



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK REGISTER

QUARTER 2 APRIL- SEPTEMBER 2017



Strong  
Communities  
with a Bright  
Future

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## Risk Definitions

### Inherent and Residual Risk Scoring

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

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

See matrix below:

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

### Effectiveness of Controls Score

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

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

## CORPORATE RISK SUMMARY




The table below provides a summary of the Corporate Risks by 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)	Establish baseline	↔
2	Legislative Change and Local Government Reform	12 (H)	2 (M/L)	2	3	6 (M)	Establish baseline	↔
3	School Reorganisation & Investment	12 (H)	4 (M)	2	2	4 (M)	Establish baseline	↔
4	Housing Improvement Programme	16 (VH)	4 (M)	2	2	4 (M)	Establish baseline	↑
5	Waste	12 (H)	4 (M)	2	2	4 (M)	Establish baseline	↑
6	Workforce Needs	9 (M/H)	4 (M)	2	2	4 (M)	Establish baseline	↔
7	Information Security	12 (H)	4 (M)	2	2	4 (M)	Establish baseline	↔
8	Environmental Sustainability	12 (H)	4 (M)	2	3	6 (M)	Establish baseline	↔
9	Welfare Reform	12 (H)	4 (M)	2	2	4 (M)	Establish baseline	↔
10	Local Development Plan	6 (M)	4 (M)	1	2	2 (L)	Establish baseline	↔
11	Safeguarding	9 (M/H)	6 (M)	1	3	3 (M/L)	Establish baseline	↔
12	Integrated Health and Social Care	6 (M)	4 (M)	2	2	4 (M)	Establish baseline	↔
13	Unauthorised Deprivation of Liberty Safeguards	12 (H)	1 (L)	4	3	12 (H)	Establish baseline	↔
14	Contract management	9 (H)	6 (M)	1	3	3 (M/L)	Establish baseline	↔

1

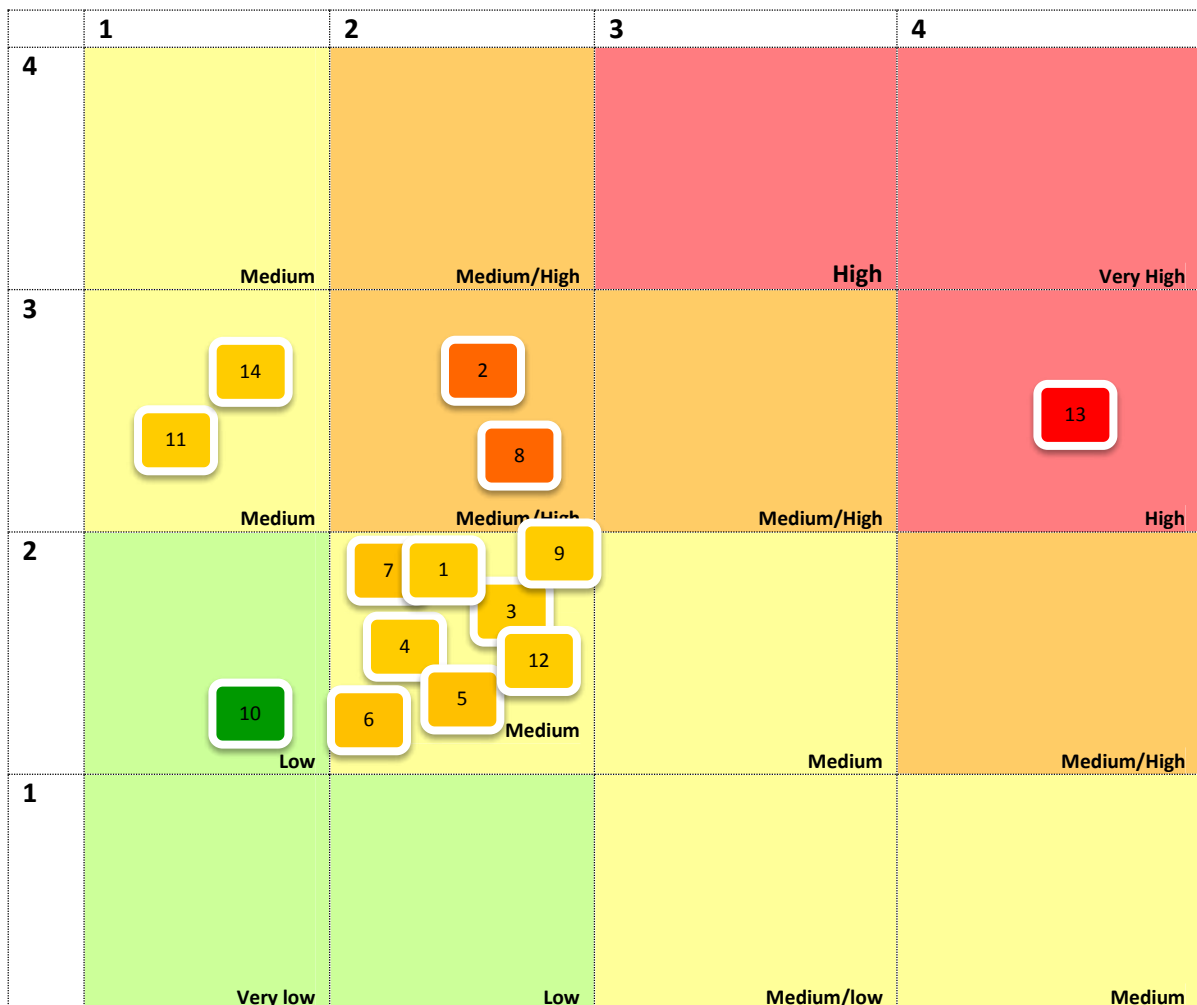
**Direction of travel** compares residual risk score for the current quarter with the previous quarter to indicate whether the risk is increasing/ decreasing or staying static.

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

 Risk increasing, 
  Risk is decreasing, 
  Risk remaining static

## OVERALL RISK HEAT MAP

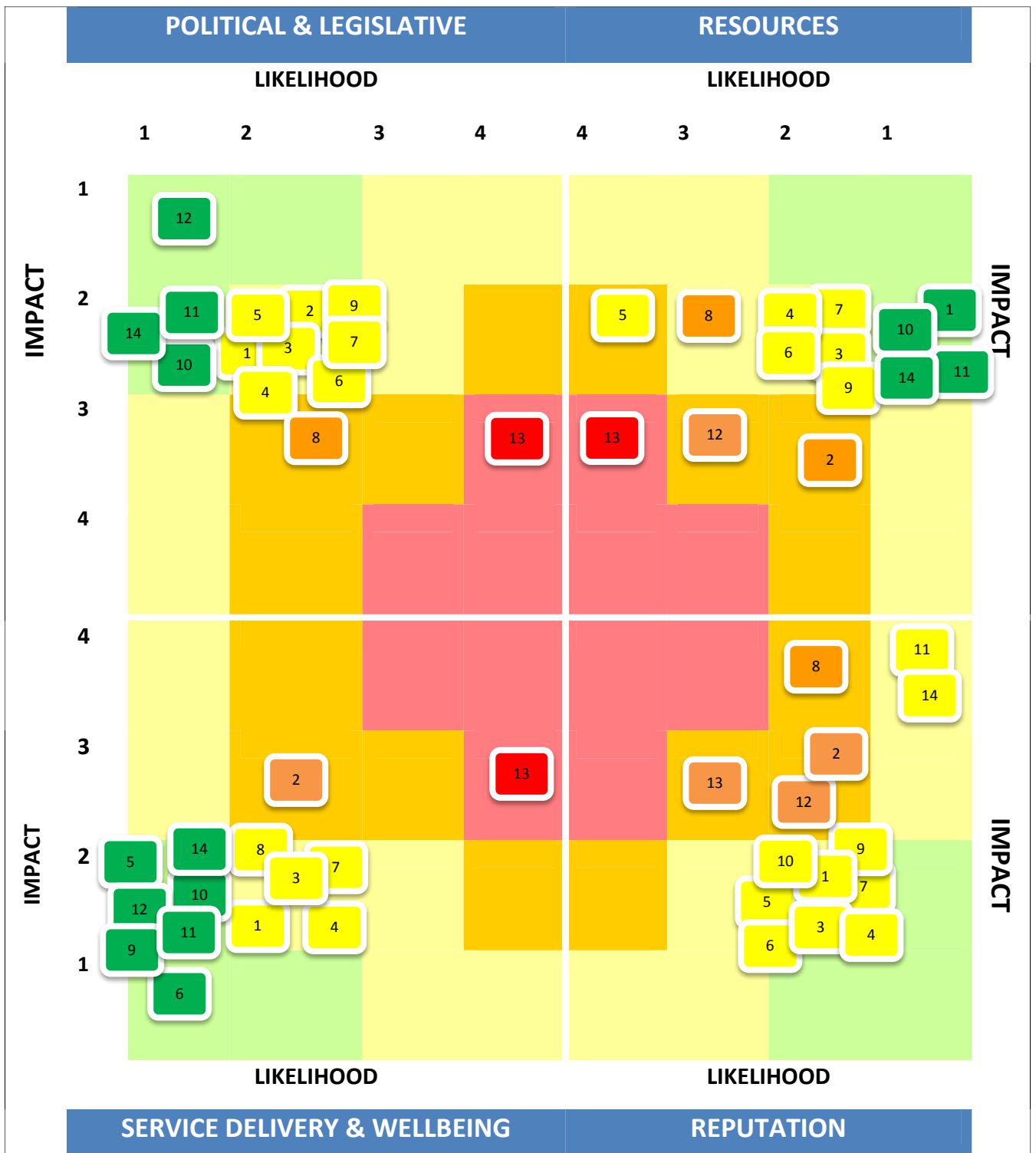
The Heat Map below uses a risk matrix quadrant to plot the residual risk scores (based on likelihood and impact) of each Corporate Risk to provide an illustration of the groupings of risks within the heat map.



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

## 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	8	Environmental Sustainability
2	Legislative Change and Local Government	9	Welfare Reform
3	School Reorganisation & Investment	10	Local Development Plan
4	Housing Improvement Programme	11	Safeguarding
5	Waste	12	Integrated Health and Social Care
6	Workforce Needs	13	Unauthorised Deprivation of Liberty
7	Information Security	14	Contract Management

## 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.

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

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



## 2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>• Challenge process in place to identify projects.</li> <li>• Mixed economy model approach to Reshaping approved.</li> <li>• Tranche 3 projects of corporate nature to lessen impact on front line services.</li> <li>• Risk management processes embedded in project management to identify and mitigate impacts on service users.</li> <li>• Programme documentation makes linkages with Well-being of Future Generations Act.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees.</li> <li>• Programme board and manager in place, with project team resources considered for each project.</li> <li>• Council's Financial Resilience considered good by WAO.</li> <li>• Business cases developed for projects and guidance in place for</li> <li>• 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> </ul>	3	2	6
<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> </ul>	2	2	4
<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</li> </ul>	2	2	4

## 2.2 Controlling Inherent Risk

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

### 2.3 Residual Risk Scoring & Direction of Travel

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

### 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/F02 1	Progress proposals via the Reshaping Programme, seek Cabinet approval for business cases as required and implement approved projects where appropriate	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB	March 2018	Green (On track)	The Reshaping Services Programme has continued to progress, with plans in place to deliver 2017/18 projects and developmental work underway to support tranche 3 which delivers savings in 2018/19. As at September 2017 An Amber performance status has been attributed to progress in relation to both Tranche 1 and 2 projects overall to reflect the positive progress made to date.
CP1 PD/F02	Commence consideration of Tranche 3 proposals of 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"/>	TB	March 2018	Green (On track)	Tranche 3 projects have been identified, with savings included in the

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
3	Reshaping Services programme and seek Cabinet approval for business cases as required.													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 ahead of the next financial year.
IS001 PD/A01 6 and IT/F019	Support the implementation of the Council's Digital Strategy.		☑	☑	☑	☑	☑	☑		☑	TB/NW	March 2018	Green (On track)	The Digital Strategy 2017-2020 was considered and endorsed by Cabinet on 31st July 2017. The Digital Strategy sets out the strategic direction for the future development of services. It outlines new ways of working for our staff and how we work with partners that embraces new digital

### 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>technologies to improve our service to customers whilst reducing costs.</p> <p>Theme meetings have been taking place to identify all of the required outputs and potential savings related to each theme. All this has been captured in individual Operational Action Plans and these plans will be presented to CMT for endorsement during Q3.</p>
CP1 PD/F02 2	Develop a procurement project for Tranche 3 Reshaping Services		☑		☑		☑			☑	TB	March 2018	Amber (In Progress)	A project for Third Party Spend is currently being developed, with a savings

### 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				
	programme.													target of £1m in 2018/19. To date we have identified a series of corporate categories of expenditure against which we have identified different approaches. We have begun profiling these across various budgets, so that actions can be taken to enable us to make budget savings.
CP1 PD/C00 3	Continue to develop and contribute to the corporate projects work streams including Town and Community Councils, Demand Management, Effectiveness of Spend and	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	March 2018	Amber (In Progress)	Work continues to contribute to these projects, notably the introduction of the Strong Communities Grant Fund that will support community and Town/Community Council

