

# **The Vale of Glamorgan Council**

## **Audit Committee 16 November 2015**

### **Report of the Corporate Risk Management Group**

#### **Corporate Risk Register Update**

##### **Purpose of the Report**

1. To update the Audit Committee on the current position of the Corporate Risk Register.

##### **Recommendations**

1. That Audit Committee note the current position in relation to corporate risks.
2. That Audit Committee note key recent developments and new/emerging corporate risks.
3. That the report be referred to Cabinet.

##### **Reasons for the Recommendations**

1. To highlight the current position of corporate risks for the Council.
2. To ensure that all corporate risks for the Council are effectively monitored, addressed, reviewed and updated on a regular basis.
3. To ensure Cabinet are aware of and endorse the Risk Register and the actions being taken in mitigation.

##### **Background**

2. The Corporate Risk Management Group (CRMG) meet on a quarterly basis to review the Risk Register to consider the position of each corporate risk identified. The group evaluates whether there have been any changes in either the internal or external environment as well as any new mitigating controls that are being put in place that would prompt a re-evaluation of the risk in terms of its score/position.
3. At a previous meeting on the 13th July, Audit Committee endorsed the recommendations made by the CRMG and CMT regarding developments to the Risk Register and the associated amendments.
4. At this meeting, Audit Committee were advised that the remit of the Local Government Reform Risk had been expanded to give a focus to legislative change generally (of which local government reform is part). This shift in focus will enable the

group to more effectively monitor any risks/implications associated with the preparation and implementation of any new legislation that would have a cross cutting effect on the Council such as the Social Services and Wellbeing Act, the Wellbeing of Future Generations (Wales) Act and the Welsh Language Standards. This proposed revision to the risk was endorsed by the Audit Committee and has now been actioned within the Risk Register. The Audit Committee were advised in the July meeting of the emergence of two further risks. These were in relation to the Reshaping Services agenda and Integrated Health and Social Care. By identifying these as corporate risks, we can closely monitor their impact and put in place appropriate mitigating actions to ensure that we can minimise the risk and any detrimental impact. Both these new risks have now been incorporated into the Risk Register and have been assigned a risk owner and an appropriate risk status.

## **Relevant Issues and Options**

### **Half-yearly Risk Register Update**

5. This report provides a half yearly update on the current status of the risks contained in the Corporate Risk Register along with an update on key recent developments. There are now 13 risks included in the Corporate Risk Register.
6. In terms of risk status, 2 risks are medium/high, 10 risks are medium and 1 risk is medium/low. In terms of direction of travel, of the 13 risks, 12 risks have remained unchanged (kept the same score) and one risk has decreased.
7. The risk status in relation to Welfare Reform has reduced from a medium to medium/low with a score of 3. There has been a shift in this risk because the welfare reform changes have not had the impact that was first anticipated. An update report on Welfare Reform was considered by Corporate Resources Scrutiny Committee in January 2015. This report outlined the key developments in all areas of Welfare Reform. The report highlighted that although the introduction of the Social Size (Bedroom Tax) has resulted in a reduction in housing benefit for some clients by 15-25%, the numbers affected by this change have reduced. For example, the number of clients affected reduced from 1102 in April 2013 to 907 in November 2014. Equally, the numbers affected by the benefit cap has also reduced. In terms of its Council tenants, the Council has put in place effective actions to mitigate the impact of the welfare reform changes (and in particular the effects of the Bedroom Tax). Examples include the introduction of money advisers to support tenants to manage their money and prevent rent arrears, and greater investment in 1 and 2 bedroom units at the Marine Heights hotel, Barry Island and the former Barry Magistrates Court site. The implementation of Universal Credit will start in February 2016, with a full roll out by 2018. Therefore, there have not been any significant implications as a result of the delay in the transfer to Universal Credit. However, it is difficult to predict the impact of this at the moment. It has been recommended that this risk be lowered to medium/low, but that this status should be reviewed at the beginning of the new financial year when we may have more information on which to base the assessment of risk.

8. The table below provides a risk status summary:

<b>Risk</b>	<b>Score</b>	<b>Level</b>	<b>Direction of Travel</b>	<b>Forecast Direction of Travel</b>
Reshaping Services	6	Medium	↔	↑
Response to legislative change and local government reform.	6	Medium	↔	↑
School Reorganisation and investment	9	Medium/High	↔	↔
Housing Improvement Programme	6	Medium	↔	↔
Waste	4	Medium	↔	↑
Workforce needs	6	Medium	↔	↔
Information security	9	Medium/High	↔	↔
Climate Change	6	Medium	↔	↔
Welfare reform	3	Medium/low	↓	↔
Local Development Plan	6	Medium	↔	↔
School Improvement (Joint Education Service)	6	Medium	↔	↔
Safeguarding	4	Medium	↔	↔
Integrated Health and Social Care	6	Medium	↔	↔

9. Of the 13 risks, for 10 risks it is forecast that the direction of travel will remain static, but it is anticipated that over the short to medium term the direction of travel will increase for 3 risks. These are Reshaping Services, Response to Legislative Change and Waste Management.
10. It is anticipated that the Reshaping Services risk will increase over time, as the programme is still at the business case stage, and the need to make increased savings year on year will make it increasingly challenging for the programme to

achieve its intended outcomes. Despite this, the programme has in place robust governance arrangements, and it was identified in a recent Wales Audit Office review of the Reshaping Services Strategy that the Council 'conforms to good practice and demonstrates that it is following the right processes to achieve transformation'.

11. In relation to legislative change and local government reform, it is forecast that this risk will escalate over time given the volume and pace of the legislative change instigated by the Welsh Government. The diversity of the legislative programmes on the horizon will present an increasing challenge for the Council in terms of workforce, capacity, and service pressures aside from the evident financial burdens such legislative change creates. Currently the most pertinent pieces of legislation identified in the Risk Register relate to the Social Services and Wellbeing Act, the Wellbeing of Future Generations (Wales) Act and the Welsh Language. There are currently a robust set of measures in place to mitigate the impact of these legislative changes. However, because of the likely financial impact of Welsh Language Standards it is anticipated this risk will escalate over time. An update on the Welsh Language Standards is being prepared for Corporate Management Team which will detail the potential costs of meeting the new standards.
12. In terms of the Waste Management risk, although there have not been any significant developments since the CRMG last reviewed the risk, it is anticipated that this risk will move in an upward direction. This is due to the likely implementation of the Environment (Wales) Bill. Although, this proposed legislation is only at stage 2 of the legislative process (consideration by Committee) it is anticipated that once passed it will impact on the status of this risk. A new risk factor that will contribute to escalate is in relation to the Single Environment Grant which brings together three formerly separate grants (Sustainable Waste Management Grant, Flood and Water Grant and Tidy Towns). The combined grant is now smaller than the combined value of grant from the three last years as the SWMG has been declining year on year, and some of the flood grant has been earmarked to support development work in preparation for the coastal defence investment programme and is now also required to achieve multiple benefits in line with the goals of the Well-being of Future Generations (Wales) Act 2015. WG officials say this could be subject to further cuts in future of anywhere between 25 to 50%. The impact of cuts of this magnitude will significantly increase the risk considering that the waste element of this grant accounts for the vast majority of the Council's core waste activities (e.g. food and dry recycling collections) introduced to enable them to work towards statutory recycling targets.
13. For more detail regarding each corporate risk, please see the most recent version of the Risk Register attached as **Appendix A**.
14. The Risk Register has also been refreshed to ensure that where relevant any mitigating actions outlined in Service Plans are reflected as actions within the Register. Appropriate linkages have also been made with any regulatory reports/reviews, by ensuring that any improvement proposals/recommendations outlined in the reports from the inspectorates have also been appropriately referenced in the Register (where applicable to a corporate risk).
15. Now that the Risk Register has been refreshed, it will be published and publicised on the Council's website. The Risk Strategy underpinning the Council's approach to risk management will be reviewed and a refreshed version will be presented to Committee at its next meeting.

