling collection service.
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 supporting services to analyse vehicle utilization via 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		✓	✓	✓	✓		✓	✓	✓	MC/CM	March 2019	Green (On track)	The collection of wind, wave and tide data at Penarth Pier remains ongoing. The annual photographic and topographic monitoring 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				
	Shoreline Management Plc.													Penarth frontage is delayed and now planned to take place in quarter 3 subject to appropriate weather conditions.
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	March 2019	<b>Amber (Minor slippage)</b>	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 Q3. The final modelling of the catchment is nearing completion by consultants appointed to carry out NAR design via Welsh Government.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integation	Collaboration	Involvement	Prevention	Long-Term				
AH1 NS/A037	Seek S106 and other funding to deliver improved walking and cycling access to parks and other leisure facilities.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER/DK/KP	March 2019	<b>Green (On Track)</b>	Transport - A number of active travel schemes are being funded by S106 contributions in conjunction with the S106 officer. In addition WG have granted funding of £12k to carry out feasibility and design works for AT improvement in St Athan. Leisure - A number of schemes are to be funded from S106 with member's agreement. These schemes will improve the walking and cycling infrastructure within the Vale as part of the sustainable transport provision providing access to facilities around the Vale.
ER7 RP/A09	To prepare and consult on 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"/>	VR	March 2019	<b>Green (On</b>	The Public Art in New Development

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	following Supplementary Planning Guidance (SPG) Renewable Energy , Parking and Travel Plan, Tourism, Public Art, Trees and Development.												track)	Supplementary Planning Guidance (SPG), Travel Plan SPG and Trees, Woodlands, Hedgerows and Development SPG were adopted by Cabinet on 30th July 2018. It is anticipated that the remaining SPGs will be reported to Cabinet for approval for consultation in November 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)	Works have proceeded with regards to delivering the individual elements of the grant. Work has been completed on three of the main elements i.e. the re-introduction of Water Voles at Cosmeston, the community volunteer element and the delivery 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				
														the environmental programme. The first claim for works undertaken will be submitted by mid-October.

Corporate Risk 9: 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
<b>Political &amp; Legislative</b>	Yes	Failure to ensure service continuity during the transitional period due to poor project planning resulting in political and legislative repercussions.
<b>Resources</b>	Yes	<p>Failure to mobilise our resources effectively and work collaboratively across Council departments and organisational boundaries in order to implement welfare reform in a seamless manner.</p> <p>Changes in welfare reform are likely to impact on the resourcing and workforce needs/requirements for delivery of the programme. Failure to implement information management systems effectively or the systems are not fit for purpose impacting on the ability to process and accurately administer timely benefits to clients.</p> <p>Failure to effectively administer welfare benefits resulting in inaccurate payments.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to safeguard principles of social inclusion as a result of welfare reform.</p> <p>Welfare reform could have a detrimental impact on service user's finances and affect their ability to sustain tenancies and pay bills. Social impact of welfare reform could impact on tenant's health, their ability to heat their homes, live in good quality housing and feed themselves.</p> <p>Poor communication of the welfare reform changes to clients could result in them getting into debt.</p>
<b>Reputation</b>	Yes	<p>Poor implementation of welfare reform measures having an adverse impact on equalities commitments and our reputation as a Council.</p> <p>Failure to effectively communicate and manage delivery of welfare reform changes could damage the client's relationship and trust of the Council and ultimately its reputation.</p>