### 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				
	Digital Vale.													<p>projects.</p> <p>A number of Community Asset Transfer applications are being processed. The renewed Voluntary Sector Compact is in place and the first monitoring by the Voluntary Sector Joint Liaison Committee has taken place. A recent WAO recommendation to use a check list for working with the voluntary sector is to be considered by the project team at a meeting later in the month. In relation to the Effectiveness of Spend (Grants)</p> <p>The new Strong Communities Grant Fund was launched in July 2017,</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>with the first round of applications being sought for evaluation in October 2017. This scheme was promoted on social media, via press release and at the Vale Show.</p> <p>The review of external funding arrangements is underway, with a report to CMT in the next couple of months.</p> <p>Demand management has informed the development of this year's social services budget programme.</p> <p>The Council's Digital Strategy was approved by Cabinet in July 2017, after being updated with comments</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					
															from CMT.
CP1 PD/F02 4	Contribute to the development of a programme of training to support managers in delivering the Reshaping Services Programme.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	HI/TB	March 2018	Green (On track)	The autumn sessions of the management development programme have been scheduled and a programme to support the delivery of the "Managing the Future" element of the Management Competency Framework is under development, focusing on the themes of digital and commercial skills, linking to the Reshaping Services programme.	
CP1 PD/F02 7	Undertake the preparatory work to ensure that the service contributes to finding		<input checked="" type="checkbox"/>	<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 2018	Green (On track)	All services within the Resources Directorate are working towards achieving the savings target of	

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	£800,000 savings required for the directorate in 2017/18													£800,000 for 2017/18.  The Performance and Development Service have a savings target of £178,000 for 2017/18. The savings will be found from a reduction in the Customer Service Representatives headcount as a result of more people using the website and a reduction in business hours.
CP2 PD/W0 29	Develop and support for managers on commercialisation and income generation.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TB	March 2018	Green (On track)	An Income Generation and Commercial Opportunities Programme Team has been established to develop and review opportunities to contribute towards the

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>Council's saving target. A draft Income Generation and Commercial Opportunities Policy has been developed n considered by the team.</p> <p>The policy sets out a range of objectives and principles designed to enable a consistent approach to be adopted across the Council to the full range of issues relating to income and commercial opportunities. This policy will now be considered by CMT and Cabinet and disseminated to all managers thereafter.</p> <p>A strategy on implementing the policy is also under development 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					
															be reported in tandem on how the Council will seek to deliver the required
PD/AM 037	Implement new Community Asset Transfer guidance and explore and promote opportunities for Community Asset Transfers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	HI/TB	March 2018	Green (On track)	Support continues to be given to groups who approach the Council with applications for Community Asset Transfers (CATs). Information and guidance on CATs can be easily found at <a href="http://www.valeofglamorgan.gov.uk/en/our_council/Community-Asset-Transfer.aspx">http://www.valeofglamorgan.gov.uk/en/our_council/Community-Asset-Transfer.aspx</a> .	
PD/AM 038	Delivery of Phase 2 of the Space Project.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB	March 2018	Green (On track)	Work to the Council Chamber and committee rooms have been completed. The next phase will focus 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	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														the reception area of the Civic Offices.

## 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 focus has now moved away from enforced mergers of Councils. Following a Welsh Government statement on 17<sup>th</sup> July 2017, the emphasis is now on mandatory regional working between the 22 Councils on areas around economic development, strategic land use planning and strategic transport. It will focus on three larger regions; North Wales, Central and South West Wales and South East Wales with scope for sub-regional working. There will also be a focus on further regional working across other services such as education, social services etc. The key risk associated with this proposed new Bill is the effectiveness of regional working arrangements and their ability to deliver localised services that best meet the needs of communities.

**1.2 Risk Owner** Corporate Management Team

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

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

**1.4 Risk Categories**

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



1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Resources</b>	Yes	<p>Insufficient funding to ensure that we can meet our legislative requirements associated with the Social Services Wellbeing Act, Wellbeing of Future Generations Act, and the proposed new Local Government Bill.</p> <p>The financial management of responding to and resourcing legislative changes across a breadth of services and the impact of any reform will be a major undertaking, and developing adequate arrangements for managing these aspects will be key.</p>
<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 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, service delivery as 'business as usual' is not prioritised, negatively impacting on our residents.</p>
<b>Reputation</b>	Yes	<p>Effective communication with staff and with our customers will be essential during a time of significant organisational change.</p> <p>Failure to communicate effectively could undermine the trust of employees, external stakeholders and our customers and poorly orchestrated delivery of organisational reform.</p> <p>Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity. Lack of credibility and potential criticism from our external regulators.</p>

## 2 – Risk Evaluation

### 2.1 Inherent Risk Scoring

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

### 2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<p>Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments relating to legislative change.</p> <p>Council Leader and Managing Director are members of key national bodies such as the WLGA, SOLACE Wales and the City Deal arrangements.</p> <p>Insight Group oversees the coordination of integrated planning activity for the Council in terms of delivering against the sustainable development principle.</p> <p>The Public Service Board has adopted the plans and structures of the former LSB and will continue to deliver the identified priorities until the Wellbeing Plan is published.</p> <p>Task and Finish groups for the initial</p>	2	2	4

## 2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	implementation of the Social Services Wellbeing Act have been established.			
<b>Resources</b>	<p>Worked with the PSB to develop a Wellbeing Assessment that has identified community needs alongside community assets.</p> <p>Raised awareness amongst staff regarding the requirements and implementation of the Social Services Wellbeing Act and identify opportunities to up skill staff across the social care sector to ensure they are able to meet the demands of the Act.</p> <p>Continued to support the ongoing development of the DEWIS information portal.</p> <p>Budget setting process includes considerations of cost pressures arising from legislative change.</p>	2	1	2
<b>Service Delivery &amp; Well-being</b>	<p>Implementation of the Social Services Wellbeing (Wales) Act Action Plan.</p> <p>Continued to pursuit of collaborative opportunities with partners in neighbouring organisations and in anticipation of the proposed Local Government Bill.</p> <p>Worked with the PSB to develop a Wellbeing Assessment that has identified community needs alongside community assets.</p> <p>Continued support the ongoing development of the DEWIS information portal.</p> <p>Implemented new assessment processes to ensure compliance with the requirements of the Social Services Wellbeing Act.</p>	2	1	2

## 2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Reputation</b>	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 as part of the Wellbeing of Future Generations Act.	2	1	2
<b>Overall Effectiveness of Controls Score</b>		<b>2</b>	<b>1</b>	<b>2</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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	Establish baseline	↔
Resources	4	3	12	2	1	2	2	3	6	Establish baseline	↔
Service Delivery & Well-being	3	3	9	2	1	2	2	3	6	Establish baseline	↔
Reputation	4	3	12	2	1	2	2	3	6	Establish baseline	↔
<b>Average risk score/ direction of travel</b>	4	3	<b>12</b>	2	1	<b>2</b>	2	3	<b>6 (Medium)</b>	Establish baseline	↔

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 AS/A009	Work with C1V to review and amend processes at the Customer Contact Centre (C1V) to support the provision of advice and assistance in line with requirements of the Social Services Wellbeing Act.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Suzanne Clifton	March 2018	Green (Completed)	Welsh Government staff have recently visited and expressed how pleased they are with how the service is delivered from CCC, in an integrated manner. We are compliant with the SSWB Act and we will continue to improve upon this model through a work stream led by the Assistant Director for Adults in Cardiff and Head of Service in Vale.
AH7 AS/A010	Pilot delivery of an outcome focused case management and measurement system within the Long Term	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Andrew Cole	March 2018	Green (On track)	Pilot has been successfully implemented with one care agency. Second phase of pilot now initiated to trial new service users 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 & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Care Service													Outcome Focussed Home Care approach. Video is being produced. New policy, contract and service specification being planned for completion by end 3rd quarter.
AH7/IT AS/A01 2	Continue to develop the IT Infrastructure to ensure that we can remain compliant with the Social Services Wellbeing Act.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	Suzanne Clifton	March 2018	Green (Completed)	Amendments have been made to current IT system to ensure compliance with the Act and has been developed in parallel with the Welsh Community Care Information System (WCCIS). Implementation of WCCIS has been delayed to 27th November 2017. Active training and data migration currently in process. Some risks

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														identified in relation to WCCIS with plans in place to minimise/mitigate.
AH7 BM/A0 05	Further develop relationships with our partners to implement alternative service delivery models that support the needs of at risk adults and children	✓	✓	✓	✓	✓	✓	✓	✓	✓	Suzanne Clifton	March 2018	Green track) (On	Work is ongoing in this area to support the development and use of the Market Position Statement. Assistant Director for Integration has initiated the Social Value Forum which will further contribute to this area of work.
AH7 BM/A0 22	Work with partners on the Regional Partnership Board to plan services in response to the Population Needs	✓	✓	✓	✓	✓	✓	✓		✓	Suzanne Clifton	March 2018	Green track) (On	The Area Plan has been developed in response to the needs presented in the Population Needs Assessment, and the workshops to inform the



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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Assessment.													Market Position Statement and latterly the Commissioning Strategies are underway. Officers are engaged in the workshops and hold regular meetings to support the Assistant Director for Integration to deliver on this action. The Population Needs Assessment for Cardiff and The Vale of Glamorgan can be found on the Cardiff and Vale of Glamorgan Integrated Health and Social Care Partnership webpage <a href="http://www.cvihsc.co.uk/about/what-we-do/population-needs-">http://www.cvihsc.co.uk/about/what-we-</a>

**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				
														assessment.
AH7/IT BM/A0 023	Develop a more joined up corporate approach to developing preventative services that are aligned to the Social Services Wellbeing Act requirements to promote independent living.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Suzanne Clifton	March 2018	Green (On track)	This is a difficult area to map as many preventative services are (and should be) beyond the remit of Social Services. The Social Services Well-being (Wales) Act (SSWB) Act clearly states that we need to ensure that preventative services exist and that we support communities and SME to develop in this area. In recognition that this is beyond the remit of the Division, a workstream has been identified and will be led by the Assistant

**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				
														Director for Integration and it is anticipated this will make the links with groups including the Community Safety and Poverty Alignment Group to deliver a more joined up approach. This will be monitored through the Regional Steering Group monthly meetings, chaired by the Directors of Social Services in the Vale of Glamorgan and Cardiff.
AH7 BM/A0 09	Ensuring staff and potential referrers are aware of the requirements under the statutory guidance relating to their duty 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"/>	Suzanne Clifton	March 2018	Green (On track)	Information has been posted on the intranet. Posters have been displayed across the Council and the hot line is established. Members

**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				
	report safeguarding concerns													induction took place 3rd/4th October. Corporate Safeguarding Group is due to meeting 12th October which will continue to monitor this area.
AH7 BM/A0 024	Undertake further development of the DEWIS Cymru portal to expand and extend its use.	✓	✓	✓	✓	✓	✓	✓	✓	✓	Suzanne Clifton	March 2018	Red (Slipped)	Proposals for spending the grant monies are to be presented to the Regional Steering Group on 13th October, 2017. This has been delayed whilst trying to resolve whether a regional solution could be found, the proposal now articulates a Vale only response.

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 BM/A0 25	Review accommodation with care options for older people and develop our commissioning strategy for future years.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Suzanne Clifton	March 2018	Green (On track)	Further development of plans that were outlined in Qtr1. Focus will continue to be in this area going forward with some considerations for alternative provisions being explored.
AH7 BM/A0 26	Identify opportunities for joint commissioning in line with Part 9 (Collaboration and Partnerships) duties of the Social Services Wellbeing Act	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Suzanne Clifton	March 2018	Green (On track)	Work continues in earnest to understand the requirements from Welsh Government and the positions of regional partners. All partners are engaged in this work area and determining a way forward. Work continues re the development and implementation of a joint commissioning across the

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														region, particularly in the area of Learning Disabilities Day opportunities.
AH7 CS/A013	Deliver training as appropriate to staff to ensure compliance with the Social Services and Well-being (Wales) Act.	☑	☑	☑	☑	☑	☑	☑		☑	Rachel Evans	March 2018	Green (On track)	Discussions have taken place with the Training Department to ensure that the training programme appropriately responds to the Division's training needs identified in relation to the Act. Staff are supported to attend these sessions.
AH7 CS/A014	Conclude the pilot of our Therapeutic Fostering Scheme and undertake a	☑	☑	☑	☑	☑	☑	☑	☑	☑	Karen Conway	March 2018	Red (Slipped)	A proposal is being drafted and costed with a view to developing a partnership

**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				
	cost/benefit analysis.													with the UHB to support the development of a therapeutic arm to our Fostering Service.
AH7 CS/A01 5	Extend the pilot for Direct Family Support Plus and undertake a cost/benefit analysis	✓	✓	✓	✓	✓	✓	✓	✓	✓	Karen Conway	March 2018	Green (On track)	An agreement has been reached to extend the pilot for Direct Family Support Plus to 31/03/2018. Work is underway to develop a service specification that will enable procurement of our family support services during this calendar year, informed by the findings of the pilot.
AH7 CS/A01 6	Increase transparency of the continuing health care process	✓	✓	✓	✓	✓	✓	✓	✓	✓	Rachel Evans	March 2018	Green (On track)	The Vale and Cardiff Councils, together with the

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	and seek local authority membership of the panel.													University Health Board (UHB), have commissioned a piece of work with the intention of developing a proposal that improves transparency of the continuing health care process.
AH7 CS/A017	Monitor implementation of the revised Transition Policy via the multi-agency Transition Improvement Group.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Debbie Davies	March 2018	Green (On track)	Currently work is focused on aligning Cardiff processes with those of the Vale of Glamorgan. Cardiff Council recognises that the transition process that it currently operates has the potential for improvement. The role of the Regional Operational Change Manager has been useful to support



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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														delivery of services across Cardiff and the Vale of Glamorgan. It is recognised that the Vale of Glamorgan has successfully implemented transition services underpinned by a Transition Protocol, which supports best practice across agencies.
CP4 PD/A024	Develop and agree a Wellbeing Plan in line with requirements of the Wellbeing of Future Generations Act.	☑		☑		☑	☑	☑		☑	Huw Isaac	March 2018	Green (On track)	The draft plan was approved for consultation on the 19th September. The plan has been developed with the involvement of all partners and is framed around four well-being objectives. The draft plan has also taken

**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				
														account of feedback from the Future Generations Commissioner. Consultation will be undertaken over a 12 week period and will include attendance at a range of events, an online survey and stakeholder workshops. The plan will then need to be approved by partners prior to publication in early May.
CP6 PD/A02 2	Incorporate the process of reviewing the existing Wellbeing Objectives as part of our annual self-assessment	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	Tom Bowring	March 2018	Green (On track)	This will be undertaken as part of the annual self-assessment process as an opportunity to ensure the well-being objectives

**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				
	process.													remain relevant in contributing to the Council delivering our corporate priorities and contributing to the national well-being goals.
CP6 PD/A02 3	Produce an Annual Report for the Council that incorporates a performance assessment and an annual Wellbeing report in line with statutory requirements.	☑		☑	☑	☑	☑	☑		☑	Tom Bowering	March 2018	Green (On track)	This work will reported later in the year as part of the annual self-assessment process. The quarterly performance information and regulator reports will inform this assessment.