## **Resource Implications (Financial and Employment)**

16. Managing and reducing risks effectively helps prevent unnecessary expenditure for the Council, reduces insurance claims and premiums and provides better protection for the Council and its staff and members.

## **Sustainability and Climate Change Implications**

17. Sustainability has been identified as one of 13 risk themes that are used to assess the nature of a risk and their potential effect. 12 of the 13 corporate risks have identified sustainability as a key theme. Counter measures and controls to mitigate any sustainability related risks are outlined in each risk template in the Risk Register and monitored by the Corporate Risk Management Group.
18. Climate change has been identified as a medium level corporate risk to the Council and is being monitored as part of the Corporate Risk Register.

## **Legal Implications (to Include Human Rights Implications)**

19. Identifying, managing and reducing risk effectively helps to prevent legal challenge.

## **Crime and Disorder Implications**

20. None directly at present.

## **Equal Opportunities Implications (to include Welsh Language issues)**

21. Equalities has been identified as one of 13 risk themes that are used to assess the nature of a risk and their potential effect. 8 of the 13 corporate risks have identified equalities as a key theme. Counter measures and controls to mitigate against any equalities related risks are outlined in each risk template in the Risk Register and monitored by the Corporate Risk Management Group.

## **Corporate/Service Objectives**

22. Risk management is an intrinsic part of corporate governance that is embodied within the principle of community leadership. It is a key competency for the Council to demonstrate as part of the Wales Programme for Improvement. Effective risk management assists the Council in managing its assets more efficiently and thereby promotes the achievement of the Council's objectives in relation to community leadership.

## **Policy Framework and Budget**

23. This is a matter for executive decision.

## **Consultation (including Ward Member Consultation)**

24. Consultation has taken place with nominated risk owners and members of the Corporate Risk Management Group.

## **Relevant Scrutiny Committee**

25. Corporate Resources

## **Background Papers**

None

**Contact Officer**

Huw Isaac, Head of Performance and Development (Chair of the Corporate Risk Management Group).

**Officers Consulted**

Corporate Risk Management Group

Corporate Management Team

**Responsible Officer:**

Rob Thomas, Managing Director

# CORPORATE RISK REGISTER 2015/16

<u>No</u>	<u>Risk</u>	<u>Score</u>	<u>Level</u>	<u>Direction of Travel</u>	<u>Forecast Direction of Travel</u>	<u>Page no.</u>
1.	Reshaping Services	6	Medium	↔	↑	<a href="#">3</a>
2.	Response to Legislative Change and Local Government Reform	6	Medium	↔	↑	<a href="#">13</a>
3	School Reorganisation and investment	9	Medium/High	↔	↔	<a href="#">20</a>
4	Housing Improvement Programme	6	Medium	↔	↔	<a href="#">34</a>
5	Waste	4	Medium	↔	↑	<a href="#">42</a>
6	Workforce needs	6	Medium	↔	↔	<a href="#">58</a>
7	Information security	9	Medium/High	↔	↔	<a href="#">74</a>
8	Climate Change	6	Medium	↔	↔	<a href="#">85</a>
9	Welfare reform	3	Medium/low	↓	↔	<a href="#">96</a>
10	Local Development Plan	6	Medium	↔	↔	<a href="#">108</a>
11	School Improvement (Joint Education Service)	6	Medium	↔	↔	<a href="#">113</a>
12	Safeguarding	4	Medium	↔	↔	<a href="#">123</a>
13	Integrated Health and Social Care	6	Medium	↔	↔	<a href="#">133</a>

Possible Impact or Magnitude of Risk	Catastrophic	<b>MEDIUM</b> 4	MEDIUM/HIGH 8	HIGH 12	VERY HIGH 16
	High	<b>MEDIUM/LOW</b> 3	MEDIUM 6	MEDIUM/HIGH 9	HIGH 12
	Medium	LOW 2	MEDIUM 4	MEDIUM 6	MEDIUM/HIGH 8
	Low	VERY LOW 1	LOW 2	<b>MEDIUM/LOW</b> 3	MEDIUM 4
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					

## RISK MATRIX

## DIRECTION OF TRAVEL

	Risk level <b>increased</b> at last review
	Risk level <b>decreased</b> at last review
	Risk level <b>unchanged</b> at last review

## Risk 1: Reshaping Services

<b>Risk Description</b>	<b>Failure to deliver the Reshaping Services Programme</b>	
<p>There is a risk that the Council fails to deliver the Reshaping Services Programme and therefore does not utilise alternative methods of service delivery and other approaches to mitigate the impact of budget reductions and demand challenges, thereby resulting in further cuts to services significantly impacting their availability and quality.</p> <p>There is the risk associated with pursuing the Reshaping Services agenda, namely the new skills and capacity required to manage significant change at a time of diminishing resources and using approaches that are relatively new concepts to the Council and its partners.</p> <p>There is also the risk of a judicial review particularly in relation to Reshaping Services agenda where new models of service delivery are developed. This could have both financial and reputational consequences if a judicial review finds our actions to be unlawful.</p>		
<b>Risk Owner</b>	Head of Performance & Development (HI)	
<b>Risk themes</b>		
	Mark one or more themes with an X	
<b>Business Continuity</b>	<b>X</b>	
Failure to continue to provide priority services.		
<b>Collaboration</b>	<b>X</b>	
Fail to maximise opportunities to improve service delivery and mitigate the impact of budget reductions via this alternative method of service delivery.		
<b>Sustainability (including Social Inclusion)</b>	<b>X</b>	
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 Future Generations Bill.		
Health and Safety		
<b>Workforce Planning</b>	<b>X</b>	
Fail to develop and mobilise sufficient skills and capacity to develop and deliver the Programme and manage new ways of working.		
Sickness Absence		