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>• Identification and prioritisation of key risks associated with welfare reform.</li> <li>• Progress reports are monitored by Scrutiny Corporate Performance and Resources.</li> <li>• Public Services Board has oversight of the issues/developments in relation to Welfare Reform as it is linked to the Well-being Plan Objective to reduce poverty and tackle inequalities linked to deprivation.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Budgets have been allocated to deal with expected impact of homelessness and rent arrears.</li> <li>• Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes.</li> <li>• Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed.</li> <li>• Impact of the Council Tax Reduction Scheme and future WG funding reviewed. Strengthened how welfare-reform risks are managed by developing a more corporate-level approach that co-ordinates activity across the council (where one report is now presented to Corporate Performance and Resources Scrutiny Committee)</li> <li>• Impact of the introduction of the benefits cap reviewed and reported</li> </ul>	2	2	4
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Improved the management and access to and use of Discretionary Housing Payments.</li> <li>• Improved engagement with tenants affected by the removal of the spare-room subsidy through: the provision of regular advice and information on the options open to them to address the financial impact of the change in their circumstances; the promotion of the 'Your benefits are changing' helpline; and the provision of support to tenants specifically affected by the removal of the spare-room subsidy to participate in regional/national employment schemes.</li> <li>• Continue to support the effective roll out of Universal Credit across the Vale of Glamorgan. Benefit Section within Financial Services continues to liaise with the Department of Work and Pensions (DWP) and the Jobcentre using Universal Support Delivered Locally (USDL) to support roll out</li> </ul>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	<p>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.</p> <ul style="list-style-type: none"> <li>• There are various initiatives/support mechanisms in place families who are experiencing financial hardships such as the Sofa scheme, provision of advice and sustaining our partnership with the Food Bank.</li> <li>• The Multi-Agency Landlord group meets regularly to discuss and identify how we mitigate the adverse impacts of welfare reform on tenants. For example working on a joint communication campaign to raise awareness of welfare reform.</li> <li>• 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 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.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Council's website is updated with information guides on Welfare Reform for Vale residents.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	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	<b>Green (On Track)</b>	Very few customers have transferred to Universal Credit at the end of September 2018. Despite this progress continues to be made as further training has been carried out for all staff in preparation for full service roll out which is due during quarter 3 (October). Training has also been delivered to other departments and the Third Sector who may need knowledge. A private landlord forum has also been held with a presentation from the Department for Works and Pensions.
IS003 FIT/A00 2	Update Elected Members on the progress made in implementing Welfare	<input checked="" type="checkbox"/>	<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	<b>Green (On Track)</b>	The annual report regarding welfare reform was considered by Corporate Performance and Resources Scrutiny Committee

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				
	Reform changes.													on 20th September. It was agreed that should the impact of welfare reform start to increase a report would be brought back to Committee before the end of the 12 month period. The same report will also considered by the Voluntary Sector Joint Liaison Committee on 3rd October.
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	<b>Green (On Track)</b>	Preparation work has been carried out in readiness for the website to be updated in early October with the updated contact details and advice for Universal Credit once full service roll out goes live on the 10 October 2018. This will include details on where they should claim and what services we still offer as a Council.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
IS003 HS/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	<b>Green (On Track)</b>	The Multi landlord group has met twice during the second quarter to discuss the on-going issues with Universal Credit and opportunities to work together to achieve a positive action on issues that have been identified for individual complex claims. Sharing these problems has enabled us to learn how to overcome and rectify these issues to enable the resident of the Vale to access the Universal Credit services. The Council now has access to the landlord portal and been granted Trusted Partnership status to deal with council tenants claims migrating onto Universal Credit. The Universal Credit Working Group continues to work well with the Community Investment

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				
														Team to deliver a range of initiatives such as Digital Inclusion training to assist tenants making claims and to access information and digital services. The Money Advice Service has continued to work with the Community Investment Team providing events across the Vale of Glamorgan to ensure that as many people are prepared for Universal Credit. We have raised awareness amongst tenants of how the benefit system is changing. For residents that we have missed these events we have sent everyone leaflets and carried out home visits for the residents that are moving onto the Full 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				
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	PT	March 2019		<p>The Community Investment Team have attended a variety of community events to increase engagement with tenants, including Safer Vale Event, Mayor’s BBQ and our own FestiVale with over 1,700 tenants engaging. We also ran a rural roadshow event which enabled us to target 4 communities within the rural Vale to provide information about changes to the benefit system and how people can access support.</p> <p>Time Banking continues to support the role out of the community investment strategy and we see a steady increase in the number of tenants engaging in volunteering. During the last</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>quarter 181 tenants have signed up to the scheme with an additional 110 children and young people getting involved. Through the hard work of volunteers so far this year they have generated 705 hours of community based volunteering.</p> <p>We continue to provide support and promote Employment and training activities and we have 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. During quarter 2, 39 tenants have also aimed a recognised qualification. We continue to run a number of digital inclusion schemes</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				
														throughout the Vale in partnership with Newydd and Adult Learning, during quarter two 178 tenants have engaged in digital with an additional 160 older people getting on-line.
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.			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2019	<b>Green (On Track)</b>	All of the actions identified on the Universal Credit action plan have been completed. A comprehensive 'awareness raising' campaign has been carried out. All staff have had training and there has been close working with the DWP and other partner agencies to ensure the correct advice is given and people work together to assist new Universal Credit claimants. Internal processes have been updated and the ICT system configured to identify Universal Credit claimants and

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				
														provide assistance to ensure they pay their housing costs in a timely way. Universal Credit goes 'live' in the Vale from 14th October 2018- so the impact will be monitored closely to minimise any negative impact.
ER2 HR/A009	Work with the Department of Work and Pensions to provide a range of work placement/work experience opportunities in the Council for volunteers in receipt of state benefits.	✓	✓	✓	✓	✓	✓	✓	✓	✓	AU	March 2019	<b>Green (On track)</b>	The scheme remains in place and we continue to receive details of potential candidates and placement opportunities. One of the DWP candidates has recently been engaged in HR under a temporary part-time agency contract in HR to undertake data input.