1 – Risk Overview

1.1 Risk Description

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.

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

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

1.2 Risk Owner

Head of Strategy, Community Learning and Resources (TB)

1.3 Impact on our contribution to the Wellbeing Goals

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

## 1.4 Risk Categories

Categories	Yes/No	Definition
<b><i>Political &amp; Legislative</i></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>
<b><i>Resources</i></b>	Yes	<p>Failure to deliver the programme in line with plans approved by Welsh Government could impact on the Council's success in securing grant funding in future bands of the 21<sup>st</sup> Century Schools Programme.</p> <p>There is the risk that insufficient s106 money will impact on our ability to secure sufficient places in schools where there is the highest demand for places.</p> <p>The Council's success in securing capital receipts is critical to the delivery of the programme. Failure to generate capital receipts would result in increased prudential borrowing, the cost of which would fall to be met from the education revenue account at a time when services will be required to identify substantial savings as a result of reductions to the Council's aggregate external financing.</p> <p>Failing to reduce surplus places through investment impacts on effective resource management in schools.</p> <p>Insufficient funds to carry out prioritised asset renewal schemes impacts on health and safety.</p> <p>A requirement of 21<sup>st</sup> Century Schools is that all grant funded schemes should meet BREEAM Excellent which addresses wide-ranging environmental and sustainability issues. Failure to deliver schemes would impact adversely on a range of factors including energy efficiency, carbon emissions, minimising waste and improvements to community involvement and social inclusion.</p>
<b><i>Service Delivery and</i></b>	Yes	Failure to implement an appropriate school reorganisation

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Wellbeing</b>		<p>programme as a result of not achieving our surplus place target. Impact of new housing developments is likely to place a significant pressure on school place planning. Insufficient capital funding for building works could lead to further deterioration resulting in implications for health and safety. Funding for adaptations to schools under Disability Discrimination Act is limited and could result in a pupil not being able to attend the school of choice or not being able to access facilities used by other pupils.</p> <p>Failure to meet demand for Welsh medium education.</p> <p>Impact of a poor learning environment on a pupil's learning experience if we fail to meet the 21<sup>st</sup> Century Schools standards.</p>
<b>Reputation</b>	Yes	<p>Failing to provide the right type and number of school places in the right areas could result in the Council being in breach of statutory requirements which would impact on its reputation. Similarly, closure of schools as a result of building failure would attract negative publicity and criticism from the community and regulators.</p>

## 2 – Risk Evaluation

### 2.1 Inherent Risk Scoring

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<p>Awareness raising session held with members 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.</p> <p>Comprehensive governance structures in place to effectively monitor and manage delivery of the programme such as Programme Officers and a Programme Board including the Strategic Investment Programme Chief Officers Group (strategic) and the Strategic Investment Project Board (operational)</p> <p>Strategy to support Welsh medium education, Welsh language promotion and contribute to Welsh Governments target of one million Welsh speakers by 2050 through the Council's Welsh in Education Strategic Plan (WESP).</p>	2	2	4
<b>Resources</b>	<p>Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme.</p> <p>Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects.</p> <p>We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements.</p>	2	2	4
<b>Service Delivery &amp; Well-being</b>	<p>Actively participate in the Council's Carbon Management Group.</p> <p>Work closely with the Planning Officers to identify potential educational demand as a result of new housing</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>developments in order to maximise S106 funding.</p> <p>Delivered a new school building for Oakfield Primary School and expanded Ysgol Gwaun Y Nant to accommodate growing pupil numbers.</p> <p>Opened Ysgol Dewi Sant, a new 210 place Welsh Medium Primary School in Llantwit Major.</p> <p>Amalgamated Eagleswell and Llanilltud Fawr schools.</p> <p>Amalgamated Bro Morgannwg and Ysgol Gymraeg Nant Talwg.</p> <p>Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school).</p>			
<b>Reputation</b>	<p>Survey demand for school places in line with the Council's Welsh Education Strategic Plan.</p> <p>Periodic review rolling 25 year plan for schools asset renewal.</p> <p>Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity.</p> <p>Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes.</p>	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	4	12	2	2	4	2	2	4	Establish baseline	↔
Resources	3	4	12	2	2	4	2	2	4	Establish baseline	↔
Service Delivery & Well-being	3	4	12	2	2	4	2	2	4	Establish baseline	↔
Reputation	3	4	12	2	2	4	2	2	4	Establish baseline	↔
<b>Average risk score/ direction of travel</b>	3	4	<b>12</b>	2	2	<b>4</b>	2	2	<b>4 (Medium)</b>	Establish baseline	↔

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AC8 SL/A017	Implementation of the Proposal to transform secondary education in Barry by creating two new mixed sex schools on the existing sites of Bryn Hafren and Barry Comprehensive schools.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB/LL/JS	September 2018	Green (On track)	This project continues on schedule. The Executive Head and School Development Manager posts have both been filled and the Head of Schools' positions have just been advertised with interviews scheduled for 13 Oct. The temporary governing bodies are well established and are working towards the new schools opening in September 2018. A BST Project Board has also been established for this purpose comprising of LA Officers and the Chairs of the temporary governing bodies to ensure a co-ordinated approach. The admissions

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				
														process for the transfer of existing pupils is proceeding well with parents and pupils well engaged with the process via a variety of meetings and presentations.
AC8 SL/A018	Complete and submit the Directorate's Band B Strategic Outline Plan.	✓	✓	✓		✓	✓	✓	✓	✓	TB/LL	March 2018	Green (Completed)	Formulation of Councils proposals for Band B of the 21st Century Schools programme were completed and submitted on 31 July 2017. This ambitious programme proposes 11 significant school building projects for Band B.
AC8 SL/A019	Manage the outcome of various school organisation consultations with regard to the team's			✓	✓	✓	✓	✓		✓	LL	January 2018	Green (On track)	The online process for the transfer of pupils to the two new Co-educational schools is now open and is

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	admission functions.													progressing well. The outcome will be shared with parents on 15 December 2017. In addition, allocations are currently being made for nursery places at the new nursery unit opening at Fairfield Primary School in January 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 2018	Green (On track)	Preparation for the working groups is continuing and will be a priority for the new School Access & Organisation Officer to be recruited during quarter three.

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AC9 SL/A02 1	Complete work on a school development needs assessment to feed in to a new school modernisation programme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LL	March 2018	Green (On track)	Planning is progressing well for this project and a Cabinet Report requesting Member involvement will be tabled during quarter three with a view to Member/ officer working groups commencing as soon as members have been agreed.
AC9 SL/A02 2	Progress the proposal to open a nursery unit at Fairfield Primary school from January 2018.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LL	January 2018	Green (On track)	The Building work is continuing and applications for the new nursery are now being processed. The admissions team are working with the school and the Communications team to advertise the new nursery via social media and other avenues.

**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		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB/LL	March 2018	Green (On track)	Review of current methodology and accuracy projects is ongoing in preparation for the Members working groups. This will be a priority for the new School Access and Organisation Officer.

## 1 – Risk Overview

### 1.1 Risk Description

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

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

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

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

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

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

	<ul style="list-style-type: none"> <li>• On site ecology issues affecting start and finish dates for work and;</li> <li>• Tenants refusing the works/access to their properties.</li> <li>• Insufficient budget available in year to pay for work on additional properties identified as requiring work which could impact on priorities in future years.</li> </ul>
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<b>1.2 Risk Owner</b>	<b>Head of Housing and Building Services (MI)</b>
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<b>1.3 Alignment with Well-being 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	No

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



1.3 Risk Categories		
Categories	Yes/No	Definition
<b>Wellbeing</b>		<p>timescales involved, resulting in poor buy in and support from local communities.</p> <p>The programme fails to safeguard the wellbeing of its tenants and provide good quality housing that meets the diverse needs of the community.</p> <p>Poor quality completion of works jeopardising the safety of tenants in properties.</p> <p>Not improving the Council's housing stock to create modern, energy efficient homes for the Vale's tenants</p>
<b>Reputation</b>	Yes	<p>Reputational damage of poor performance by contractors and requiring leaseholders to contribute to improvement works.</p> <p>Failure to deliver the programme of works to the standards required within the designated timescales could attract negative publicity and criticism from tenants and regulators.</p>






2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	4 (Almost certain)	4 (Catastrophic)	<b>16 (Very High)</b>
<b>Resources</b>	4 (Almost certain)	4 (Catastrophic)	<b>16 (Very 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>	4 (Almost certain)	4 (Catastrophic)	<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>	<p>Project governance structure in place including the Housing Improvement Group, the Quality and Design Forum, the Hard to Treat Working Group that produces regular update reports to the Homes and Safe Communities Committee and Cabinet.</p> <p>Annual report submitted to Welsh Government on the progress with the Housing Improvement Programme</p>	2	2	4
<b>Resources</b>	<p>Adopted a project management approach to delivering the improvement works with an Investment Plan and Asset Management Plan in place.</p> <p>Undertaken a restructure of the service to ensure that we have the correct staff skills and expertise in place to manage delivery of the housing improvement programme.</p> <p>Produced a Stock Condition report and undertaken a Surplus Land Review to assess the current condition of properties and opportunities that surplus land presents.</p> <p>Ongoing stock condition surveys.</p> <p>Asset management database, Keystone, in place to map investment levels/ compliance on a property by property basis.</p> <p>Produced a Housing Business Plan that outlines the a detailed financial forecast in the form of a 30year model that takes into account all assets within the Council's Housing Revenue Account (HRA).</p> <p>Appointment of additional staff such as a Housing Improvement Supervisor.</p>	2	2	4
<b>Service Delivery &amp; Well-being</b>	<p>Asset management database, Keystone, in place to map investment levels/ compliance on a property by property basis.</p> <p>Robust approach to performance</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>management in place.</p> <p>Five contractors in place to ensure capacity for timely completion of works. (Three frameworks and two roofing contractors)</p> <p>We have put in place effective mechanisms for communicating with tenants throughout the WHQS Improvement process including satisfaction surveys for every household undergoing WHQS works and Tenant Liaison Officers on hand to deal with tenant comfort issues.</p> <p>The Quality Design Forum has been set up to engage with tenants to monitor the performance of all contractors working on the framework.</p> <p>A needs assessment has been completed with tenants to align the contractor's service delivery mechanisms with tenants needs.</p>			
<b>Reputation</b>	<p>Project governance structure in place including the Housing Improvement Group, the Quality and Design Forum, the Hard to Treat Working Group that produces regular reports to the Homes and Safe Communities Committee and Cabinet.</p> <p>Robust approach to performance management in place.</p> <p>The framework contract in place does not guarantee any work to any of the five selected contractors so poor performance can be tackled through the reduction in work allocation.</p> <p>The Quality Design Forum has been set up to engage with tenants to monitor the performance of all contractors working on the framework.</p> <p>Regular meetings with the Welsh</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Government to provide them with updates on the Housing Improvement Programme and we produce and submit quarterly monitoring reports.			
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

### 2.3 Residual Risk Scoring & Direction of Travel

Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	4	16	2	2	4	2	2	4	Establish baseline	
Resources	4	4	16	2	2	4	2	2	4	Establish baseline	
Service Delivery & Well-being	3	3	9	2	2	4	2	2	4	Establish baseline	
Reputation	3	3	9	2	2	4	2	2	4	Establish baseline	
<b>Average risk score/ direction of travel</b>	4	4	<b>16</b>	2	2	<b>4</b>	2	2	<b>4 (Medium)</b>	Establish baseline	

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
IS007 HS/A02 8	Complete the delivery of the Council House Improvement Programme in 2017	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Andrew Treweek	December 2017	Red (Slipped)	At present we have completed 88.9% of the identified improvement works. An action plan has been developed to identify and deliver all remaining external works will be completed by 31st March 2018. To date all of the identified properties have been surveyed and are being released in blocks to the contractors.
IS007 HS/A02 9	Develop a new Tenant Participation Strategy.			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Mike Ingram	March 2018	Green (On track)	Tenant Engagement Strategy has been to Cabinet and endorsed and will be considered by Scrutiny (Homes and Safe Communities) on 11 October 17. A formal consultation process will then take place with all tenants and relevant stakeholders before the final

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														strategy is brought back to Cabinet for final approval.
IS007 HS/A030	Maintain a focus on the management of empty homes and achieve greater efficiencies through reducing the time take to re-let properties.	✓	✓	✓	✓	✓	✓	✓	✓	✓	Andrew Treweek	March 2018	Green (Completed)	Service area has demonstrated continued over performance in this service area for six successive months. The principles and processes are now embedded within this service area to demonstrate continued success in this area.
IS007/ HS/A031	Implement a customer portal which allows tenants to check information held, review their rent account access online services and access information on housing services.			✓	✓	✓	✓	✓	✓	✓	Mike Ingram	March 2018	Green (On track)	The ICT team are in process of carrying out appropriate security checks. Subject to sufficient assurances being provided, the Linguaskin solution will be purchased and will enable the portal to be made available in Welsh and English.
IS007 HS/A03	Develop a means of grading the		✓	✓	✓	✓	✓	✓	✓	✓	Mike Ingram	December 2017	Green (On track)	The photobook guide has been finalised and used to

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
2	appearance of housing estates and use this to monitor and drive improvements in standards.													carry out grading's of all Council estates. The survey form will be used as part of the new Photobook app, which enables staff to complete the grading's on site on mobile phones and tablets. The app also collates results across the Vale and shows progress over time.
IS007 HS/A03 3	Complete an audit of housing owned green spaces and consult with local communities about bring these areas back into use for a range of uses including new homes and recreational activities etc.		✓	✓	✓	✓	✓	✓	✓	✓	Andrew Treweek	March 2018	Green (On track)	All Housing owned land has been identified and is shown as a layer on the Council's Geographical Information System (GIS). Some sites are being considered by the Development team as new build opportunities. A meeting has recently taken place with the Space Saviours Project, who specialise in community consultation and bringing unused land back into use by



**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				
														community groups. Costings are being provided and if appropriate, a business case will be prepared in order to engage Space Saviours to undertake a pilot project at a small number of locations. The aim being that a toolkit can be developed and approach could be rolled out across other areas.
IS007 HS/A03 4	Develop a suite of estate action plans which identify key issues on different housing estates and set out a range of management responses which are tailored to the needs of tenants living in different areas.		✓	✓	✓	✓	✓	✓	✓	✓	Mike Ingram	February 2018	Green (On track)	Methodology for estate grading has been finalised and used on all housing estates. The grading results also form part of Estate Action Plans. Draft plans have been completed for all estates and a check and challenge event is being organised to finalise the plans for all estates.