<b>Equalities</b>		<b>X</b>			
Failure to provide services which meet the diverse needs of the local community.					
<b>Information Management (including E-Government)</b>		<b>X</b>			
Failure to use information management, technology and digital communication channels to communicate, engage and deliver services as part of the Reshaping Services programme and individual projects.					
<b>Project Management</b>		<b>X</b>			
Fail to put robust procedures in place to manage the programme, including monitoring and reporting on progress, the development of business cases and implementation of projects within required timeframes.					
<b>Financial Management</b>		<b>X</b>			
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.					
<b>Communication</b>		<b>X</b>			
The programme fails to communicate and engage effectively with service users and partners to identify and deliver the alternative ways of working.					
<b>Reputation</b>		<b>X</b>			
Failure to deliver the programme's aim and objectives impact on its reputation with citizens and regulators for the delivery of priority services.					
<b>Customer Relations</b>		<b>X</b>			
Failure to continue to provide priority services and engage with customers in the provision of services.					
<b>Risk Scoring</b>					
<b>Impact</b> (1=Low 4=Catastrophic)	<b>Likelihood</b> (1=Unlikely 4=Almost Certain)	<b>Total Risk Score</b>	<b>Priority Level</b> (use the risk matrix)	<b>Direction of travel</b>	<b>Forecast Direction of Travel</b>
3 (High)	2 (Possible)	6 (Medium)	Medium	New risk	New risk
<b>Current Controls to manage risk</b>					
<b>Risk Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>		<b>Source document/Status</b>	
	The "challenge" process which is used to identify priority areas for reshaping activity, considering risks, issues, strengths, weaknesses, opportunities and threats of individual services.	<b>Business Continuity</b> – Ensures consideration is given to all service areas as to their potential for reshaping activity that addresses priority areas of service delivery.  <b>Collaboration/ Reshaping</b>		Ongoing  Service Area Baseline Assessment documents  Project Initiation	

		<b>Services/ Information Management</b> – Ensures consideration is given to a range of alternative methods of service delivery and other reshaping approaches.	Documents
	Reshaping Services Programme Board oversees the operational delivery of the programme in all of its aspects. Reshaping Services Programme Team, including Programme Director and Programme Manager in place to provide operational resource to programme delivery.	<b>Project Management</b> – Ensures the Programme Board receive regular updates and make decisions relating to individual projects and the programme itself. Ensures resources available to support the programme.	Ongoing  Programme Governance Structure  Meetings of minutes
	Service Area Baseline assessment templates include details relating to service sustainability (workforce supply problems, five year changes, links with other services and major risks).	<b>Sustainability</b> – This approach ensures sustainability issues are considered at the first stage of the “challenge” process.	Ongoing  Service Area Baseline Assessment documents
	A Communications and Engagement work stream has been established as part of the Programme’s governance arrangements.	<b>Equalities/ Project Management/ Customer Relations</b> – Ensures regular and timely engagement and communication is undertaken as part of the Programme and coordinated around a core set of key messages.	Ongoing  Programme Governance Structure  Reshaping Services Strategy
	An Organisational Development work stream has been established as part of the Programme’s governance arrangements.	<b>Workforce Planning/ Project Management</b> – Ensures risks associated with developing skills and capacity to support the programme and new ways of working are identified, mitigated and managed.	Ongoing  Programme Governance Structure  Reshaping Services Strategy

	Programme Team meets monthly to coordinate and resource individual projects in addition to Programme activity.	<b>Workforce Planning/ Communication and Engagement/ Project Management</b> – Ensures the resource requirements for the programme are analysed, discussed and communicated to enable efficient and effective management of projects.	Ongoing  Programme Governance Structure  Programme Team minutes
	Business case template, guidance and assistance to support project delivery devised and publicised.	<b>Project Management/ Sustainability/ Reshaping Services/ Financial Management</b> - Ensures the resource requirements for the programme are analysed, discussed and communicated to enable efficient and effective management of projects that meet set objectives.	Ongoing  Business case template and guidance
	Alternative Delivery Methods training and development programme for programme team and project sponsors/manager	Workforce Planning/ Project Management/ Reshaping Services/ Collaboration/ Financial Management	Ongoing  ADM Training Programme
	Resource profile for projects created and maintained	Workforce planning/ Project Management	Ongoing  Resource Profile
	Programme reporting, including risk and issue log, maintained	Project Management/ Reshaping Services	Ongoing  Programme Board Papers

**Countermeasure(s) to improve/mitigate the risk**

<b>Risk Action Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>	<b>Responsibility</b>	<b>Timescales for completion</b>	<b>Source document</b>
RS/A1 09 (IO1) RS/A1	Commence the review of service areas contained in tranche 1 of the programme by documenting	<b>Financial management/Workforce Planning</b> - Cost savings are identified to support the delivery of the	Project Sponsors for Tranche 1 as outlined in the Reshaping Services All	March 2016	Resources Service Plan 2015/19 and links to Improvement

3	<p>business cases to consider the full range of opportunities presented by each area.</p> <p>Projects include for example undertaking a review of office accommodation/non-office accommodation, facilities management and corporate buildings</p>	Reshaping Services Agenda and will help us to facilitate new ways of working.	Project Summary and Highlight Report (RSAP)		Objective 1.  Reshaping Services All Project Summary and Highlight Report.
RS/A1 10 (IO1)  RS/A1 4	<p>Begin work on the corporate projects work stream to consider a corporate response to demand management, effectiveness of spend, working with Town and Community Councils and income generation.</p> <p>Co-ordinate a review of income generation opportunities corporately</p>	<b>Financial management/Workforce Planning-</b> Cost savings are identified to help facilitate new ways of working. We can effectively quantify income generation and opportunities across the Council to support delivery of the Reshaping Services agenda.	Head of Performance and Development (Huw Isaac) and Project Sponsors as outlined in the Reshaping Services All Projects Summary Highlight Report (APSHR)	March 2016	Resources Service Plan 2015/19 and links to Improvement Objective 1.  Reshaping Services APSHR
RS/A1 11 (IO1)	Undertake organisational development activities to support the programme and its	<b>Workforce Planning/Communication-</b> There is consistency and flexibility across roles resulting in greater adaptability to the	Head of Human Resources (Reuben Bergman)	March 2016	Resources Service Plan 2015/19 and links to Improvement Objective 1.

	projects.	changing needs of the business. Employees feel appropriately informed and engaged in relation to the Reshaping Services agenda.			Staffnet information Staff Briefing Session Presentation.
RS/A1 12 (IO1)	Undertake a review of management and leadership competencies including an increased requirement for commissioning, contracting, collaboration and project management skills.	<b>Sustainability/Workforce Planning-</b> Effective leadership in place that can adapt to the changing needs of the business.	Head of Human Resources (Reuben Bergman)	March 2016	Resources Service Plan 2015/19 and links to Improvement Objective 1.
RS/A1 15	Develop and implement a combined Communication and Engagement Plan to support the Reshaping Services agenda	<b>Workforce Planning/Communication/Reputation/Customer relations-</b> Effectively communicate change and empower people to feel involved in the process.	Senior Media Officer (Rob Jones)  Communications Officer (Shelley Bellamy)	March 2016	Resources Service Plan 2015/19 and links to Improvement Objective 1.
RS/A0 70	Develop and implement a Staff Engagement Strategy in relation to Reshaping Services.	<b>Workforce Planning/Communication-</b> Employees feel appropriately informed and engaged in relation to the Reshaping Services agenda.	Head of Human Resources (Reuben Bergman)	March 2016	Resources Service Plan 2015/19 and links to Improvement Objective 1.  Staff Briefing Session Presentation
RS/A1 17	Develop a new 'Vale Contract' to support Reshaping	<b>Workforce Planning/Communication-</b> There is	Head of Human Resources (Reuben	March 2016	Resources Service Plan 2015/19 and