**Corporate Risk 10: Public Buildings Compliance**

**1 – Risk Overview**

**1.1 Risk Description**

Public Buildings Compliance relates to our responsibilities and duties as a public organisation for ensuring that all our assets are satisfactorily compliant with all current legislative building requirements. The primary risk associated with public buildings compliance is that we fail to comply with our statutory responsibilities for ensuring the health, safety and welfare of both staff and the public when using our premises.

The Health and Safety at Work Act 1974 places specific duties on managers in the control of buildings to ensure; employees, building users and other members of the general public do not come into harm whilst using the building. Over the years, this act has been supplemented by a number of supporting regulations to ensure the safe management of; electricity, gas, asbestos, legionella, fire, lifts, etc. These duties cannot be discharged to third parties and it is the premises manager/duty-holder that is ultimately responsible for managing the risks and discharging the requirements of all the regulations associated with the building.

Whilst the legal duty to manage a building's compliance does not in all cases sit directly with the Council, for example: for Schools where the duty holder would be the Head teacher, the Council has a vicarious responsibility to ensure the protection of all users of its corporate buildings. There will also be cases where as a Council we externally commission out services to be delivered by a Third Party. And although we are not the responsible Premises Manager/Owner of these sites, we do hold a reputational stake in ensuring that our reputation is protected. Therefore, we need to assure that there are suitable processes and procedures in place to both establish the extent of the risks that the Council is exposed to and how those risks are being effectively managed. 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.

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

At present the current controls for the management of compliance and specifically the 'compliance data' for the Council's Corporate Building Stock needs to be improved. Data on compliance of our corporate buildings 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

CR10: Public Buildings Compliance

	improvement in the Council's Corporate Assessment. As part of the follow up work any recommendations for improvement identified will be incorporated as part of the Risk Management Plan associated with this risk.
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<b>1.2 Risk Owner</b>	<b>Director of Environment and Housing (MP)</b>
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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
<b><i>Political &amp; Legislative</i></b>	Yes	Political and legislative repercussions of failing to ensure that Council owned corporate buildings are not compliant with current duties/requirements as part of the Health and Safety at Work Act 1974.
<b><i>Resources</i></b>	Yes	<p>Limited availability of accurate and up to date compliance data in relation to both Council-owned assets and Third Party provision results in the Council not being able to meet its building compliance obligations.</p> <p>Budgetary pressures impacting on the availability of asset renewal funding will impact on how the Council prioritises and meets its building compliance obligations.</p> <p>Failure to adopt a strategic approach to the management of building compliance in relation to our existing Council-owned assets.</p> <p>Insufficient resources available to effectively, monitor, prioritise and project manage completion of building compliance work.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Failure to fully deliver our building compliance responsibilities.</p> <p>Failure to 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 that Third Party providers and Schools are effectively managing any building compliance issues and associated risks.</p> <p>Failure to safeguard the wellbeing of our service users/residents/pupils in Council-owned assets and other associated public buildings as a result of an incident arising from non-compliance.</p> <p>Inability to sustain service delivery/business continuity from premises as</p>




1.3 Risk Categories		
Categories	Yes/No	Definition
		a result of an incident associated with non-compliance.
<b>Reputation</b>	Yes	<p>Erosion of public confidence and trust in the Council as a result of a compliance failure that would damage its reputation and attract negative criticism from Welsh Government our regulators.</p> <p>Reputational risk of failing to address/monitor compliance in any buildings where the Council has a vested interest/stake in the premises and/or the services that are being delivered.</p>

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Regular reporting of progress/updates via Insight and CMT.</li> <li>Regular operational meetings with project team.</li> </ul>	2	1	2
<b>Resources</b>	<ul style="list-style-type: none"> <li>Successful appointment of a Compliance Officer and two trainee positions.</li> <li>E form developed for the collection of compliance data from Schools.</li> <li>Process/mechanism established for the collection/reporting of data from Schools.</li> <li>Discussions regarding cost mechanisms for service are ongoing.</li> <li>IPF database is now being populated and relevant paperwork scanned onto the system.</li> <li>Schools who have signed up to an</li> </ul>	2	2	4

<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact Score</b>	<b>Total Score</b>
	agreement with us are charged a 'minder's fee' for compliance. Any school that has not signed up to this are subject to regular monitoring visits.			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Site visits have been conducted on the majority of school sites and corporate (council owned) assets to ascertain compliance attributes.</li> <li>• IPF database is now being populated and documentation has been entered onto the system to capture compliance evidence/information with service dates being updated at the same time.</li> <li>• Officers are working with individual sites to address any issues which have been identified during he visits.</li> <li>• Regular reminders sent to duty holders of premises for up and coming services/inspections.</li> </ul>	2	1	2
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• The response from schools and other sites has been very well received and better than expected.</li> </ul>	2	1	2
<b>Overall Effectiveness of controls</b>		<b>2</b>	<b>1</b>	<b>2</b>