**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 5	Review and consolidate our Tenancy and Estate Management policies to provide a clear and consistent set of 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"/>	<input checked="" type="checkbox"/>	Mike Ingram	December 2017	Green (On track)	The equality impact assessment has been completed and final changes are being incorporated into the Tenancy Management Policy. The draft document will be subject to consultation before going to Cabinet in December 2017.

## 1 – Risk Overview

### 1.1 Risk Description

This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive. There is a Statutory Target for Recycling based on the Welsh Government's 'Towards Zero Waste' Waste Strategy. Aligned to this are national statutory landfill reduction/ diversionary targets. Failure to meet the national waste agenda and meet its associated targets increases the likelihood of incurring significant fines and could have detrimental impact on the Council's reputation.

### 1.2 Risk Owner

**Head of Visible Services and Transport (ER)**

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

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

### 1.4 Risk Categories

Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	Failure of contract agreements associated with our waste collaborations. Failure to comply with statutory waste targets and the associated Welsh Government guidance.
<b>Resources</b>	Yes	<p>Inability to streamline our approach to optimise productivity as consequence of budgetary cuts and/or staff shortages that will impact on our performance against waste reduction targets.</p> <p>Inability to effectively monitor and manage our contract agreements resulting in poor contractual compliance and performance.</p> <p>Council incurs fines as a result of failing to meet statutory waste reduction targets.</p> <p>National Welsh Government grants are withdrawn as a result of</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		failing to meet statutory waste reduction targets.
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including:</p> <p>i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales);</p> <p>ii. pollution of the local environment (e.g. contamination of groundwater; soil contamination).</p> <p>Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates.</p> <p>Poor engagement with the hard to reach section of our community resulting in lower recycling and composting take up rates.</p> <p>Poor communication following any change in collection methodology resulting in poor take up of recycling and composting services.</p> <p>Increasing waste budget pressures as a result of new developments and an inability to deliver savings in waste management services.</p>
<b>Reputation</b>	Yes	Failure to meet the statutory waste targets and comply with the Welsh Government's waste strategy would have a detrimental impact on the resident's perception of Council services and would attract criticism from our external regulators and Welsh Government.






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>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<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>	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>Partnership established to progress the regional waste solution.</p> <p>The Council is no longer meeting policy agreement recycling targets.</p> <p>Waste Resource Action Programme (WRAP) is due to be completed with Welsh Government by September.</p>	2	2	4
<b>Resources</b>	<p>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</p> <p>The 25 year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place.</p> <p>Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council.</p> <p>New Household Waste Recycling Centre contract with FCC began in 2017.</p> <p>Bid for annual Welsh Government</p>	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Environment Grant submitted to Welsh Government.			
<b>Service Delivery &amp; Well-being</b>	<p>Increased waste awareness initiatives.</p> <p>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</p> <p>Reviewed residual waste, recycling, composting and kitchen food collection vehicle route analysis and collection rounds changed in August 2016 to increase efficiency and achieve further efficiency savings.</p> <p>Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery.</p> <p>Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced.</p> <p>Appointed an Environmental Enforcement Partner (3GS) in October 2016 issue fines for dog fouling/littering offences.</p>	3	2	6
<b>Reputation</b>	<p>Regularly implement high profile campaigns in the community to raise awareness of the importance of recycling, composting, to understand forthcoming changes to collection arrangements and issues regarding dog fouling.</p> <p>Maximise the use of Social Media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner to raise awareness of dog fouling/littering issues.</p>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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

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				
ER16 VS/A06 2	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"/>	Colin Smith	September 2017	Red (Slipped)	A grant submission to Welsh Government has been approved and funding obtained to introduce new In-Cab technology in all refuse vehicles. Additionally in quarter 4 there will be further route optimisation to assist us reduce vehicle costs.
ER16 VS/A02 2	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"/>	Colin Smith	March 2018	Green (On track)	At present the Council is on track to continue to exceed the next national recycling target of 64% (by 2019). The Council has continued to undertake its normal approach to recycling awareness which has allowed us to ensure we remain on track. This is updating the web site, undertaking letter drops to residential areas where



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				
														there is poor participation, roadshows with the event trailer and a school education programme.
ER16 VS/A02 3	Finalise the Waste Resource Action Programme (WRAP) with Welsh Government	✓	✓	✓	✓	✓	✓	✓	✓	✓	Emma Smith/ Colin Smith	July 2017	Green (Complete)	The WRAP report is complete and an informal business Cabinet was booked for the 27th September to advise Members of the outcome/recommendations. The report is aimed at reducing waste.
ER16 VS/A06 3	Develop a 5 year Waste Management Plan (2017-22).	✓	✓	✓	✓	✓	✓	✓	✓	✓	Emma Smith/ Colin Smith	December 2017	Red (Slipped)	The WRAP report is complete and it will be formally reported to Cabinet in quarter 3 following an informal presentation at informal cabinet on the 27th September 2017. The report will include options that will shape the future waste 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				
ER16 VS/A02 5	Bid for the annual Welsh Government Environment Grant.		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	Emma Reed/Matt Sewell/ Colin smith	March 2018	N/A	Bids for the annual Welsh Government Environment Grant for 2018/19 will be made during the 4th Quarter.
ER16 VS/A06 4	Review the enforcement policy to reduce litter, fly tipping and dog fouling offences.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	Emma Reed/ Colin Smith	July 2017	Red (Slipped)	A draft new policy has been prepared and it will be included in a Cabinet report to Members in late Autumn 2017, updating them with regard to environmental enforcement. This has slipped to late Autumn to coincide with the report that will be presented to members. It will be necessary to advise members of the proposed new policy and obtain permission to the recommend changes.

**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				
ER16 VS/A027	Review the provision of public conveniences to deliver a more cost efficient service.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	Colin Smith	September 2017	Red (Slipped)	Areas for savings have been identified within public conveniences provided the recommendations that have been produced will be reported to Members in the Autumn 2017 to proceed with the recommendations put forward to deliver a more cost effective service.
ER16 S/A065	Consider the implementation of dog control orders.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	Colin Smith	December 2017	Red (Slipped)	Initial discussion with SRS officers has taken place and work required to create PSPO's has commenced. During quarter 3 all the relevant data across service areas will be collated ready for public consultation. It is hoped that the orders be introduced in Spring 2018. This area has been delayed as there was a need to focus on concluding new

**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				
														alcohol orders that were due to expire in October 2017 before work on dog PSPO's could begin.
ER16 VS/A06 6	Progress the development of a waste transfer station and rationalisation of existing operational depots.		✓	✓	✓	✓	✓	✓		✓	Colin Smith	March 2018	Red (Slipped)	Investigatory works will be undertaken as part of a feasibility study that will be commenced by a Projects Officer.

## 1 – Risk Overview

### 1.1 Risk Description

As the Council goes 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 in the context of the local government reform agenda. 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

**Head of Human Resources (RB)**

### 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	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

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>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>Inability to recruit and retain suitably qualified staff with appropriate skills in the right areas to deliver services effectively.</p> <p>Inability of leadership to respond to the changing policy landscape and the challenges this presents, impacting on our ability to deliver good quality services to meet the needs of our citizens.</p> <p>Failure to effectively engage and mobilise our resources to deliver our workforce priorities.</p> <p>Failure to have the appropriate skills in place in the right areas to deliver services effectively.</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>Inability to anticipate and plan for workforce needs of the future in order to meet changing service requirements.</p> <p>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>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</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		groups under the Equalities Act 2010. A particular feature of this includes strategies to deal with occupational segregation and address the gender pay gap that exists nationally and locally. A failure to implement actions within the workforce plan would impact adversely on such equalities commitments and our reputation as an employer.

## 2 – Risk Evaluation

### 2.1 Inherent Risk Scoring

Category	Likelihood	Impact	Total Inherent Risk Score
<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>	CMT/Cabinet receives regular reports on a range of HR issues and developments.  Robust performance management arrangements in place across all service areas.	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Resources</b>	<p>Managers are supported through the management of change through training and ongoing advice from HR Officers.</p> <p>Workforce Plan has been refreshed and approved by Cabinet in 2016/17 that is aligned to the new Corporate Plan in relation to workforce needs.</p> <p>The HR team has been restructured to increase the information, planning and performance capacity of the team and to increase the focus on organisational development issues.</p> <p>Leadership Café established to support succession planning and leadership development across the Council.</p> <p>Improvements made to workforce planning processes.</p> <p>Launched a new Training and Development Strategy and Management Competency Framework.</p> <p>Launched the new 'Staff Charter' following consultation and refinement.</p> <p>Developed a Staff Engagement Strategy and launched an effective staff engagement programme.</p>	2	2	4
<b>Service Delivery &amp; Well-being</b>	<p>Workforce Planning delivered with a focus on alternative service delivery and workforce implications.</p> <p>Continue to monitor and report performance against corporate health indicators including labour turnover and attendance data.</p> <p>Launched a new Training and Development Strategy.</p>	2	2	4



2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Review of operating model towards a HR Self-Service model.</p> <p>Organisational Development support provided to the Reshaping Services Programme influencing how we deliver alternative models of service delivery.</p>			
<b>Reputation</b>	<p>All recruitment adverts promote the Council as an equal opportunities employer.</p> <p>Launched the new 'Staff Charter' following consultation and refinement.</p> <p>Developed a Staff Engagement Strategy and launched an effective staff engagement programme.</p> <p>Raised the profile of the Council as an attractive employer i.e. through our staff engagement processes, 3rd best attendance figures in Wales, Leadership Café award and shortlisted for LGC Local Authority of the Year award.</p>	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	Establish baseline	↔
Resources	3	3	9	2	2	4	2	2	4	Establish baseline	↔
Service Delivery & Well-being	2	2	4	2	2	4	1	1	1	Establish baseline	↔
Reputation	3	3	9	2	2	4	2	2	4	Establish baseline	↔
<b>Average risk score/ direction of travel</b>	3	3	<b>9</b>	2	2	<b>4</b>	2	2	<b>4 (Medium)</b>	Establish baseline	↔

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
ER2 HR/A00 1	Implement an internal strategy to increase the numbers of 16-24 year old employees as a proportion of the wider workforce.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TBC	March 2018	Green (On track)	Internal Strategy has now been implemented. Work continues into 2017/18 in terms of the development and exploration of apprentice frameworks with training providers and the employment of Foundation Modern apprentices.
AC10 HR/A00 4	Develop an action plan in response to our Stonewall assessment.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	AU	March 2018	Green (On track)	We have developed and initiated an action plan to support our response to the Stonewall 2017 index which is anticipated will show an improvement on our previous submission. Participation in the Survey will enable

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)	
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term					
															Stonewall to rank our Council against other respondents and their report will provide the basis for next Year's action plan and 2018 Stonewall Index submission.
AH11 HR/A00 2	Support and monitor the application of the Council's Safer Recruitment Policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	AU	March 2018	Green (On track)	Compliance with the Safer Recruitment policy during the Financial Year 2016/17 and 2017/18 were reported to Cabinet in September 2017. The report identified that the compliance performance outturn in schools has remained at 97% in both years. However, it is encouraging to note that	

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														<p>compliance rates in respect of both Schools and Corporate appointments continue to improve. Compliance with the policy for the period 2017/18 was on average 94%, compared to 76% during 2016/17 year.</p> <p>Compliance of the policy is discussed at each corporate safeguarding group meeting to continually review the effectiveness of the policy and identify improvements.</p> <p>The outturns for the half</p>

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term				
														<p>year April to September 2017 show compliance at 95% in Schools and 100% in respect of in scope corporate appointments. Overall, the compliance rate for April to September 2017 was 97%. This has been an improvement in comparison to last year (April 2016 to September 2016) where the compliance rate within Schools was 93% and in Corporate was 98%. The overall compliance rate last year was 94%. A detailed Cabinet report on Safer Recruitment 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				
														the half year period April to September 2017 is currently being drafted which will provide more detailed information on the compliance outturn across Directorates and Services.
CP1 HR/W0 01	Provide managing change support for managers in relation to specific reshaping projects		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	AU	March 2018	Green (On track)	HR Business Partners and Assistant Business partners continue to support managers in Change Management Reviews. Recent additional exercises include the Barry Co-educational schools project and the Education Other Than Attending School