	Services and the development of an agile workforce enabling flexibility for the future.	consistency and flexibility across roles resulting in greater adaptability to the changing needs of the business.	Bergman)		links to Improvement Objective 1.
RS/A1 18	Review of Management Competency Framework to support the needs of the Reshaping Services agenda	<p><b>Business continuity-</b>This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability-</b> This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities-</b>This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	Head of Human Resources (Reuben Bergman)	March 2016	<p>Resources Service Plan 2015/19 and links to Improvement Objective 1.</p> <p>This is action will be delivered as part of the wider organisational development action RS/A111</p>
RS/A1 19	Develop an Employee Relations Framework to	<b>Workforce Planning/Communication-</b> There is consistency and	Head of Human Resources (Reuben	March 2016	Resources Service Plan 2015/19

	underpin the needs of the Reshaping Services agenda.	flexibility across roles resulting in greater adaptability to the changing needs of the business.	Bergman)		
	Equality Impact Assessments completed for each project and maintained for programme as a whole	<b>Equalities/ Customer Relations/ Sustainability-</b> Effective project management processes in place that effectively mitigates against any negative impact service change/transformation could have on individuals in protected groups.	Head of Performance and Development (Huw Isaac) and Individual Project Sponsors.	March 2016	Project Business case and Reshaping Services Strategy.
WAO /P1	Research other local authorities to learn from their experiences of identifying and delivering alternative forms of service delivery and achieving efficiency savings.	<b>Financial management/Workforce Planning-</b> Cost savings are identified to support the delivery of the Reshaping Services Agenda and will help us to facilitate new ways of working.	Head of Performance and Development (Huw Isaac)	March 2016	WAO Review of Reshaping Services (April 2015)
WAO/ P2	Staff resources/skills are adequately assessed and changes implemented to support alternative models of service delivery.	<b>Business continuity-</b> This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services. <b>Workforce Planning/Communication-</b> There is consistency and flexibility across roles resulting in greater	Head of Human Resources (Reuben Bergman)	March 2016	WAO Review of Reshaping Services (April 2015)

		adaptability to the changing needs of the business.			
WAO/ P3	Develop criteria for selecting alternative models of service delivery based according to corporate objectives.	<p><b>Business Continuity</b> – Ensures consideration is given to all service areas as to their potential for reshaping activity that addresses priority areas of service delivery.</p> <p><b>Collaboration/ Reshaping Services/ Information Management –</b> Ensures consideration is given to a range of alternative methods of service delivery and other reshaping approaches.</p>	Head of Performance and Development (Huw Isaac)	March 2016	WAO Review of Reshaping Services (April 2015)
WAO/ P4	Incorporate best practice frameworks for business case reviews and partnership working to add strength to the Reshaping Service Strategy.	<p><b>Financial management/Workforce Planning-</b> Cost savings are identified to support the delivery of the Reshaping Services Agenda and will help us to facilitate new ways of working.</p>	Head of Performance and Development (Huw Isaac)	March 2016	WAO Review of Reshaping Services (April 2015)
WAO/ P5	Adopt the BS11000 principles/standards to ensure robust management and governance of all partnerships.	<p><b>Financial management/Workforce Planning-</b> Cost savings are identified to support the delivery of the Reshaping Services Agenda and will help us to facilitate new</p>	Head of Performance and Development (Huw Isaac)	March 2016	WAO Review of Reshaping Services (April 2015)

		ways of working.			
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<b>Status Report (For Corporate Risk Management Group use only)</b>					
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Date	Commentary
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29/5/15	Risk template created for new risk.
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## Risk 2: Response to Legislative Change and Local Government Reform

<b>Risk Description</b>	Failure to respond to legislative changes and to proposals for local government reform
<p>This risk focuses on how we respond to new and emerging legislative requirements particularly where the nature of the legislation is cross-cutting in terms of the impact it has on a variety of service areas. There is the risk that there is a failure to be able to effectively co-ordinate the implementation of significant legislative change across the breadth of Council services/functions that it effects. There are currently three key pieces of legislation that this applies to such as Social Services Wellbeing Act, Wellbeing of Future Generations Act and the emerging local government reform agenda.</p> <p>Both the Wellbeing of Future Generations Act and Social Services Wellbeing Act have a cross-cutting focus on wellbeing in relation to how we plan and deliver our services. In relation to Social Services Wellbeing Act, this will come into force in April 2016. As aspects of preparation for its implementation are being undertaken at both a local and regional level, there is the risk that poor co-ordination would lead to inconsistent implementation of the requirements of the Act. In terms of the Future Generations Bill, we are currently awaiting the guidance for the implementing requirements of this legislation. However, the council has been identified as an early adopter, and therefore needs to demonstrate that it has the resources and the co-ordination to implement this new legislation consistently across all Directorates. In terms of Local Government reform, this risk relates to two aspects of the Welsh Government programme in respect of local government. One aspect is the possible reorganisation of Councils. The other relates to the proposals in the “Reforming Local Government – Power to Local People” White Paper to make substantial changes in a range of areas, including local democracy, the roles of elected members and senior officers, community governance and Community Councils, community rights, corporate improvement, service performance, scrutiny, audit, inspection and regulation, and finance.</p> <p>The Council is committed to the principle of treating the Welsh and English language on the basis of equality. In order to do this we have in place a Welsh Language Scheme that ensures that we are meeting our obligations under the Welsh Language Act 1993. Under the new Welsh Language (Wales) Measure 2011, all current Welsh Language schemes will be replaced by the Welsh Language Standards. Our requirements to meet these standard are still subject to consultation with the Welsh Government and its requirements have not yet been formally endorsed. All organisations that are subject to the new standards will receive a compliance notice in advance and the Welsh Language Commissioner can impose duties on these organisations to comply. Failure to comply with the new Welsh Language Standards would not only be damage the reputation of the Council, but could also result in a civil penalty.</p>	

<b>Risk Owner/s</b>	Corporate Management Team
<b>Risk themes</b>	
	Mark one or more themes with an X
<b>Business Continuity</b>	<b>x</b>
There is a severe risk of failing to maintain business continuity, for front line and back office services, in the run-up to and the aftermath of implementation of legislative change and any possible merger of the Vale Council with another.	
<b>Collaboration</b>	<b>x</b>
Collaboration with partners in the public, voluntary and private sectors is key to the way Councils will operate in future, and efforts in this respect have to continue apace.	
<b>Sustainability (including Social Inclusion)</b>	<b>x</b>
Sustainable Development in its fullest sense is at the core of how the Council works, and the Council will continue to operate in accordance with its principles, and specifically how they are embodied in the requirements of the Well Being of Future Generations Act.	
Health and Safety	
<b>Workforce Planning</b>	<b>x</b>
There is a risk that the workforce as a whole will not be equipped to deal with the challenges of the future, and that as individual members of staff their needs are not sufficiently well considered.	
<b>Sickness Absence</b>	<b>x</b>
Current and future challenges will put pressures on the workforce, and it will be particularly important to continue to monitor and manage sickness absence.	
<b>Equalities</b>	<b>x</b>
Major legislative and organisational changes will need to have careful regard to their impact on equalities policies and the Council's statutory obligations as regards the Equality Act. Equalities Impact Assessments will need to be done as appropriate.	