2.3 Residual Risk Scoring & Direction of Travel											
	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		
<b>Average risk score/ direction of travel</b>	3	3	9	2	1	2	2	3	<b>6 (Medium)</b>		

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Produce an inventory of Social Services premises including those used by commissioned Third Party providers to identify a clear compliance position.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT/GT	March 2019	<b>Green (Completed)</b>  Action completed and will be reflected as a control in the Register in the next quarterly update.	Inventory for Social Services assets has now been completed.
	Create a Master List of all public buildings along with a 'weighting' formula for recharging compliance data management costs.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT/MS	March 2019	<b>Not applicable</b>	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

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				
														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 inventory details.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AT/GT	March 2019	<b>Green (On track)</b>	IPF database development remains ongoing. The database has been updated following site visits and compliance documentation has been uploaded. A full roll out of the system is anticipated by end of year (qtr4) after training has been provided to premises managers giving them on site access to IPF to enable them to review and monitor compliance for their own site.

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				
	Roll out new corporate building compliance approach to non-school premises.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT/GT	March 2019	<b>Green (On track)</b>	Majority of site visits have been conducted. This work remains ongoing. 87% 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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2019	<b>Green (On track)</b>	87% of all corporate buildings have now been inspected and documents have been input into the IPF system where available. Requests chasing missing documents has commenced and clients are being advised where missing certificates are identified

**Corporate Risk 11: Safeguarding**

1 – Risk Overview						
<b>1.1 Risk Description</b>		<p>The Council has produced Corporate Safeguarding procedures including the Safer Recruitment Policy, the Staff Supervision Policy and the Referral of Safeguarding Concerns procedure. These policies and procedures are in place to ensure the Council meets its safeguarding responsibilities in relation to the protection of children, young people and adults at risk by ensuring that recruiting managers comply with pre-employment DBS and reference checks and once in post, employees are supervised in terms of their practice with people considered to be ‘at risk’. The Council 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>				
<b>1.2 Risk Owner</b>		<b>Head of Resource Management and Safeguarding</b>				
1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	No	No	Yes	Yes	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
<b><i>Political &amp; Legislative</i></b>	Yes	<p>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>
<b><i>Resources</i></b>	Yes	<p>Recruiting managers are not sufficiently trained to apply the relevant safeguarding procedures resulting in these procedures being breached.</p> <p>Inability to provide levels of training for staff or independent sector to ensure quality of care for citizens provided by Council.</p> <p>Failure to safeguard vulnerable groups as a result of recruiting unsuitable staff.</p> <p>Failure to have suitable information sharing mechanisms in place to ensure safeguarding concerns are reported to the right people at the right time.</p> <p>Insufficient operational staff capacity to ensure timely assessments and risk management plans are completed.</p> <p>Increase in numbers and complexity of care proceedings in the context of reduced court timescales impacting on court costs, Social Worker caseloads and ensuring that other cases receive the attention they require.</p> <p>Availability of other partners to support the preventative services agenda.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Care homes are embargoed or closed down due to concerns which have not been resolved through the Provider Performance process, resulting in disruption to the living arrangements of vulnerable adults.</p> <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.
<b>Reputation</b>	Yes	The erosion of public confidence and trust in the Council as a result of a safeguarding incident would damage the reputation of the Council and attract negative criticism from our regulators.

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
<b>Political &amp; Legislative</b>	<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
<b>Resources</b>	<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.			
<b>Service Delivery &amp; Well-being</b>	<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.			
<b>Reputation</b>	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
<b>Overall Effectiveness of Controls</b>		<b>3</b>	<b>2</b>	<b>6</b>

2.3 Residual Risk Scoring & Direction of Travel											
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	2	3	6	3	2	6	1	2	2	↔	↔
Resources	3	3	9	3	2	6	1	2	2	↔	↔
Service Delivery & Well-being	3	3	9	3	2	6	1	2	2	↔	↔
Reputation	2	4	8	3	1	3	1	4	4	↔	↔
<b>Average risk score/ direction of travel</b>	3	3	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	<b>Green (On track)</b>	The review of current processes is underway, taking into account the new Welsh Government guidance. The first two chapters are now in a draft form and open to consultation. This work will help assure staff to feel confident in using procedures and ensure effective compliance with our Safeguarding responsibilities under the Act.
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	<b>Green (On track)</b>	During this quarter we have continued to work with and 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