**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				
														(EOTAS) consultation and response initiative.
CP1 HR/C0 18	Continuation and evaluation of the staff engagement approach and the management of the related work programme 2017/18 (includes an evaluation of the effectiveness of Staff Charter and progress made).		☑		☑	☑		☑		☑	RB	March 2018	Green (On track)	Work continues apace in relation to the delivering all commitments in the Staff Charter. The fourth meeting of the CMT/Engagement Group took place on 9th August with a focus on the staff recognition work stream. The work of the four work streams (Benefits, Annual Awards Event, Charitable Working and Individual recognition schemes were all approved). Preparations for the launch of the 2017 Employee Survey



**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					
															was also approved.
CP1 HR/W0 15	Contributing to the delivery of organisational change as part of the Reshaping Services agenda and any HR implications that arise as a result.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	RB	March 2018	Green (On track)	HR support has been maintained through Q2 on all reshaping projects. A particular focus in Q2 has been preparations for the Autumn Management Development sessions and the launch of the 2017 Employee Survey on the 16th October 2017.	
CP2 HR/W0 20	Review the Council's Corporate Workforce 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"/>	RB	September 2017	Green (On track)	The appropriateness of all themes within the Workforce Plan will be the subject of review as part of the Autumn Management	

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														Development Sessions and building on the review already undertaken at the Insight Board.
CP2 HR/W0 21	Implement a revised Training and Development Strategy.		☑	☑	☑	☑		☑		☑	TBC	March 2018	Green (On track)	Progress has been made in relation to elements of the Training and Development Strategy including the refinement of the new Management Competency Framework, the continuation of the Leadership Café and preparation for the third wave of management development sessions during October. The Recruitment of an Organisational

**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				
														Development and Training Manager will see further progress made during quarter 2.
CP2 HR/W0 22	Undertake a refresh of the Council’s induction programme to strengthen knowledge and understanding of the Council’s vision and values and how this relates to the employee.		✓	✓	✓	✓		✓		✓	RB	September 2017	Green (Completed)	The new “welcome to the vale” induction programme was launched in April 2017 with excellent evaluation results. The corporate induction refresh was undertaken to ensure we build a resilient workforce, strengthen staff knowledge and understanding of the Council’s vision and values and how staff contribute to the achievement of our

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 objectives.
CP2 HR/W0 23	Evaluate the succession planning and talent management scheme and extend this succession planning model Council-wide		✓	✓	✓	✓		✓	✓	✓	RB	March 2018	N/A	This review of succession planning has slipped which will be progressed during quarter 3 following the start date of the new Organisational Development and Training Manager on the 6 <sup>th</sup> November and the outcomes from the Autumn Management Development Sessions.
CP2 HR/W0 08	Continuation of the Council's Leadership Café to support leadership development and the Reshaping Services Strategy.		✓	✓	✓	✓		✓	✓	✓	TBC	March 2018	Green (On track)	Effectively delivered the first quarter's Leadership Café programme. Recent events include: 'an evening with CMT',

**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				
														'Insight into engaged local authorities' and a session on 'managing trust'.
CP2 HR/W0 09	Continue to review and strengthen the performance management and support arrangements in relation to attendance management.		✓	✓	✓	✓		✓	✓	✓	RB	March 2018	Green (On track)	The robust performance management arrangements as agreed by Cabinet have continued, and indeed been strengthened in Q2. Absence levels are reviewed on a monthly basis at both CMT and all DMTs. For the HR Service, during quarter 2 the service lost 1.48 days per FTE due to sickness absence, this is well within the Directorate target of 2.90

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				
														days for the period.
CP2 HR/W0 24	Launch and implementation of the Management Competency Framework.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	RB	September 2017	Green (On track)	Compliance with the Safer Recruitment policy during the Financial Year 2016/17 and 2017/18 were reported to Cabinet in September 2017. The report identified that the compliance performance outturn in schools has remained at 97% in both years.
CP2 HR/W0 25	Initiate the implementation of the new HR operating model (HR Shared Service Centre and business partnering approach).		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	RB	December 2017	Green (On track)	Final preparations for the launch of the new HR Structure on the 6th November 2017 have been made. The new Operational Manager for the Employee Services

**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				
														Team commenced employment on 29 <sup>th</sup> August 2017. Transition and training arrangements are ongoing.
CP8 HR/W0 27	Review the effectiveness of the staff appraisal scheme #itsaboutme			✓	✓	✓		✓		✓	TBC	March 2018	Green (Completed)	Minor amendments to the process have been implemented following a review into the staff appraisal scheme to ensure it remains relevant to staff, connects staff activities to corporate objectives and contributes to the Staff Charter and Reshaping Services priorities. The new process has now been

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				
														launched for 2017/18. Information on the scheme can be found on Staff Net.
HR/C032	Collaborate with other local authorities to explore options in relation to shared services opportunities across local authority boundaries.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		RB	March 2018	Green (On track)	Work has progressed over recent months to support the Staff Commission in the framing of a number of 'all-wales' policies and procedures. This will continue over Q3 and Q4 alongside other collaborative explorations.



**1 – Risk Overview**

**1.1 Risk Description**

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

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

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

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

**1.2 Risk Owner**

**Head of Finance/SIRO (CL)**

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
<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 and Computer Misuse Act 1990 could lead to litigation and/or political instability.</p> <p>Failure to put effective information security safeguards in place resulting in personal/sensitive and confidential information being leaked/revealed in the public domain could cause political instability and loss of credibility.</p> <p>Political and legislative repercussions of failing to meet the requirements of the new General Data Protection Regulations (GDPR).</p>
<b>Resources</b>	Yes	<p>Council incurs fines as a result of failing to comply with legislative and Information Commissioner requirements.</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> <p>Council incurs fines as a result of failing to comply with legislative and Information Commissioner requirements associated with the GDPR.</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 services 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. 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.</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<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</p> <p>Corporate document retention system in place (TRIM) and FOI/Records Management Unit established</p> <p>ICT compliance team developed following ICT restructure with three FTE compliance resources.</p> <p>Secure e-mail solution in place</p> <p>Reviewed use of fax machines and now have a Rightfax system in place.</p> <p>Implementation of new security software (Veronis and Clear Swift) to give us improved data security.</p>	2	2	4
<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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Reputation</b>	We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
CP1 IT/F017	Further refine the ICT Strategy to ensure it has a clear vision and objectives that can be aligned to the Reshaping Services Programme and enables us to discharge our role as a corporate enabler.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	Nick Wheeler	March 2018	Red (Slipped)	Whilst the Digital Strategy has been initiated, work to identify and agree all of the associated project outcomes is currently ongoing. The ICT strategy will therefore be updated following the completion of this work.
CP1/IT/IT019	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"/>	Nick Wheeler	March 2018	Green (On track)	Theme meetings have been taking place to identify all of the required outputs and potential savings related to each theme. All this has been captured in individual Operational Action

**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				
														Plans and these plans will be presented to CMT for endorsement during Q3.
CP1 IT/F003	Review ICT systems and software in use 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"/>	Nick Wheeler	March 2018	Green (On track)	Work under this action remains ongoing with systems being reviewed as Services 'reshape' to ensure they are fit for purpose and support the new services going forward. Outputs from the Digital Strategy will also inform this process and savings should be achieved by replacing or integrating certain systems.



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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
CP1/IT/F005	Evaluate the usability and delivery of cloud based computing and cloud-based storage for 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"/>		<input checked="" type="checkbox"/>	Emma Williams	December 2017	Green (On track)	Multiple cloud providers have been contacted to assess pricing structures for Disaster Recovery as a Service (DRaaS), Backup as a Service (BaaS) and the possibility of running test and development systems in "the Cloud"Infrastructure as a Service (IaaS).Currently being investigated for feasibility and cost effectiveness against having on-site equipment.

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
CP1 IT/IT02 2	Investigate and implement the provision of a second internet connection to the Council to provide additional service resilience.		✓	✓	✓	✓	✓		✓	✓	Richard Hortop	June 2017	Red (Slipped)	A report is due to go to Cabinet on the 23rd October recommending a way forward in terms of progressing this action. If the recommendations are endorsed then this action will progress immediately to improve internet connectivity across the Council and schools.
IT/IT03 3	Continue to maintain Public Services Network (PSN) compliance.	✓	✓	✓	✓	✓	✓		✓	✓	Jens Chinneck	July 2017	Red (Slipped)	The PSN application was submitted to the PSN Cabinet Office, and the PSN assessor raised issues on a number of items with the IT Health Check

**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				
														company's testing processes. After raising these concerns with the IT Health Check company, they have agreed to come back on site and retest the disputed items at no cost. Testing date is to be confirmed.
IT/IT03 5	Continue working towards Payment Card Industry (PCI) Compliance.	☑	☑	☑	☑	☑			☑	☑	Nick Wheeler	March 2018	Red (Slipped)	The review that was to be undertaken by Northgate has not been completed by the advised date of September 2017. A revised date has not been provided. We will continue to chase for

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														progress
	Preparation for compliance with the General Data Protection Regulation through the production of a project 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"/>	Carys Lord/Tim Cousins	May 2018	N/A	The UK Government has decided that it will adopt the EU's General Date Protection Regulation (GDPR), but will only adopt certain parts. As a consequence, there is currently a UK Domestic Data Protection Bill that is being considered by Parliament (currently under consideration by the House of Lords). This means until the Uk leaves the EU, the GDPR will operate in tandem with the Bill.

**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				
														When the UK then leaves we will restore a wholly domestic basis to our data protection laws, but the Bill allows for the continued application of GDPR standards. Since this proposed legislation is still in a state of flux in terms of what aspects of the original regulation will be adopted as part of the UK Bill, no significant work can be progressed until we receive greater clarification on the position. A report

**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>outlining the issues associated with this legislation and the implementation work required was considered by Insight Board in June and will also be considered by CMT during Quarter 3. Once there is clarification on what this legislation will look like, we will progress our preparatory work which will involve amending our Council procedures to reflect the new requirements, revise our existing Data Protection Training</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				
														material to reflect the changes and the implementation of the GDPR action plan.

1 – Risk Overview

1.1 Risk Description

Action on climate change covers two areas: mitigation and adaptation. Mitigation relates to action taken to tackle the causes of climate change i.e. by reducing greenhouse gas emissions. Adaptation relates to action taken to adapt to the unavoidable effects of climate change caused by increased concentrations of greenhouse gases from human activities. Locally the immediate impact of climate change include hotter temperatures, warmer, wetter winters, hotter, drier summers, increased summer time thunder storms and intense rainfall and the reduction of some animal and plant species, more severe flooding of coastal and river areas and also flash flooding throughout the authority.

The 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.

The key risk relates to our failure to mitigate against the impact of climate change.

1.2 Risk Owner

Head of Visible Services and Transport (ER)

1.3 Impact on our contribution to the Wellbeing Goals

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



## 1.4 Risk Categories

Categories	Yes/No	Definition
<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>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Failure to engage and encourage to residents to participate in Active Travel (use alternative forms of transport to the car).</p> <p>Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates.</p> <p>The impact new developments places on putting in place a sufficient public transport infrastructure.</p> <p>Failure to fully deliver the Carbon Management Plan.</p> <p>Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including:  i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales);  ii. 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>	<p>Supplementary planning guidance on sustainable development in new builds is in place.</p> <p>Development Management – ensuring decisions on new development proposals have regard to sustainability.</p> <p>The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment)</p> <p>Insight Board</p> <p>Submit bids to Welsh Government for any Environment Grants to implement environmental and countryside programmes locally.</p> <p>The Corporate Plan 2016-20 sets out our priorities relevant to promoting and enhancing sustainability.</p> <p>Implementation of the requirements of the Environment Act 2016.</p> <p>A shadow Regional Transport Authority to govern and promote transport matters including Active Travel.</p>	2	1	2
<b>Resources</b>	<p>Development of updated Carbon Management plan (CMP)</p> <p>Space Programme and Asset Management Strategy</p> <p>Insight Board</p> <p>Automatic meter readings for utilities for all Vale owned buildings.</p> <p>We continue to implement an LED conversion programme. To date 33% of</p>	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>council street lighting has been converted to LED. There will be ongoing conversion of lighting to meet our carbon reduction commitment and further reduce our energy bills.</p> <p>Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel.</p> <p>Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally.</p> <p>Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally.</p>			
<b>Service Delivery &amp; Well-being</b>	<p>Prioritise maintenance in all council services – including gritting, drainage, etc.</p> <p>Sustainable procurement outlined in procurement guideline documents</p> <p>Green travel plan established and publicised to all staff</p> <p>Active Travel – ensuring walking and cycling routes are provided</p> <p>Internal and external publicity for individuals and organisations on how to reduce gas emissions</p> <p>Minimise the risk and impact of flooding and coastal erosion via an effective Flood Risk Management Plan, flood reduction measures and a Shoreline Management Plan. We effectively monitor changes in coastal waters and coastal erosion.</p> <p>BREEAM standard for major projects e.g. schools/Extracare</p> <p>Local Biodiversity Plan</p> <p>Introduced a new enforcement policy to</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation.</p> <p>Work underway on the delivery of a Flood Alleviation Scheme at Coldbrook, Boverton and Llanmaes.</p>			
<b>Reputation</b>	<p>Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns.</p> <p>Provision of child pedestrian and cycling training in Vale schools.</p> <p>Promotion of Active travel.</p> <p>Appointment of an Environmental Enforcement Partner (3GS), who supports us in raising awareness of keeping our local communities clean and litter free.</p> <p>Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision making processes.</p>	2	1	2
<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	1	2	2	3	6	Establish baseline	↔
Resources	3	4	12	1	2	2	3	2	6	Establish baseline	↔
Service Delivery & Well-being	3	3	9	2	2	4	2	2	4	Establish baseline	↔
Reputation	3	4	12	2	1	2	2	4	8	Establish baseline	↔
<b>Average risk score/ direction of travel</b>	3	4	<b>12</b>	2	2	<b>4</b>	2	3	<b>6 (Medium)</b>	Establish baseline	↔