<b>Information Management (including E-Government)</b>			<b>x</b>		
Legislative changes may impact on how we utilise, store and management information and create further data security issues that the Council will need to resolve/consider. Any Council mergers will mean the merger of information currently held separately. This will also entail the development of new shared information systems. Clearly there are associated risks which will need to be managed.					
<b>Project Management</b>			<b>x</b>		
There will need to be effective project management in terms of implementation of both legislative changes and any potential					
<b>Financial Management</b>			<b>x</b>		
The financial management of responding to and resourcing legislative changes across a breadth of services and the impact of any Local Government reform/mergers will be a major undertaking, and developing adequate arrangements for managing this aspect will be key.					
<b>Communication</b>			<b>X</b>		
Effective communication with staff and with our customers will be essential during a time of significant organisational change. Failure to communicate effectively could undermine the trust of employees, external stakeholders and our customers and poorly orchestrated delivery of organisational reform.					
<b>Reputation</b>			<b>x</b>		
Managing the implementation of new legislation and associated changes/reform on such a large organisational scale will need to be done properly and effectively and will be crucial to maintaining the Council's reputation.					
<b>Customer Relations</b>			<b>x</b>		
Constant communication with external stakeholders, including in maintaining service continuity, will be key.					
<b>Risk Scoring</b>					
<b>Impact</b> (1=Low 4=Catastrophic )	<b>Likelihood</b> (1=Unlikely 4=Almost Certain)	<b>Total Risk Score</b>	<b>Priority Level</b> (use the risk matrix)	<b>Direction of travel</b>	<b>Forecast Direction of Travel</b>
3	2	6	Medium	New risk	New risk
<b>Current Controls to manage risk</b>					
Risk	Description	Risk Managed (by theme)		Source	

Ref.			document/Status
	Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments on Council reorganisation	<p><b>Project Management:</b></p> <p>High level arrangements in place to support the preparedness for any changes required.</p>	Ongoing action.
	Leader and Managing Director are members of key national bodies such as the WLGA Coordinating Committee and SOLACE Wales	<p><b>Project Management:</b></p> <p>Ability to influence and quickly respond to WG proposals</p>	Ongoing action
	CMT and Reshaping Services Programme Board manage key changes in the Council and can readily adapt to include changes emanating from “Power to Local People”	<p><b>Project Management:</b></p> <p>Ability to take a corporate and innovative approach to making changes.</p>	Ongoing action
	Response provided by the Vale of Glamorgan Council to Welsh Government on the Devolution, Democracy and Delivery White Paper- Reforming Local Government: Power to Local People	<p><b>Communication/Reputation-</b> It is hoped that the Responsive and constructive feedback provided to Welsh Government on the Council’s position and views on the proposed changes to reform will be considered and used to influence any legislative changes.</p>	Completed action.
	Sustainability Working Group that oversees the strategic direction of the Council in terms of sustainability.	<p><b>Sustainability/Communication-</b> this counter measure will enable us to ensure that the key messages are being communicated consistently to staff and members and will also be a key tool through which we can assess how effectively we are embedding the requirements of the Act.</p>	Ongoing action
	Membership of a WLGA	<p><b>Sustainability/Communication-</b></p>	Ongoing action

	supported Early Adopters network.	this counter measure will ensure we have the right access to information and tools to enable us to best meet the new requirements of the Act.	
	Delivery of a series of briefing sessions to raise awareness of the Wellbeing of Future Generations Act.	<b>Sustainability/Communication-</b> this counter measure will enable us to ensure that the key messages are being communicated consistently to staff and members.	Completed.

**Countermeasure(s) to improve/mitigate the risk**

<b>Risk Action Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>	<b>Responsibility</b>	<b>Timescales for completion</b>	<b>Source document</b>
	Implementation of the Social Services Wellbeing (Wales) Act Action Plan.	<b>Business continuity/Sustainability/Collaboration-</b> this counter measure will support us in ensuring that a regional co-ordinated approach is taken in implementing all aspects of the new legislation in both an effective and consistent way across all services areas and with external partners.	Director of Social Services (Philip Evans) and Regional Lead Officer (Nichola Poole) working collaboratively on a regional basis with Cardiff Council, Cardiff and Vale University Health Board and the Third Sector.	By 1 <sup>st</sup> April and then ongoing work after initial implementation.	Social Services Wellbeing (Wales) Act Action Plan.
	Develop and implement a Workforce Plan for Social Care.	<b>Workforce planning-</b> There is consistency and flexibility across roles resulting in greater adaptability to the changing	Director of Social Services (Philip Evans) and Regional Lead Officer (Nichola Poole)	By 1 <sup>st</sup> April and then ongoing work after initial implementation	Social Care Workforce Plan

		needs of the business in response to the legislative changes.		ion.	
	Recruitment of additional staff to support the implementation of the Social Services Wellbeing Act in the form of Business Improvement Partners.	<b>Business continuity/Sustainability/Collaboration</b> -this counter measure will support us in ensuring that a regional co-ordinated approach is taken in implementing all aspects of the new legislation in both an effective and consistent way across all services areas and with external partners.	Director of Social Services (Philip Evans) and Regional Lead Officer (Nichola Poole)	By 1 <sup>st</sup> April and then ongoing work after initial implementation.	
	Provide a corporate response to any further Welsh Government Proposals regarding local government reform.	<b>Communication/Reputation</b> - It is hoped that the Responsive and constructive feedback provided to Welsh Government on the Council's position and views on the proposed changes to reform will be considered and used to influence any legislative changes.	Corporate Management Team	As and when required in response to Welsh Government proposals.	
	Delivery of the Welsh Language Standards Action Plan	<b>Equalities/Workforce planning</b> - This counter measure will enable us to Failure to evidence	Head of Performance and Development (Huw Isaac)	To be confirmed by Welsh Government - current	Welsh Language Standards Action Plan

		we are complying with the Welsh Language Standards and would indicate that the Council is not committed to the principle of equality for both Welsh and English language.		action plan is in draft form awaiting approval from Welsh Government .	
	Respond to Welsh Government Consultation on Wellbeing of Future Generations legislative guidance.	<b>Sustainability/Communication-</b> This will ensure that we are able to influence, shape and clarify the guidance so that we are better placed to meet its requirements.	Head of Performance and Development (Huw Isaac)	By November 2015	Welsh Government draft guidance- Shared Purpose: Shared Future.
	Develop and deliver an action plan in response to the Act.	<b>Project Management-</b> this will ensure that we are in a position to effectively meet all aspects of the new Act within the designated timescales.	Head of Performance and Development (Huw Isaac)	Initial draft produced in October 2015 with ongoing updates and delivery of the action plan year on year.	Welsh Government draft guidance- Shared Purpose: Shared Future.