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.													regularly by the Corporate 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	<b>Not applicable</b> Action not due to commence until quarter 3.	Once the review of processes outlined in RM/A004 has been complete, training sessions will be established for staff to attend with this focus. This is expected to progress towards the end of the calendar year.
AH11 RM/A01 2	Support the completion of the review of the All Wales Child and Adult Protection Procedures.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ	March 2019	<b>Green (On track)</b>	The review of current processes is underway, taking into account the new Welsh Government guidance. The first two chapters are now in a draft form and open to consultation. This work will help assure staff to feel confident in using procedures and ensure effective compliance with our Safeguarding responsibilities under the Act.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH11 RM/A01 3	Implement agreed recommendations arising from the 2018/19 Safeguarding Internal Audit work.	✓	✓	✓	✓	✓	✓	✓	✓	✓	NJ	March 2019	<b>Green (On track)</b>	The recommendations have now been built into the Corporate Safeguarding Action Plan. Roll out of the e-module is expected in September 2018. The roll out has been planned to ensure everyone across the Council, where appropriate, undertakes the safeguarding e-module training.
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	<b>Green (On track)</b>	Data set still under development with partners as part of the Child Sexual Exploitation Strategy.
AH11 HR/A00 2	Continue to support and monitor the application of the Council’s Safer	✓	✓	✓	✓	✓	✓	✓	✓	✓	LB	March 2018	<b>Green (On track)</b>	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				
	Recruitment Policy.													recruitment policy. Compliance is as follows for July 80%, Aug 100%, Sept 98%. There has been an increase in compliance especially for the busiest period of September. Regular monitoring will continue.



**Corporate Risk 12: Integrated Health and Social Care**

1 – Risk Overview						
1.1 Risk Description		<p>Adult Services are becoming increasingly integrated with health services in order to provide service users and patients with seamless care arrangements. There is also an emphasis as part of the Social Services Wellbeing Act to focus on looking at integrated ways of working through collaboration. The recommendations arising from the recent Parliamentary Review of Health and Social Care has further cemented the need for further developing our approach to integrating health and social care services. The Parliamentary review identified that the focus needs to be on 'empowering individuals to take decisions, tailoring care to the individual's expressed needs, whilst being more proactive and preventative. The review also emphasised the need for care provision to be 'seamless', of high quality and as close to home as possible.</p> <p>Although, significant strides have been made by the Vale of Glamorgan in relation to integrated health and social care services, there continue to be risks and challenges associated with its delivery. For example, developing a more integrated approach to service provision is likely to propose further challenges with technology, information sharing, staffing structures and governance re policies and financial management. Financial scrutiny will be required to ensure that any risks associated with mandated pooled funding are properly considered. There are also risks associated with the overall sustainability of these new ways of working, given that a significant amount of investment in new ways of working is via Grant funding and therefore short term and finite.</p> <p>Existing HR and IT arrangements may need to be reviewed as organisations work more closely together. The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&amp;V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by ABMU. Integration with C&amp;V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services. The focus continues to be on accessing funding such as Integrated Care Fund and Transformation Fund in order to further expand and develop our integrated service models. For example, Regional Partners recently submitted a bid to access Transformation Funding to support implementation of the Parliamentary Review. As a result, the region was awarded £7million to deliver 7 projects across the Cardiff and Vale region with the vision of developing more 'seamless care' for our citizens. £1.3million of this Transformation funding was secured by the Vale of Glamorgan in partnership with the Health Board to lead on piloting a new GP triaging scheme using the Council's Customer Contact Centre (C1V).</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
<b>Political &amp; Legislative</b>	Yes	<p>Inability and capacity of key partners to work effectively together to deliver integrated health and social care services across the region.</p> <p>Failure to put in place effective governance structures to ensure accountability and transparency in decision making which could have a detrimental impact on the ability to integrate health and social care services.</p>
<b>Resources</b>	Yes	<p>Failure to effectively project plan, manage and communicate changes to models of service delivery resulting in delays and/or compromising the quality and delivery of integrated health and social care services.</p> <p>Inability of staff to work effectively across organisational boundaries to deliver the integrated health and social care programme, as a result of poor staffing levels and/or a lack of training.</p> <p>Failure to implement a fully integrated IT information system that is accessible to staff across the health and social care organisational boundaries.</p> <p>Failure to agree pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny.</p> <p>Ineffective scrutiny of the utilisation and expenditure of pooled budgets.</p> <p>Sustainability of projects into the longer term is uncertain due to the short-term and time-limited nature of funding e.g. ICF and Transformation funding.</p> <p>Capacity to deliver fully integrated service models with existing assets and infrastructure and in line with the University Health Board's 'Shaping our Future Well-being' agenda that will see the development of Well-being Hubs/Health Centres.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to maintain business continuity and strengthen service resilience as a result of changes made to service delivery models during the transitional period.</p> <p>Risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics.</p> <p>Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services.</p> <p>Disproportionate funding split in relation to partners spending/commissioning of care arrangements impacting on the 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.
<b>Reputation</b>	Yes	Failure to manage expectations of service delivery as part of the new delivery models impacting on the Council's reputation.