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
ER4 VS/A05 2	Complete a Design for a bus, cycle, walk route from Weycock Cross to Cardiff Airport subject to funding.	✓	✓	✓	✓	✓	✓	✓	✓	✓	Clare Cameron/ Mike Clogg/Jon Launchbury	March 2018	Green (On track)	Survey works previously undertaken along the route and feasibility approx. 40% completed. Likely land purchase will be required to implement to appropriate standards. Awaiting approval to use Rhoose S106 funding to complete design.
ER4 VS/A00 6	Complete the feasibility study for bus, cycling and walking improvements at Cardiff and Barry Road, Dinas Powys.	✓	✓	✓	✓	✓	✓	✓	✓	✓	Mike Clogg/Clare Cameron	September 2017	Red (Slipped)	The feasibility study was completed during quarter 1. However we are awaiting the Vissim model (this is a microscopic traffic simulation model). Which will be carried out in terms of WelTAG Stage 2 during the Autumn/Winter
ER5 VS/A00 7	Prepare the integrated network Active Travel Map and consult on it.	✓		✓	✓	✓		✓	✓	✓	Emma Reed/Clare Cameron	November 2017	Green (On track)	Active Travel maps are being progressed but are not all complete. The maps are due to be reported to Cabinet during

**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				
														quarter 3 and are likely to be sent to Welsh Government under delegated authority.
ER11 VS/A01 3	Seek S106 funding to deliver an additional signing scheme and improvements to junctions to further promote National Cycling Route Number 88.	✓	✓	✓	✓	✓	✓	✓	✓	✓	Clare Cameron /Mike Clogg	March 2018	Green (On track)	The signage scheme is to be implemented at Barry Waterfront this financial year. The progress is generally on track given the nature of the works required throughout the process to achieve completion by the end of the financial year.
ER15 VS/A06 1	Continue to implement conversion of non LED lighting to LED lighting in residential areas.		✓	✓		✓		✓	✓	✓	Mike Clogg	December 2017	Red (Slipped)	The lighting trial is now complete with only four responses from some 20 households who were asked to take part along each street involved; however, the majority of respondents identified a preference for neutral white colour temperature



**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 LED lanterns. The implementation of move to full LED throughout residential areas in accordance with the Council's previously agreed Street Lighting Energy Reduction Strategy using the neutral white LED lanterns with dimming to 50% is now programmed to commence in November 2017. The works will commence in the eastern urban areas of the Vale and likely take some 4 months to fully complete.
ER15 VS/A019	Purchase new vehicles from the Visible Replacement Fund in line with current		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Gareth George	March 2018	Green (On track)	Orders were placed and vehicles have been delivered. The vehicles have been placed within the waste 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				
	EU Environmental Standards including the ability to operate on biofuel.													service to help deliver the service more efficiently and assist with savings identified and sustainability.
ER15 VS/A02 0	Continue to explore the need for fleet and options for better usage.		✓	✓	✓	✓		✓	✓	✓	Emma Reed/Kyle Phillips/ Gareth George	March 2021	Red (Slipped)	No further work carried out in Qtr 2 other than Passenger Transport Team looking at Social Services transport and where savings can potentially be made.
ER18 VS/A02 8	Monitor the changes in coastal waters and coastal erosion at Penarth in accordance with the Shoreline Management Plc.		✓	✓	✓	✓		✓	✓	✓	Mike Clogg/Clive Moon	March 2018	N/A	No routine monitoring had been planned to take place during quarter 1 however the collection of wind, wave and tide data at Penarth Pier remains ongoing. The annual photographic and topographic monitoring of Penarth frontage has been planned for quarter 4. 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				
														Bathymetric survey of Penarth frontage out to 1km offshore procured in partnership with MCA, will be delivered by quarter 4.
ER18 VS/A029	Complete the delivery of the Coldbrook Flood Alleviation Scheme.		✓	✓	✓	✓		✓	✓	✓	Mike Clogg/Clive Moon	August 2017	Green (On track)	Relatively good progress continues to be made on site with completion programmed this financial year. Further cost increases are still under consideration by the contract Project Manager, resulting from delays earlier in scheme delivery. A report was presented to Cabinet in July 2017 (Minute C3441) to update on the scheme and the major civil works are now 95% complete. Scheme completion is currently programmed for 8th

**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				
														November 2017. In Q2 major elements of the scheme were completed at Lydstep Rd, Price Avenue and Meadow Vale. A significant new culvert was laid across Brookfield Avenue lower in the catchment and reinstatement of the highway was completed ready for reopening on 2nd October 2017. Works continue throughout the catchment, including Bron y Nant, Coldbrook Road East and the Dyfan Road storage area. Reinstatement works are ongoing across the scheme.

**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				
AH1 VS/A035	Seek S106 and other funding to deliver improved walking and cycling access to parks and other leisure facilities.		✓	✓	✓	✓		✓	✓	✓	Emma Reed/Dave Knevett/Clare Cameron	March 2018	Green (On track)	No change. Wenvoe on site. St Athan being designed. Llangan meeting set up with Community Councillors to discuss opportunities.
ER7 RP/A030	Progress the Local Development Plan to adoption as a framework for sustainable development in the Vale of Glamorgan	✓	✓	✓	✓	✓	✓	✓		✓	Marcus Goldsworthy/Victoria Robinson	December 2017	Green (Completed)	The Vale of Glamorgan Local Development Plan (LDP) 2011-2026 was adopted by full Council on 28/06/2017. The LDP became operative on its adoption and supersedes the previous adopted Unitary Development Plan (UDP). 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.

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				
														Following the adoption of the LDP the Plan is subject to a six week challenge period for the High Court. We are currently waiting the end of the six week Judicial Review period. A composite version of the Adopted LDP Written Statement can be found at <a href="http://www.valeofglamorgan.gov.uk/Documents/Living/Planning/Policy/LDP/LDP-Adoption/Final-Composite-Version-of-LDP-Written-Statement-accepting-all-changes.pdf">http://www.valeofglamorgan.gov.uk/Documents/Living/Planning/Policy/LDP/LDP-Adoption/Final-Composite-Version-of-LDP-Written-Statement-accepting-all-changes.pdf</a>
ER7 RP/A06 6	To prepare and consult on the following Supplementary Planning	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Victoria Robinson	March 2018	Green (On track)	To date the draft Householder design guide, Conversion of Rural Buildings and Minerals Safeguarding SPGs have

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	Guidance (SPG) Renewable Energy Householder design Conversion of Rural Buildings Public Art Trees and Development Mineral.													been prepared and will be consulted upon in due course. Other SPGs listed in the action are under progress.
ER17 RP/A07 3	Adopt the Biodiversity Supplementary Planning Guidance for use in planning decisions.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Victoria Robinson	March 2018	Green (On track)	Draft Biodiversity Supplementary Planning Guidance (SPG) has been prepared and is to be reported to Cabinet in due course. The adoption of the SPG will help ensure planning decisions complement the enhancement of biodiversity in the Vale of Glamorgan.

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
ER17 RP/A034	Deliver a programme of Biodiversity Projects funded by the new Welsh Government's Single Environment Grant		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Bob Guy	March 2018	Green (On track)	All habitat work, Mink eradication and survey work has been completed. With regard to the Water vole project, all introduction work will take place in the spring. All other elements of the project will be undertaken throughout this autumn and winter.



1 – Risk Overview

1.1 Risk Description

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

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

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

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

1.2 Risk Owner

Head of Finance (CL)

1.3 Impact on our contribution to the Wellbeing Goals

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

## 1.4 Risk Categories

Categories	Yes/No	Definition
<b><i>Political &amp; Legislative</i></b>	Yes	Failure to ensure service continuity during the transitional period due to poor project planning resulting in political and legislative repercussions.
<b><i>Resources</i></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 is likely to impact on the resourcing and workforce needs/requirements for delivery of the programme.</p> <p>Failure to implement information management systems effectively or the systems are not fit for purpose impacting on the ability to process and accurately administer timely benefits to clients.</p> <p>Failure to effectively administer welfare benefits resulting in inaccurate payments.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Failure to safeguard principles of social inclusion as a result of welfare reform.</p> <p>Welfare reform could have a detrimental impact on service user's finances and affect their ability to sustain tenancies and pay bills.</p> <p>Social impact of welfare reform could impact on tenant's health, their ability to heat their homes, live in good quality housing and feed themselves.</p> <p>Poor communication of the welfare reform changes to clients could result in them getting into debt.</p>
<b><i>Reputation</i></b>	Yes	<p>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>	<p>Identification and prioritisation of key risks associated with welfare reform.</p> <p>Progress reports are monitored by Scrutiny Corporate Performance and Resources.</p>	2	2	4
<b>Resources</b>	<p>Budgets have been allocated to deal with expected impact of homelessness and rent arrears.</p> <p>Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes.</p> <p>Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed.</p> <p>Impact of the Council Tax Reduction Scheme and future WG funding reviewed.</p> <p>Strengthened how welfare-reform risks are</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	<p>managed by developing a more corporate-level approach that co-ordinates activity across the council (where one report is now presented to Corporate Performance)</p> <p>Impact of the introduction of the benefits cap reviewed</p>			
<b>Service Delivery &amp; Well-being</b>	<p>Improved the management and access to and use of Discretionary Housing Payments.</p> <p>Improved engagement with tenants affected by the removal of the spare-room subsidy through: the provision of regular advice and information on the options open to them to address the financial impact of the change in their circumstances; the promotion of the 'Your benefits are changing' helpline; and the provision of support to tenants specifically affected by the removal of the spare-room subsidy to participate in regional/national employment schemes.</p> <p>Supported the effective roll out of Universal Credit across the Vale of Glamorgan.</p>	3	2	6
<b>Reputation</b>	Council's website is updated with information guides on Welfare Reform for Vale residents.	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
IS003 FS/A00 1	Continue to support the roll out of Universal Credit across the Vale of Glamorgan	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Nigel Smith	Ongoing	Green (On track)	Benefit Section within Financial Services continue to liaise with the Department of Work and Pensions (DWP) and the Jobcentre using Universal Support Delivered Locally (USDL) to support roll out of Universal Credit (UC) across the Vale of Glamorgan. USDL is a partnership approach between the Council and the Job Centre Plus to provide local support for universal credit claimants. This support provided by the Council includes providing support to UC Service Centre Staff, providing personal budgeting support (PBS) and providing

**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				
														digital support for claimants to get online and stay online. The Welfare Reform update report was presented to Scrutiny on 20th July 2017. At quarter 1 there are 653 individuals within the Vale of Glamorgan in receipt of UC. At quarter 2 there are 684 individuals within the Vale of Glamorgan in receipt of UC.
IS002 HS/A02 4	Refine the Vale’s Financial Inclusion Strategy informed by Welsh Government’s recently published Financial Inclusion Strategy and new local evidence (Wellbeing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Mike Ingram	March 2018	Red (Slipped)	The new Head of Housing is going taking over the role of Chair of the Financial Inclusion Group and dates have been arranged for future meetings. A review of the existing Strategy to reflect the themes identified in the Welsh Government remains

**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				
	Assessment).													a priority of the group.
IS002 HS/A02 5	Continue our work with partners to deliver the objectives stated within Financial Inclusion 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"/>	Mike Ingram	March 2018	Green (On track)	The Income Team continue to work with the various charities and undertake events to support the residents of the Vale. We work closely with the Food bank to assist people in crisis and have enabled new tenants with the sofa scheme which provides a new sofa for tenants if they have no furniture. The team have attended Flying Start 10th anniversary at Holmview Leisure Centre, Easter Egg Hunt at the Community Garden in Gibbonsdown. We work closely with the Food bank to assist people in crisis



**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 have enabled new tenants with the sofa scheme which provides a new sofa for tenants if they have no furniture with assistance from the Steinhoff UK furniture makers. Money Advice has also set up a Food Share Scheme for the Hostel through Castleland Community Centre which has benefited the residents at the hostel providing free food.
IS003 HS/A02 6	Establish a multi-landlords group to mitigate the negative effects of welfare reform on all social tenants living in the Vale.		✓	✓	✓		✓	✓	✓	✓	Mike Ingram	March 2018	Green (On track)	There were a number of cancellations so the working group is yet to meet. Alternative days and times have been circulated amongst partners and the first meeting will take 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				
														shortly. In addition, a piece of analysis work has been commissioned to quantify the impact of Universal Credit implementation and forecast how this will continue to impact the Council's rental income from June 2017 (when the next phase of UC roll out happens in the Vale). This analysis will feed into the Financial Inclusion group and will inform a programme of targeted interventions towards affected tenants.
IS003 HS/A02 7	Work with partners to increase the range of projects and initiatives which support employment, healthy		✓	✓	✓	✓	✓	✓	✓	✓	Mike Ingram	March 2018	Green (On track)	During Q2 we have supported 7 people into employment. 17 of those who engaged with our employment and training

**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				
	living, financial and digital inclusion and deliver the objectives within the Community Investment Strategy.													services have sustained employment for a 3 month period by the end of Q2 evidencing showing the longer term benefits of community investment. The self-employment programme concluded in Q2 with 2 participants completing the full programme with detailed business plans. Both now plan to start their own business and continue to work with the community investment team to receive support around grant applications or other funding solutions. (one VOG tenant and one Newydd tenant – programme run in

**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>partnership)</p> <p>67 people have engaged with the training courses we provided during Q2 and 56 of these gained a recognised qualification.</p> <p>During Q2 we have also started our first work experience scheme this involved 7 participants completing a week’s training including health and safety, manual handling and qualifications in horticulture. These courses were run in partnership with adult learning to ensure that they meet the needs of those furthest away from the job</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>market. The 7 individuals who completed the training, gained recognised qualifications and have now started a 2 week work experience placement with our Park’s service. We hope moving forward that we can target other vulnerable groups to access work experience schemes as well attract interest from other council departments to host placements.</p> <p>76 people have engaged in digital inclusion sessions, 21 of which were aged over 55 years. 3 older people advised us that they felt more confident using IT after</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>completing the sessions. We are now delivering digital inclusion sessions in partnership with adult learning enabling tenants to access higher level training. Having successfully secured grant funding we are now launching our digital inclusion sessions within our 5 sheltered schemes which will start in October.</p>

## 1 – Risk Overview

### 1.1 Risk Description

The preparation of a Local Development Plan for the Vale of Glamorgan is statutory.