**Status Report (For Corporate Risk Management Group use only)**

Date	Commentary
29/05/15	Risk template created for new risk.

## Risk 3: School Reorganisation and Investment

<b>Risk Description</b>	<b>Failure to deliver the current School Reorganisation and Investment Programme and to develop a new programme in readiness for Band B of 21<sup>st</sup> Century Schools</b>
<p><b>Overview:</b></p> <p>This risk encompasses funding key priorities set out in the 21<sup>st</sup> Century Schools Investment Programme as well as smaller scale asset renewal schemes. It also includes school reorganisation as the reduction of surplus places and condition of school buildings are the primary criteria for securing 21<sup>st</sup> Century Schools grant funding.</p> <p>Priorities within the School Investment Programme include:</p> <ul style="list-style-type: none"><li>• Penarth Learning Community – replacement of St Cyres School and amalgamation of the Vale’s 3 Special Schools into a new regional school.</li><li>• The expansion of Welsh Medium Seed Schools in Barry and Llantwit Major</li><li>• The expansion of Ysgol Gwaun y nant in Barry and a new school building for Oakfield Primary School</li><li>• Llantwit Learning Community comprising remodelling and a new school building Llantwit Comprehensive School and a new primary school building for Ysgol Y Ddraith (new amalgamated 420 place school replacing Llanilltud Fawr and Eagleswell schools from September 2015)</li></ul> <p>When considering L.A. applications for Band A funding under the 21<sup>st</sup> Century Schools programme, as well as ensuring the two primary criteria of addressing surplus places and condition of buildings were met, the Welsh Government also required L.A.s to have appropriate strategies in place to provide sufficient Welsh Medium places and address SEN provision.</p> <p>Rationalisation and development of SEN provision was central to the Penarth Learning Community. The Investment programme includes the expansion of Welsh Medium Primary Schools in Llantwit and Barry. There is a need to plan for the expansion of Welsh medium secondary school places to address a shortage of places from September 2020 onwards.</p> <p>As well as the schemes listed in the programme, new requirements are emerging as a result of housing development. Whilst the requirement for increased capacity in certain areas has been identified, in many cases there will be insufficient s106 funding to cover costs placing increased pressure on available funding.</p> <p>There is a risk associated with securing the necessary capital required to fund major investment projects as well as addressing building conditions across all Vale schools. The lack of available funding to address all requirements will result in buildings deteriorating further giving rise to risks associated with health and safety, DDA, business continuity and sustainability.</p> <p>Welsh Government Guidance recommends that ‘Local Authorities should retain no more than 10% surplus places overall.’ It further recommends that ‘where there are excessive numbers of surplus</p>	

places in an area LA's should review their provision and, where feasible make proposals for school organisation especially where schools have significant levels of surplus places, require significant investment, or have a catchment area which is unlikely to provide numbers of pupils to make it sustainable for the future."

Failure to implement an appropriate school re-organisation programme could result in the Vale not achieving its surplus place targets of 10.2% in the primary sector and 12.86% in the secondary sector by 2016 as agreed with the Minister for Education and Skills.

Possible failure to address the shortage of school places in the Welsh Medium Primary Sector could directly impact on the Vale's ability to secure WG 21<sup>st</sup> century schools grant in the future.

At January 2015, 16.1% of secondary school places and 10.1% of primary school places were empty. The secondary school target of 12.86% will not be met by 2016 although plans are in place to remove capacity in the secondary sector in 2017 through reducing the size of Llantwit Comprehensive School as part of the Llantwit Learning Community scheme. Surplus capacity will also start to reduce from 2017 onwards without further action being taken as larger primary cohorts feed into the secondary sector.

In January 2015 there were 3 primary schools and 4 secondary schools with significant surplus places (in excess of 25%). Ysgol Bro Morgannwg will fall out of this category in 2016 as larger cohorts feed into the school and Llantwit in September 2017 as a result of the remodelling and rebuild of the school. Bryn Hafren and Barry Comprehensive schools are the subject of consultation on a proposal which would result in surplus capacity being taken out of the schools in 2020. It is anticipated that the significant surplus capacity in the primary sector will reduce as a result of increased pupil numbers arising from new housing development.

<b>Risk Owner</b>	Head of Strategy, Community Learning and Resources
<b>Risk Themes</b>	
	Mark one or more themes with an X
<b>Business Continuity</b>	X
Lack of funding to address all priorities can result in classroom or school closure during term time whilst remedial work is being undertaken causing disruption to the delivery of the service and difficulty for parents who need to arrange alternative child care at short notice. Where the duration of a school closure requires alternative arrangements to be put in place, additional unbudgeted costs are incurred in relation to accommodation and where relevant, transport. The closure of a school for any duration generates negative publicity for the Council.	
Collaboration	
<b>Sustainability (including Social Inclusion)</b>	X
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. Limited asset renewal funding could result in the Council not being able to meet its CO2 reduction target set out in the Carbon Management Strategy and Implementation Plan.	
<b>Health and Safety</b>	X
Asset renewal schemes are prioritised for funding using a list of criteria of which health and safety attracts the highest ranking. Nevertheless there is insufficient capital funding to fund all works identified as a priority in the rolling capital renewal programme thereby increasing health and safety related risks.	
Building conditions of the Victorian Schools are a cause for concern. The frequency of masonry	

falling away and lath and plaster ceilings falling has increased. A programme of work is underway in relation to the ceilings of all 17 Victorian school buildings and a survey of stonework is also being progressed.					
<b>Equalities</b>			<b>X</b>		
The Council could fail to meet the statutory requirement to meet the demand for Welsh medium school places.					
Funding for adaptations to schools under DDA 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.					
Information Management (including E-Government)					
Project Management					
<b>Financial Management</b>			<b>x</b>		
Failure to deliver the programme in line with plans approved by WG could impact on the Council's success in securing grant funding in future bands of the 21 <sup>st</sup> Century Schools Programme.					
The Councils 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.					
Failing to reduce surplus places through investment impacts on effective resource management in schools.					
Communication					
Reputation			<b>X</b>		
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 attracts negative publicity and criticism from the community which can be difficult to repair.					
Customer relations					
<b>Risk Scoring</b>					
Impact (1=Low 4=Catastrophic)	Likelihood (1=Unlikely 4=Almost Certain)	Total Risk Score	Priority Level (use the risk matrix)	Direction of travel	Forecast direction of travel
3	3	9	<b>Medium/High</b>		