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Resources</b>	<ul style="list-style-type: none"> <li>Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board.</li> <li>Developed the ability to view both database systems via Vale IT.</li> <li>Implemented WCCIS within the Vale of Glamorgan Council whilst awaiting regional implementation by partner organisations.</li> <li>IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development.</li> <li>Joint Commissioning Board meets regularly to progress work for pooled arrangements.</li> <li>Contact Centre Development meetings are held fortnightly to review and monitor functions and future business streams. To further improve integrated services at our 'front door', we have commenced engagement work across the Contact Centre in relation to C1V Call Handlers, Customer Service Representatives for Adult Social Care and Call Handlers in relation to Health Services in order to further develop and enhance a more 'seamless' model of service provision in line with the recommendations arising from the Parliamentary Review.</li> <li>Joint transition meetings booked in across Cardiff and Vale on a monthly basis to develop a joint transition protocol which will include responsibilities of all partners (including mental health) within the transition process. This work will help develop a streamlined transition process enabling a smoother transition for young people to adult mental health services.</li> <li>Agreement for a pooled arrangements for older person's care home placements across the three statutory partners has been put in place.</li> </ul>	1	1	1
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>DEWIS Cymru Portal is providing more effective signposting for service users to adult services.</li> <li>Continued to develop the Customer Contact Centre as a single point of</li> </ul>	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"> <li>• Reviewed and put in place new assessment processes and IT infrastructure to ensure compliance with the Social Services Wellbeing Act.</li> <li>• Effectively use funding including the Integrated Care Fund and Transformation Fund to explore new models/ways of working to further enhance integrated service delivery. 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.</li> <li>• The Welsh Community Care and Information System was launched in November 2017 to enable the safe sharing of information to deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act. There is also ongoing developed in relation to</li> <li>• The financial functionality of the system. We continue to support the implementation on a Regional basis and feed into the National team.</li> <li>• Joint Care Package approval process has been agreed with Cardiff and Vale University Health Board (UHB) for use on complex hospital discharges. This work is aimed to reduce the numbers of delayed transfers of care for social care reasons.</li> <li>• Delivered a successful Outcome Focused Case Management Pilot called 'Your Choice'. This approach has received significant attention from external organisations interested in replicating the model to demonstrate the measurement of outcomes for</li> </ul>			

## CR12: Integrated Health and Social Care

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	service users and we won a Social Care Wales award.			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Senior Officer and Councillor representation on the Regional Partnership Board.</li> </ul>	1	1	1
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	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	<b>Green (On track)</b>	We have secured £1.3million Transformation Bid funding to further integrate services in relation to GP triaging. This model will allow us to meet recommendations outlined in the Parliamentary Review and develop a more seamless approach to care for our citizens. The Customer Contact Centre continues to also explore opportunities for further developing our single point of access for health and social care. We are awaiting the outcome of engagement work currently under way before a way forward is identified.
AS/A009 PD/A01 8 AH7	Review and amend processes at the Customer Contact Centre to support	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TC	March 2019	<b>Green (On track)</b>	Authorisation has been granted to commence an engagement exercise with Customer Relations, Adult Services and



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				
	provision of advice and assistance in line with requirements of the Act.													Health staff on how to meet the objectives following on from the Parliamentary Review of Health and Social Care in Wales. Staff meetings where held in September 2018 to launch the engagement with recommendations on a way forward expected in January 2019. This work includes a review of options to improve the IAA process.

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	<b>Green (On track)</b>	Staff engagement towards the option of creating a seamless health, social care and wellbeing service in the contact centre environment to provide a more integrated service commenced in September 2018 and is expected to be completed by the end of October 2018. Recommendations relating to the development of the service in the future are expected in January 2019.
AH9 AS/A024	Maximise access to and use of grant funding streams such as the Integrated Care Funding to support development of further integrated	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	<b>Green (On track)</b>	Planned progress against all projects funded via ICF has been achieved as per the project plans with some minor exceptions which are being addressed. In addition, we have successfully secured ICF Capital