On January 23<sup>rd</sup> 2013 the Council decided to not progress the Deposit Local Development Plan approved in December 2012 but instead to prepare a replacement Deposit Local Development Plan which was approved by Council for consultation purposes in October 2013.

The Council received the Inspector's binding report of the Examination of the Vale of Glamorgan's LDP 2011-2026 in May 2017. Full Council endorsed the Adoption Statement and final Sustainability Appraisal and approved the adoption of the LDP on 28<sup>th</sup> June 2017.

Following adoption we will be required to produce and submit an Annual Monitoring Report on the LDP to Welsh Government by the 31<sup>st</sup> October 2018. The purpose of the monitoring report is to assess the extent to which the LDP strategies, policies and the key sites identified in it are being delivered (i.e. whether the plan is being implemented as intended). Therefore, the residual risk is that the Annual Monitoring Report shows that we are not delivering the requirements of the LDP for example to meet identified housing need. This could trigger a policy review and/or a full plan review which could bring into question whether the LDP is 'meeting its objectives'.

### 1.2 Risk Owner

**Head of Regeneration and Planning (MG)**

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

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

## 1.4 Risk Categories

Categories	Yes/No	Definition
<b><i>Political &amp; Legislative</i></b>	Yes	<p>Political and legislative repercussions as a result of a triggering a full plan review of the LDP.</p> <p>LDP no longer delivers its objectives as a consequence of legislative and/or policy change or requires review.</p>
<b><i>Resources</i></b>	Yes	<p>Inability to maximise S106 contributions impacting on the ability for us to fully realise improvements to infrastructure and community facilities as outlined in the LDP.</p> <p>Resource impact of decisions made on planning applications that are contrary to the policies of the LDP.</p> <p>Failure to adequately resource Annual Monitoring Review of the LDP and meet timetable for delivery.</p> <p>Cost of reviewing and monitoring LDP delivery exceeds budget thresholds.</p>
<b><i>Service Delivery and Wellbeing</i></b>	Yes	<p>Uncertainty within the development industry following key national issues e.g. Brexit, could cause delays in delivering new development in line with the timeframes indicated within the LDP.</p> <p>Failure to secure sustainable development practice to mitigate the impact of climate change with respect to land use planning.</p> <p>Fluctuations in population could impact on our housing need projections impacting on the ability of the LDP to effectively deliver new housing and meet need.</p> <p>Delays in implementation of major infrastructure projects could impact on the ability of the LDP to effectively deliver its key objectives.</p> <p>Failure to identify and secure a gypsy traveller site to address need.</p>
<b><i>Reputation</i></b>	Yes	<p>Reputational impact of the failure of the LDP to deliver its strategy.</p> <p>Reputational impact of decisions being made contrary to the adopted LDP.</p>



## 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>	2 (Possible)	3 (High)	<b>6 (Medium)</b>
<b>Service Delivery &amp; Well-being</b>	2 (Possible)	3 (High)	<b>6 (Medium)</b>
<b>Reputation</b>	2 (Possible)	2 (High)	<b>4 (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>	<p>Adherence to the annual monitoring review timetable.</p> <p>Keep abreast of Planning and related Policy developments, monitor emerging legislation/guidance and respond early to changes where this is possible</p> <p>Regular liaison with statutory bodies to ensure that the views of statutory bodies are sought and considered as early as possible on planning matters</p> <p>Regular Informal Cabinet Briefings.</p> <p>Ensure regulations and procedures are complied with and advise members of risks of challenge.</p> <p>Councillor training to ensure full</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	understanding of the LDP and its policies.			
<b>Resources</b>	<p>Effective maintenance of staffing Levels within the Team and its budget.</p> <p>Maximising income within the department with regard to future development e.g. Development Brief.</p>	2	2	4
<b>Service Delivery &amp; Well-being</b>	<p>Effective use of Planning Performance Agreements to ensure effective and timely delivery.</p> <p>Collaboration with South East Wales Authorities with regard to strategic planning.</p>	2	2	4
<b>Reputation</b>	<p>Completion of the Annual Performance report to demonstrate how we our meeting our planning requirements.</p> <p>Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision making processes.</p>	1	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

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

**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				
IS011 RP/A050	Adopt an Affordable Housing Supplementary Planning Guidance alongside the Local Development 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"/>	Victoria Robinson	March 2018	Green (Completed)	The Final SPG was presented to Cabinet on 31st July 2017, which was endorsed.
ER7 RP/A030	Progress the Local Development Plan to adoption as a framework for sustainable development in the Vale of Glamorgan	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	Marcus Goldsworthy/Victoria Robinson	December 2017	Green (Completed)	The Vale of Glamorgan Local Development Plan (LDP) 2011-2026 was adopted by full Council on 28/06/2017. The LDP became operative on its adoption and supersedes the previous adopted Unitary Development Plan (UDP). The LDP will be the basis for decisions on land use planning in the Vale of Glamorgan and will be used by the 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				
														to guide and manage new development proposals. Following the adoption of the LDP the Plan is subject to a six week challenge period for the High Court. We are currently waiting the end of the six week Judicial Review period. A composite version of the Adopted LDP Written Statement can be found at <a href="http://www.valeofglamorgan.gov.uk/Documents/Living/Planning/Policy/LDP/LDP-Adoption/Final-Composite-Version-of-LDP-Written-Statement-accepting-all-changes.pdf">http://www.valeofglamorgan.gov.uk/Documents/Living/Planning/Policy/LDP/LDP-Adoption/Final-Composite-Version-of-LDP-Written-Statement-accepting-all-changes.pdf</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				
ER7 RP/A06 5	Adopt the following SPG in 17/18: Planning obligations Affordable Housing Parking 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"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Victoria Robinson	March 2018	Green (On track)	The draft Planning Obligations and Affordable Housing Supplementary Planning Guidance (SPG) was presented to Cabinet on 31 <sup>st</sup> July 2017 and has now been adopted. Parking standards SPG the work remains ongoing.
ER7 RP/A06 6	To prepare and consult on the following Supplementary Planning Guidance (SPG) Renewable Energy Householder design Conversion of Rural Buildings Public Art Trees and 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"/>	Victoria Robinson	March 2018	Green (On track)	To date the draft Householder design guide, Conversion of Rural Buildings and Minerals Safeguarding SPGs have been prepared and will be consulted upon in due course. Other SPGs listed in the action are under progress.

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				
	Mineral.													
ER7 RP/A06 7	Determine statutory applications under Planning and other relevant acts in accordance with the development plan unless material considerations indicate otherwise.	✓	✓	✓	✓	✓	✓	✓	✓	✓	Victoria Robinson	March 2018	Green (On track)	During quarter 2, 320 applications have been determined in addition to 27 Non-material Amendments (NMA) and 24 Pre-Apps (358). 92.19% of all applications were determined within agreed target timescales set by Welsh Government.
ER7 RP/A06 8	Implement a program of Planning Committee member training.	✓	✓		✓	✓	✓	✓		✓	Victoria Robinson	March 2018	Green (On track)	Work has been ongoing with the new planning committee. Further formal training sessions are being planned for Q3.

**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				
ER17 RP/A07 3	Adopt the Biodiversity Supplementary Planning Guidance for use in planning decisions.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Victoria Robinson	March 2018	Green (On track)	Draft Biodiversity Supplementary Planning Guidance (SPG) has been prepared and is to be reported to Cabinet in due course. The adoption of the SPG will help ensure planning decisions complement the enhancement of biodiversity in the Vale of Glamorgan.
AC12 RP/A07 7	Undertake translation of the Local Development Plan and associated Supplementary Planning Guidance documents	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	Victoria Robinson	March 2018	Green (On track)	Translation of final composite Local Development Plan (LDP) is underway. This work is due to be completed by January 2018 and will ensure we comply with the Welsh Language



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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														Standards. The Affordable Housing and Planning Obligations SPG have been translated and are on our Welsh website.
	Undertake an Annual Performance Review and submit to Welsh Government.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Victoria Robinson	October 2017	Amber (In progress)	The first annual monitoring report for the LDP is not due until October 2018. In readiness for this reporting, new monitoring procedures have been establish to enable us to effectively measure both the implementation and success of the LDP.

1 – Risk Overview

1.1 Risk Description

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

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

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

1.2 Risk Owner

Director for Social Services (LC)

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>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 national procedures relating to safeguarding could lead to litigation and/or political instability.</p> <p>Inability to implement 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>Resources</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 are completed.</p> <p>Increase in numbers and complexity of care proceedings in the context of reduced court timescales impacting on court costs, Social Worker caseloads and ensuring that other cases receive the attention they require.</p> <p>Availability of other partners to support the preventative services agenda.</p>

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
<b>Political &amp; Legislative</b>	<p>The All Wales Procedures and associated Protocols are embedded in Social Services and are reviewed and updated nationally.</p> <p>Contribute to the national ongoing, cyclical review of the All Wales Protection procedures.</p> <p>Attend meetings of the All Wales Safeguarding Management Group and contribute to national developments.</p> <p>Build and develop on the Regional Safeguarding Boards model.</p> <p>Work with the Regional Safeguarding Boards, the Council's Corporate Safeguarding Steering Group and schools to deliver our safeguarding responsibilities.</p> <p>Established a corporate-wide policy on safeguarding covering all council services that provides a clear strategic direction and clear lines of accountability across the council.</p> <p>Six monthly reporting to Cabinet of application of the safer recruitment policy and corporate safeguarding arrangements.</p>	3	2	6
<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 Referral of 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.</p> <p>Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable</p>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	<p>people.</p> <p>All elected members and staff who come into contact with children on a regular basis receive training on safeguarding and child protection issues and the Council's corporate policy on safeguarding. For staff there is mandatory safeguarding training on Regional Safeguarding Board training, safer recruitment training given through mandatory recruitment and selection course; e-learning module in relation to safeguarding children.</p> <p>Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy.</p> <p>We have a Local Authority Designated Officer who is accountable for safeguarding and the protection of children and young people and adults in accordance with safeguarding requirements.</p> <p>Launched a new Safeguarding hotline to support staff to have a single point of contact to report any concerns they have regarding the wellbeing of an adult or a child.</p>			
<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</p>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	
	<p>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>			
<b>Reputation</b>	<p>Obtain the views of children and vulnerable adults/their families and implement protocols in respect of neglect and child sexual exploitation.</p> <p>Information sharing protocols are in place and used appropriately.</p>	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

Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	2	3	6	3	2	6	1	2	2	Establish baseline	↔
Resources	3	3	9	3	2	6	1	2	2	Establish baseline	↔
Service Delivery & Well-being	3	3	9	3	2	6	1	2	2	Establish baseline	↔
Reputation	2	4	8	3	1	3	1	4	4	Establish baseline	↔
<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>	Establish baseline	↔



3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 CS/A013	Deliver training as appropriate to staff to ensure compliance with the Social Services and Well-being (Wales) Act.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Rachel Evans	March 2018	Green (On track)	Discussions have taken place with the training department to ensure that the training programme appropriately responds to the Division's training needs identified in relation to the Act. Staff are supported to attend these sessions.
AH11 BM/A012	Monitor implementation of the Corporate Safeguarding policy across the Council through effective audit	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	HoS RMS	March 2018	Green (On track)	The Corporate Safeguarding Group have met to review the progress made to date in relation to the implementation of the Policy. Internal Audit will be consulted with regard to how we can best monitor the implementation across the 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				
AH11 BM/A013	Develop tools to support staff to feel more confident to safeguard vulnerable people through effective procedures for referral, and also use of Adult Protection Support Orders (where relevant) in line with the Social Services Wellbeing Act.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	HoS RMS	September 2017	Red (Slipped)	A new Operational Manager for Safeguarding and Service Outcomes has been appointed and commenced their role in September. This will be their primary focus to ensure there is ongoing awareness raising and implementation of procedures. To date we have not had to utilise an Adults Protection Support Order.
AH11 SI/A032	Work with schools towards achieving full compliance with the Council's Safer Recruitment Policy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	David Davies	March 2018	Green (On track)	Processes have been established which have impacted positively on compliance with the Council's Safer Recruitment Policy. These processes will now need to be fully embedded and applied consistently in all

**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					
															schools. The outturn for the half year April to September 2017 shows compliance at 95% in Schools. This has been an improvement in comparison to last year (April 2016 to September 2016) where the compliance rate within Schools was 93%.
AH11 HR/A002	Support and monitor the application of the Council's Safer Recruitment Policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Adrian Unsworth	March 2018	Green (On track)	Compliance with the Safer Recruitment policy during the Financial Year 2016/17 and 2017/18 were reported to Cabinet in September 2017. The report identified that the compliance performance outturn in schools has remained at 97% in both years. However, it is encouraging to note that	

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														<p>compliance rates in respect of both Schools and Corporate appointments continue to improve. Compliance with the policy for the period 2017/18 was on average 94%, compared to 76% during 2016/17 year. Compliance of the policy is discussed at each corporate safeguarding group meeting to continually review the effectiveness of the policy and identify improvements.</p> <p>The outturns for the half year April to September 2017 show compliance at 95% in Schools and 100% in respect of in scope corporate appointments. Overall, 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
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
														compliance rate for April to September 2017 was 97%. This has been an improvement in comparison to last year (April 2016 to September 2016) where the compliance rate within Schools was 93% and in Corporate was 98%. The overall compliance rate last year was 94%. A detailed Cabinet report on Safer Recruitment for the half year period April to September 2017 is currently being drafted which will provide more detailed information on the compliance outturn across Directorates and Services.