Current Controls to manage risk			
Risk Action Ref	Description	Risk Managed (by theme)	Source document/ Status
	Awareness raising with Members and CMT of 21 <sup>st</sup> Century Schools Programme and need to release funding through rationalisation of places and to generate capital receipts.	<b>Financial Management</b> – Members are aware of the need to generate capital receipts to fund the current Schools Investment Programme and of the extent to which receipts will be critical to the funding of future plans. The effective use of resources through improved organisation and management of the school estate has been established as a key objective.	Completed Action: Learning and Skills Service Plan 2012/13
	Progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme	<b>Financial Management</b> – surplus land is identified and effectively marketed to maximise capital receipts to fund reorganisation and investment requirements.	
	Active participation in the Council's carbon management group.	<b>Sustainability</b> – schools have been supported to implement schemes to reduce energy use and carbon emissions. Schools have benefited from loan funding for insulation projects and installation of LED lighting. This work is on-going.	Completed Action: Learning and Skills Service Plan 2012/13
	Work undertaken with planning officers to identify education demand from new housing developments and to maximise s106 funding.	<b>Sustainability</b> – Plans are developed which ensure the sustainability of school provision in relevant areas.  <b>Financial Management</b> - Section 106 funding secured and maximised.	Completed Action: Learning and Skills Service Plan 2012/13

		<p><b>Equalities</b> – Ensuring that the right number and type of school places are provided in the future.</p> <p><b>Health and Safety</b> – sufficient capacity is available to accommodate pupils safely.</p>	
	Survey demand for school places in line with the Council's Welsh Education Strategic Plan.	<b>Equalities</b> – the results of surveys in inform planning for welsh medium school places as well as meeting statutory requirements.	
	Periodic review rolling 25 year plan for schools asset renewal.	<p><b>Health and Safety</b> – schemes are prioritised according to risk.</p> <p><b>Business Continuity and Reputation</b> - prioritisation of schools/schemes where failure to address could result in school closure.</p>	Ongoing action
	Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity.	<p><b>Financial Management</b> - Efficient use of school estate. Reduction in surplus capacity in line with WG requirements.</p> <p><b>Sustainability</b> – more efficient use of resources ensuring long term sustainability of schools</p>	Ongoing action
	<p>Provide a new school building for Oakfield Primary School</p> <p>Expand Ysgol Gwuan Y Nant to accommodate growing pupil numbers</p>	<p><b>Equalities</b> – a 21<sup>st</sup> century schools learning environment will be provided in a Communities First area ensuring that some of our more vulnerable pupils and the wider community are able to access excellent facilities.</p> <p><b>Sustainability</b> – the new</p>	<p>Completed. New School buildings for Oakfield opened in September 2015.</p> <p>The remodelling of Ysgol Gwuan Y Nant has been completed.</p>

		<p>Oakfield building will meet the BREEAM Excellent standard</p> <p><b>Equalities</b>-the number of welsh medium primary school places will be expanded to accommodate the forecast increase in demand in the Barry area.</p> <p><b>Financial Management</b>-meet WG requirements and reduce the risk that grant funding will be withheld due to non-compliance</p>	
	Provide a new 210 place school building for Ysgol Dewi Sant in Llantwit	<p><b>Equalities</b>-the number of welsh medium primary school places will be expanded to accommodate the forecast increase in demand in the Barry area.</p> <p><b>Financial Management</b>-meet WG requirements and reduce the risk that grant funding will be withheld due to non-compliance</p> <p><b>Sustainability</b> – the new Dewi Sant building will meet the BREEAM Excellent standard</p>	Completed. New School buildings for Ysgol Dewi Sant opened in September 2015.
	<p>Amalgamate Eagleswell and Llanilltud Fawr Schools</p> <p>Amalgamate Nant Talwg and Bro Morgannwg Schools</p>	<p><b>Financial Management</b> - Efficient use of schools estate.</p> <p><b>Sustainability</b> – more efficient use of resources ensuring long term sustainability of schools</p>	<p>Eagleswell and Llanilltud Fawr schools were amalgamated in September 2015.</p> <p>Bro Morgannwg and and Ysgol Gymraeg Nant Talwg amalagated in September 2015.</p>
<b>Countermeasure(s) to improve/mitigate the risk</b>			

Risk Action ref	Description	Risk Managed (by theme)	Responsibility	Timescales for completion	Source document
	LA/A197 (CP/LS2) Develop and Consult on a School Reorganisation programme and revised School Investment Programme	<p><b>Business continuity-</b> Addressing school buildings which are in a poor condition (e.g. Llantwit Major Comp) will reduce the risk of school closure during term time.</p> <p><b>Health and Safety-</b> Health and Safety concerns will be addressed at schools included in the Investment Programme.</p> <p><b>Sustainability -All</b> schemes in the programme which are part funded by WG grant will meet BREEAM Excellent.</p> <p>Community benefits must be demonstrated/maximised for all schemes.</p> <p><b>Equalities-</b>Ensuring that the right number and type of school places are provided in the right location.</p> <p><b>Financial Management-</b> Revised funding strategy to take</p>	Head of Strategy, Community Learning and Resources (Paula Ham)	March 2016	Learning and Skills Service Plan 2015/19 Corporate Plan 2013 – 17 Corporate Priority LS2

		<p>account of changes to available funding streams.</p> <p>Improved use of resources through removal of surplus places.</p> <p>Improved readiness to respond to WG requirements for grant funding in Band B of 21<sup>st</sup> Century Schools.</p>			
	Support the Catholic Diocese to amalgamate two schools in Barry	<p><b>Financial Management</b> - Efficient use of schools estate.</p> <p><b>Sustainability</b> – more efficient use of resources ensuring long term sustainability of schools</p>	Head of Strategy, Community Learning and Resources (Paula Ham)Ham	<p>September 2015</p> <p>With our support the Diocese have produced a draft consultation document to amalgamate St Helen's Infants and St Helen's Junior Schools.</p>	Links to Learning and Skills Service Plan 2015 – 19 LS/A197 (CP/LS2)
	Consult on proposals to transform secondary schools in Barry:	<p><b>Financial Management</b> - Efficient use of schools estate. Proposals represent value for money. Backlog maintenance costs reduced.</p> <p><b>Health and Safety</b> - Condition issues at all buildings included in the proposal will be addressed thereby</p>	Head of Strategy, Community Learning and Resources (Paula Ham)	<p>Dec 2015</p> <p>Cabinet agreed on the 5<sup>th</sup> October 2015 not to proceed with the proposal to amalgamate Barry and Bryn Hafren Schools. It has been agree that a</p>	Links to Learning and Skills Service Plan 2015 – 19 LS/A197 (CP/LS2)