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				
	services.													funding for our Residential Care Homes that enables further developments to improve access to our services and the ability to explore improved models of care and inclusion of the community.
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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<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	<b>Not applicable</b>	Awaiting update for Quarter 2 period.
AH9 AS/A027	Implement the new Community Mental Health Teams Integrated Model to support working age adults with mental health needs.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LW	March 2019	<b>Green (On track)</b>	Vale Locality Mental health Team now in operation at Barry Hospital. Models of service delivery being piloted currently which will inform the roll out for the two Cardiff Locality Teams next year.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH9 AS/A028	Work with partners to launch the 10 year Dementia Strategy to better integrate the service via a multi-agency service model.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AC	March 2019	<b>Green (On track)</b>	Secured additional £600K of ICF funding for the Cardiff and Vale region that is ring fenced for Dementia to support a 'Team around an Individual' led by Dr Suzanne Wood. This new model will be launched during Quarter 3.
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	<b>Green (On track)</b>	The Vale of Glamorgan Council worked with regional partners to prepare and submit a proposal for the Transformation bid. This was submitted in August with information regarding approval due September/October.
AH9 AS/A029	Further develop and enhance the Integrated Autism Service with a specific focus on enhancing links with 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"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	KI	March 2019	<b>Green (On track)</b>	The Integrated Autism Service (IAS) has visited a range of stakeholders including the substance misuse team, housing, Into Work, Supported Living, homeless team etc. Staff

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				
	services, service users and their carers and the provision of training for professionals.													have delivered two parent carer workshops to 48 parents. Staff have worked jointly with Barnardos to deliver Sygnet parenting programme. Adults engaging with the service have participated in social Eyes social skills training, a “skills for life” course looking at a range of skills needed to become more independent and will shortly embark on a “Get Cooking” with the support of the dietetics team.
AS/AM041	Review the quality of our existing assets to ensure they are ‘fit for purpose’ both now and in the future, which includes identifying options for the way forward in	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2019	<b>Green (On track)</b>	The locality project Group supports this action. 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

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				
	relation to delivery of integrated health and social care services.													and to ensure that assets are used effectively. This work has been linked into the University Health Board's (UHB's) Shaping our Future Wellbeing for the Community strategy by continuing to lead and attending meetings during quarter 2 to discuss plans for Wellbeing Hub @ Penarth, Wellbeing Centre @Barry and supporting the development of capital and slippage bids for monies under Integrated Care fund which we successfully secured for our residential care homes.
AS/AM0 23	Continue to develop Ty Jenner as a Health and Social Care Hub.		✓	✓		✓	✓	✓	✓	✓	SC	March 2019	<b>Green (On track)</b>	As per the previous quarter ongoing dialogue continues to use our assets appropriately across Health and Social Care. We continue to maximise

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				
														opportunities within the Shaping our Future Wellbeing agenda.

**Corporate Risk 13: Unauthorised Deprivation of Liberty Safeguards**

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



CR13: Unauthorised Deprivation of Liberty Safeguards

<b>Wales</b>	<b>Prosperous Wales</b>	<b>Wales</b>	<b>Wales</b>	<b>Equal Wales</b>	<b>Cohesive Communities</b>	<b>Vibrant Culture and Thriving Welsh Language</b>
No	No	No	Yes	Yes	Yes	No

**1.4 Risk Categories**

<b>Categories</b>	<b>Yes/No</b>	<b>Definition</b>
<b><i>Political &amp; Legislative</i></b>	Yes	<p>Risk of legal challenge as a result of a failure to adhere to the Deprivation of Liberty Safeguards for relevant care home residents or for those living in their own homes (where authorisation from the Court of Protection has not been sought) and for young people lacking capacity.</p> <p>Political repercussions as a consequence of failing to adhere to the Deprivation of Liberty Safeguards.</p>
<b><i>Resources</i></b>	Yes	<p>Inability and capacity of key partners to effectively work together to safeguard adults 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>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Failure to undertake assessments resulting in unauthorised deprivation of liberty that could have detrimental impact on the health and wellbeing of the individual.</p> <p>The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.</p> <p>Implications arising from the Court of Protection associated with Deprivation of Liberty of people living in domestic settings.</p> <p>Failure to appropriately identify individuals living in domestic settings where authorisation from the Court of Protection should be sought.</p> <p>Excessive waiting times for an assessment impacting on unlawful deprivation of liberty.</p>
<b><i>Reputation</i></b>	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
<b>Political &amp; Legislative</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Resources</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Service Delivery &amp; Well-being</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>
<b>Reputation</b>	3 (Almost certain)	3 (High)	<b>9 (High)</b>
<b>Overall Inherent Risk Score</b>	4 (Almost certain)	3 (High)	<b>12 (High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<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
<b>Resources</b>	<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
<b>Service Delivery &amp; Well-being</b>	<p>Effective case management processes in place</p> <p>The CMHT for Older People has relocated from Ty Jenner to Llanfair Unit at Llandough Hospital.</p> <p>Advocacy Gateway provider has been identified through market analysis with plan to go live with Gateway in June 2018. Existing providers are to continue to provide advocacy and Independent Professional Advocacy as accessed through the Gateway.</p> <p>Gateway provider will monitor demand for advocacy and Independent Advocacy to inform future commissioning intentions. This work will lead to the Cost effective commissioning of advocacy Services that meets the needs of service users.</p>	1	1	1