**1 – Risk Overview**

**1.1 Risk Description**

Adult Services are becoming increasingly integrated with health services in order to provide service users and patients with seamless care arrangements. There is also an emphasis as part of the Social Services Wellbeing Act to focus on looking at integrated ways of working through collaboration.

This has the potential to disrupt existing staffing arrangements as new integrated structures and processes are developed. Financial scrutiny will be required to ensure that any risks associated with mandated pooled funding are properly considered.

Existing HR and IT arrangements may need to be reviewed as organisations work more closely together. Maintaining separate arrangements in these areas is likely to be unworkable as integration becomes stronger.

The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by ABMU. Integration with C&V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services.

**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><i>Political &amp; Legislative</i></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> <p>.</p>
<b><i>Resources</i></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>
<b><i>Service Delivery and Wellbeing</i></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 of care arrangements impacting on the ability to deliver integrated health and social care services that meet the diverse needs of the community.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Poor communication with staff and service users regarding changes to how services will be delivered could impact on the quality and consistency of service delivery and on the awareness/take up of services.</p> <p>Failure to adequately resource the Customer Contact Centre for dealing with health and social care queries impacting on access to services and waiting times.</p>
<b>Reputation</b>	Yes	Failure to manage expectations of service delivery as part of the new delivery models impacting on the Council's reputation.

## 2 – Risk Evaluation

### 2.1 Inherent Risk Scoring






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



2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<p>Information Sharing Protocols developed and operational.</p> <p>Integration of Health and Social Care is considered at all levels of the organisation through the leadership group and the strategic implementation group.</p> <p>Arrangements are reviewed through regular reports to Scrutiny Committee Healthy Living and Social Care Committee.</p> <p>Significant changes to structure and staff arrangements are considered by Cabinet.</p> <p>Established a Regional Steering Group to implement governance structure for the partnership.</p>	3	3	9
<b>Resources</b>	<p>Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board.</p> <p>Developed the ability to view both database systems via Vale IT.</p> <p>IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development.</p> <p>Joint Commissioning Board meets regularly to progress work for pooled budgets.</p>	1	1	1
<b>Service Delivery &amp; Well-being</b>	<p>Launched the DEWIS Cymru Portal that has enabled more effective signposting for service users to adult services.</p> <p>Continued to develop the Customer</p>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Contact Centre as a single point of access for community health and social care services through expanding the range of services that are available.</p> <p>Reviewed and put in place new assessment processes and IT infrastructure to ensure compliance with the Social Services Wellbeing Act.</p> <p>Effectively utilised the Integrated Care Fund to support the development of the Integrated Community Resource Teams and fund wellbeing co-ordinators that are linked to GP practices which has increase the capacity to support people to become more independent. The ICF has also been used to develop a commissioning strategy for accommodations with care and the creation of 6 intermediate care beds at the Ty Dyfan reablement unit to support older people following hospital discharge to regain their independence.</p> <p>The Vale Integrated Discharge Service has strengthened links with Hospital wards to ensure rapid access to housing adaptations and supported accommodation to enable timely discharge that best meets client's needs.</p>			
<b>Reputation</b>		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

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

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH7 AS/A010	Pilot delivery of an outcome focused case management and measurement system within the Long Term Care Service		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Andrew Cole	March 2018	Green (On track)	Pilot has been successfully implemented with one care agency. Second phase of pilot now initiated to trial new service users on the Outcome Focussed Home Care approach. Video is being produced. New policy, contract and service specification being planned for completion by end 3rd quarter.
AH7/ IT AS/A012 (AH10/ IT AS/A018)	Continue to develop the IT Infrastructure to ensure that we can remain compliant with the Social Services Wellbeing Act and support	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Suzanne Clifton	March 2018	IT infrastructure :Green (Completed)	Amendments have been made to current IT system to ensure compliance with the Act and has been developed in parallel with the Welsh Community Care Information System (WCCIS).

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	implementation of Welsh Community Care Information Solution (WCCIS) for Adult Services												WCCIS: Red (Slipped)	Implementation of WCCIS has been delayed to 27th November 2017. Active training and data migration currently in process. Some risks identified in relation to WCCIS with plans in place to minimise/mitigate.
AH8 AS/A005  PD/A01	Continue to develop C1V (Customer Contact Centre) single point of access for community health and social care services expanding the range of services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	Suzanne Clifton	March 2018	Green (On track)	An organisational review of the Customer Contact Centre has commenced, and a focused piece of work to plan the expansion of this provision is in place. Some services - ECAS, Cardiff CRT and Podiatry have all been identified but have not yet transferred over.

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
8	Work with Adult Services to review and amend processes at C1V to support provision of advice and assistance in line with requirements of the Act.										Tony Curliss		Green (On track)	Additional training has been provided to call handlers and currently only 45% of all adult services calls are referred past the first point of contact. Further training is scheduled during Q3.
AH9/FAS/A006	Maximise the use of Integrated Care (ICF) and Primary Care (PCF) funding to support the development of further integrated services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	Suzanne Clifton	March 2018	Green (On track)	Additional therapy and reablement support staff have been added to the Vale Community Resource Service with additional recruitment to continue next quarter.

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AH9 AS/A016	Develop robust processes to improve information sharing between key partners to enable a smoother transition between Children and Young People Services and Adult Mental Health Service	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Linda Woodley	March 2018	Green (On track)	Social Work lead attendance at Transition Review and Interface Group continues. CAMHS Lead Nurse attended Integrated Managers Mental Health Meeting. Lead Nurse CAVHB/ CAMHS/ OM's Cardiff and Vale awaiting confirmation of meeting dates provided for November 2017 to develop health referral process.
AH9 AS/A017	Implement a new Autism Service	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Keith Ingram	March 2018	Green (On track)	All but 2 specialist health staff in post. Service publicly launched by WG minister.
AH10/F AS/A019	Review processes across UHB and Adult	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Suzanne Clifton	March 2018	Red (Slipped)	Operational processes are currently under review and clarity regarding budget

**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 to support pooled budgets													arrangements is still needed.
AH12 AS/A020	Develop a Care Package Approval Process to further enhance the Integrated Discharge Service.		✓	✓	✓	✓	✓	✓	✓	✓	Andrew Cole	March 2018	Green (Completed)	A 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, during quarter 1 there were 10 delayed transfers of care for social care reasons.
AS/F015	Increase the use of reablement care to help people to achieve their potential for		✓	✓	✓	✓	✓	✓	✓	✓	Suzanne Clifton	March 2018	Green (On track)	We have increased reablement capacity using the Integrated Care Fund (ICF) and Primary Care Fund (PCF). Further increased



**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				
	independence and reduce the need for council arranged care.													capacity is planned and recruitment will progress shortly. Additional capacity has also been achieved through service improvements including a new rostering programme which will commence in the Autumn.
AS/W0 17	Implement a restructure within Adult Services	✓	✓	✓	✓	✓	✓	✓	✓	✓	Suzanne Clifton	September 2017	Green (Completed)	We have completed the restructure of Adult Services and filled all posts to ensure the new structure is fit for purpose to best meet our statutory requirements and challenges facing social care. This mitigating action will now be made a control.

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AS/AM 023	Development of Ty Jenner as a Health and Social Care Hub		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Suzanne Clifton	March 2018	Green (On track)	District Nursing staff are now based at Ty Jenner. Further work is planned to review the potential of this building for wider development.
AS/IT0 24	Procure and implement a rescheduling system for the Vale Community Resource Service.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Suzanne Clifton	March 2018	Green (On track)	A scheduling system has been procured and implementation has commenced which is likely to conclude by the Autumn.

## 1 – Risk Overview

### 1.1 Risk Description

#### **Deprivation of Liberty Safeguards**

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

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

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

#### **Deprivation of Liberty in 'Domestic Settings'**

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

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

<b>1.2 Risk Owner</b>		<b>Head of Resource Management and Safeguarding (TBC)/Interim Head of Adult Services (Suzanne Clifton)</b>				
<b>1.3 Impact on our contribution to the Wellbeing Goals</b>						
<b>A Globally Responsible Wales</b>	<b>A Prosperous Wales</b>	<b>A Resilient Wales</b>	<b>A Healthier Wales</b>	<b>A More Equal Wales</b>	<b>A Wales of Cohesive Communities</b>	<b>A Wales of Vibrant Culture and Thriving Welsh Language</b>
No	No	No	Yes	Yes	Yes	No

<b>1.4 Risk Categories</b>		
<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</p>

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

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<b>Political &amp; Legislative</b>	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>	Regular scrutiny and CMT reports to highlight the key issues affecting DOLs.  The DOLs Management Board oversees DOLs development.	1	1	1
<b>Resources</b>	Additional Best Interest Assessors have been recruited to meet the increased demand for additional assessments.  Efficient use and co-ordination of resources on a regional basis via a collaborative arrangement with Cardiff Council and Cardiff and Vale University Health Board.  Light touch review of systems and processes undertaken to put in place more robust processes to support the timely completion of assessments.	1	1	1
<b>Service Delivery &amp; Well-being</b>	Effective case management processes in place	1	1	1
<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

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

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update (Date)
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
AS/AM 022	Contribute to the planning and transfer of Older People's Mental Health Services to Llandough Hospital	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Andrew Cole	March 2018	Green (Completed)	The CMHT for Older People have moved from Ty Jenner to Llanfair Unit at Llandough Hospital.
AS/F02 5	Procure an advocacy service for adults in accordance with the national approach.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Andrew Cole	March 2018	Green (On track)	Cardiff and Vale regional approach to commissioning Independent Professional Advocacy is confirmed. Extensive provider and service user consultation has been undertaken to inform the development of the service specification and procurement model. An Options Appraisal is being developed with a view to seek Cabinet approval in Autumn 2017.



**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"/>	Suzanne Clifton /Head of RMS	March 2018	Green (On track)	Additional £8,000 funding has been allocated by Welsh Government for DOLs work and we continue to lobby our key partners to increase their contributions.

1 – Risk Overview

1.1 Risk Description

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 :

- Poor planning with regard to the completion of tendering processes so that a full procurement exercise could not be completed before an existing contract came to an end ;
- Services starting without final contracts having being agreed and signed by the Council and the supplying organisation.

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 :

- Break in crucial services if the current supplier was unable to continue to provide a service whilst a tendering process was completed ;
- Additional cost as current suppliers increased their costs during the interim period ;
- Risk of legal challenge if any issues arose when services were provided when there was no formal contract in place ; and

Reduced ability to address poor performance if no formal contract in place

1.2 Risk Owner

Head of Finance (CL)

1.3 Impact on our contribution to the Wellbeing Goals

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

1.4 Risk Categories		
Categories	Yes/No	Definition
<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>Services could be in breach of the Council's Procurement Procedures which places the service and the Council at risk of challenge</p> <p>Failure to comply with Council procedures may result in the Council being in breach of EU tendering thresholds.</p>
<b>Resources</b>	Yes	<p>Services are not provided in the most cost effective or efficient way for the Council.</p> <p>The Council is exposed to possible legal challenge if processes are not completed correctly.</p> <p>The ability of the Council to challenge poor performance is limited if performance standards have not been identified and agreed when drawing up the final contract.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Key services could be withdrawn if tendering processes are not completed in a timely manner.</p> <p>Service performance measures are not formally agreed and cannot be enforced if required</p>
<b>Reputation</b>	Yes	<p>Failure to ensure service continuity if tenders are not completed in a timely manner.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
<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>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
Reputation	3 (Probable)	4 (Catastrophic)	12 (High)
Overall Inherent Risk Score	3 (Probable)	3 (High)	9 (Medium/High)

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

Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	3	2	6	1	2	2	Establish baseline	
Resources	3	3	9	3	2	6	1	2	2	Establish baseline	
Service Delivery & Well-being	2	3	6	2	2	4	1	2	2	Establish baseline	
Reputation	3	4	12	3	1	3	1	4	4	Establish baseline	
<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>	Establish baseline	

**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				
FS/A03 2	Delivery of cross directorate training on procurement and contract management as part of the Management Competency Framework.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Carys Lord	March 2018	Green (Completed)	Enhanced procurement and contract management training has been provided for managers in Visible Services and Transport Services to ensure staff can confidently apply these skills when undertaking procurement and contracting activities.
	Audit to undertake a review of contract monitoring to ensure consistent approach across services		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Carys Lord	March 2018	Not started.	Action not due to be started until next quarter.
	Incidents of non-compliance against			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>		Carys Lord	March 2018	Green (Completed)	A system has been established and is

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	Update
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	agreed service targets to be reported to procurement													now operational.
	Regular review of completion of contractual paperwork to continue		✓	✓	✓	✓			✓		Carys Lord	March 2018	Green (Completed)	Monthly reporting to CMT on all outstanding contractual paperwork is operational.
	Continue the development of an electronic Corporate Contracts Register.	✓	✓	✓	✓	✓			✓	✓	Carys Lord	TBC	N/A	New action