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

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

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	<b>Green (On track)</b>	During quarter 2, an additional funding contribution by the University Health Board was discussed at the DoLS Partnership Board. We now received confirmation from the UHB in terms of their contribution.
	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	<b>Green (On track)</b>	The Terms of Reference were agreed during quarter 1. Work has commenced during quarter 2, and has focused on reviewing and evaluating existing systems and processes. It is anticipated that the review will be finalised during

CR13: Unauthorised Deprivation of Liberty Safeguards

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				
														quarter 4 where recommendations for improvement will be identified.

Corporate Risk 14: Contract Management

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

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	<p>If service arrangements fail due to poor management or the lapse of a contract the Council may not be able to continue to provide priority services.</p> <p>Failure to comply with Council procedures may result in the Council being in breach of EU tendering thresholds.</p>
<b>Resources</b>	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>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Quality of key services could suffer as a result of poor contractual performance.</p> <p>Service performance measures are not formally agreed and reviewed regularly via contract monitoring processes.</p> <p>Closure/failure of commissioned providers and the impact this has on our ability to deliver statutory services.</p>
<b>Reputation</b>	Yes	Failure to ensure service continuity as a result of provider failure.

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Audit findings shared with and debated at Audit Committee</li> <li>Updates regarding contract monitoring and management have been considered by Audit Committee</li> <li>Review of contracting arrangements undertaken which concluded that robust systems were in place and policies and procedure were up to date and relevant.</li> <li></li> </ul>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Training in relation to Procurement and Contract Management delivered to over 300 staff in March 2017</li> <li>• Procurement Code of Practice updated, reviewed via Insight Board and CMT</li> <li>• Revised Procurement Code of Practice published on StaffNet</li> <li>• Procurement pages on the Staffnet updated with key processes highlighted for all staff</li> <li>• More detailed training and discussions taken place in services where staff undertake more procurement activity</li> <li>• Situation with regard to the finalisation of contracts reported to CMT on monthly basis</li> <li>• Updates to CMT on regular basis regarding the audit work undertaken on contracts and contract management Consistent application of the escalation of concerns process.</li> </ul>	3	2	6
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Service performance requirements now included in contract documentation A system for monitoring non-compliance against service targets has been established and is now operational.</li> </ul>	2	2	4
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• No services have failed due to poor contracting processes</li> </ul>	3	1	3
<b>Overall Effectiveness of Controls</b>		<b>3</b>	<b>2</b>	<b>6</b>

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

3. Risk Management Plan – Mitigating Actions															
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	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	<b>Green (On track)</b>	Progress has been made towards developing a Central Contracts Register with the development brief for the register having now been agreed to help ensure a consistent approach is taken allowing a corporate overview of all contracts.
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	<b>Green (On track)</b>	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

CR14: 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.

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

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

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

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Initial launch/Go live has been successful.</li> <li>Delivery of other development phases of the system are being monitored via operational meetings.</li> <li>Regular reporting of progress/updates via</li> </ul>	2	1	2



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

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

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

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.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	GJ	March 2019	<b>Green (On track)</b>	WCCIS Board has met and identified opportunities to acquire additional expertise to address some of the issues within the system. Finance module has received a positive reaction from operational staff and therefore we will commence implementation.
	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	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NH	March 2019	<b>Green (On track)</b>	Care Works have provided SQL report training to our performance team on how to develop the reporting function. A further two days 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				
	requests													training is planned during quarter 3.
	Address issues relating to financial functionality of WCCIS.	✓	✓	✓	✓	✓	✓	✓	✓	✓	GJ	March 2019	<b>Green (On track)</b>	The Regional Lead is taking this forward with Care Works. Conversations continue to be progressed with the view of piloting the development and use of the financial module associated with the system.
	Focus on minimising duplication through integrated teams accessing two systems.	✓	✓	✓	✓	✓	✓	✓	✓	✓	GJ	Ongoing	<b>Green (On track)</b>	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	<b>Green (On track)</b>	Funding has been confirmed for licences for operating the Legacy System to enable us to run the system in tandem. We are now considering what licences need to be purchased in order to sustain the legacy system.