		<p>reducing health and safety related risks.</p> <p><b>Business continuity</b> –</p> <p>Investment in the school buildings will reduce the risk of school closure due to building failure.</p> <p><b>Sustainability</b> – more efficient use of resources supports the long term sustainability of schools. New buildings will meet BREEAM excellent standard. Investment in the learning environments of the schools has the potential to raise standards and this contributes to the economic prosperity of the area.</p> <p><b>Equalities</b> – parity of learning environments between the schools promotes equality of access to high quality facilities.</p> <p>The expansion of Welsh Medium secondary school places will ensure that there will be sufficient places to</p>		<p>new Transforming Barry Secondary Schools Board will be established to look at options to create mixed sex secondary school provision in Barry and expand Welsh medium secondary school provision.</p>	
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		accommodate demand and to meet statutory requirements.			
	Consult on proposals to establish a new primary school in Rhoose	<b>Sustainability and Equality</b> – provides sufficient school places to meet forecast demand in the area.	Head of Strategy, Community Learning and Resources (Paula Ham)	March 2016	Links to Learning and Skills Service Plan 2015 – 19 LS/A197 (CP/LS2)
	Consult on proposals to establish a nursery at Wenvoe Primary School	<b>Sustainability and Equality</b> – provides sufficient nursery school places to meet forecast demand in the area ensuring sustainable provision.	Head of Strategy, Community Learning and Resources (Paula Ham)	March 2016 Consultation has commenced on a proposal to establish a nursery at Wenvoe Primary School.	Links to Learning and Skills Service Plan 2015 – 19 LS/A197 (CP/LS2)
	Survey Victorian Schools to assess the risk of falling masonry and ceilings and undertake programme of work to address survey findings.	<b>Health and Safety</b> – Building conditions will be improved and risk of injury due to falling ceilings or masonry reduced.  <b>Financial Management-</b> Addressing issues as part of a single programme will improve value for money and will reduce the risk of escalating costs  <b>Business Continuity –</b>	Operational Manager, Property (Jane Wade)	March 2016	Learning and Skills Team Plan

		Reduced risk of school closing as a result of health and safety risks.			
	RS/A106: (CP/LS1) Delivery of School investment programme projects for Oakfield Primary School, Ysgol Dewi Sant, Ysgol Gwaun Nant and Phase 2 of the Penarth Learning Community (PLC)	<p><b>Business continuity-</b> Addressing school buildings which are in a poor condition (e.g. Llantwit Major Comp) will reduce the risk of school closure during term time.</p> <p><b>Health and Safety-</b> Health and Safety concerns will be addressed at schools included in the Investment Programme.</p> <p><b>Sustainability -All</b> schemes in the programme which are part funded by WG grant will meet BREEAM Excellent.</p> <p>Community benefits must be demonstrated/maximised for all schemes.</p> <p><b>Equalities-</b>Ensuring that the right number and type of school places are provided in the right location.</p> <p><b>Financial Management-</b> Revised funding</p>	Operational Manager (Jane Wade)	March 2016	Learning and Skills Service Plan 2015/19

		<p>strategy to take account of changes to available funding streams.</p> <p>Improved use of resources through removal of surplus places.</p> <p>Improved readiness to respond to WG requirements for grant funding in Band B of 21<sup>st</sup> Century Schools.</p>			
RS/A1 07 (CP/LS 1)	Progress the first phase of the Llantwit Learning Community through obtaining planning consent and initiate work on site.	<p><b>Business continuity-</b> Addressing school buildings which are in a poor condition (e.g. Llantwit Major Comp) will reduce the risk of school closure during term time.</p> <p><b>Health and Safety-</b> Health and Safety concerns will be addressed at schools included in the Investment Programme.</p> <p><b>Sustainability -</b>All schemes in the programme which are part funded by WG grant will meet BREEAM Excellent.</p> <p>Community benefits must be demonstrated/maximised for all schemes.</p> <p><b>Equalities-</b>Ensuring</p>	Operational Manager (Jane Wade)	March 2016  Planning permission for Llantwit Learning Community has been granted and work has commenced on site. There have been issues with contract costs for the scheme resulting in an additional funding requirement of £650K.	Resources Service Plan 2015/19

		<p>that the right number and type of school places are provided in the right location.</p> <p><b>Financial Management-</b> Revised funding strategy to take account of changes to available funding streams.</p> <p>Improved use of resources through removal of surplus places.</p> <p>Improved readiness to respond to WG requirements for grant funding in Band B of 21<sup>st</sup> Century Schools.</p>			
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**Status Report (For Corporate Risk Management Group use only)**

Date	Commentary
16/09/2013	<ul style="list-style-type: none"> <li>• Details of specific risks by theme included.</li> <li>• Current Controls and Countermeasures updated and linked to risk themes.</li> </ul>
12/07/13	<p>Risk Audit Report – changes made to template since last update:</p> <ul style="list-style-type: none"> <li>• New rows added under selected themes for details of specific risks to be added</li> </ul> <p>New column added under both controls and countermeasures to detail the risk managed, by theme.</p>
28/10/2014	<p>Risk status has remained static- Amended direction of travel to remain static.</p> <p>New current controls added:</p> <ul style="list-style-type: none"> <li>• Victorian Schools have been surveyed to assess the risk of falling masonry and ceilings.</li> <li>• Outline Business Case has been approved for additional funding from Welsh Government</li> </ul> <p>New counter measures added</p> <ul style="list-style-type: none"> <li>• Submit full business case for Lantwit Learning Community.</li> </ul>

	<ul style="list-style-type: none"> <li>Implement phase 2 of the Penarth Learning Community</li> </ul> <p>Implement a programme of works to address building conditions in the Victorian Schools.</p>
29/05/15	<p>Updated the risk theme of sustainability to include emerging risk associated with S106 funding is insufficient to provide additional school places.</p> <p>Current controls have been updated as full business case for Llantwit Major has now been approved by Welsh Government.</p> <p>Additional Counter Measures have been added for relevant actions in the 2015-19 Service Plans for Learning and Skills and Resources.</p>
06/10/15	<ul style="list-style-type: none"> <li>New school buildings for Ysgol Dewi Sant and Oakfield opened in September</li> <li>The remodelling of Ysgol Gwuan y Nant has been completed</li> <li>Eagleswell and Llanilltud Fawr Schools amalgamated in September</li> <li>Bro Morgannwg and Ysgol Gymraeg Nant Talwg amalgamated in September</li> <li>With our support, the Catholic Diocese has produced a draft consultation document to amalgamate St Helen's Infants and St Helen's Junior Schools</li> <li>Cabinet agreed on Monday not to proceed with the proposal to amalgamate Barry and Bryn Hafren schools to create one single sex comprehensive school and the expansion of Bro Morgannwg on the Bryn Hafren site. It has been agreed that a new Transforming Barry secondary schools board will be established to look again at options to create mixed sex secondary school provision in Barry and to expand Welsh medium secondary school provision. This could be considered a risk as there remains a need to make accelerated and sustained progress at both Barry and Bryn Hafren Comprehensive Schools</li> <li>Consultation has commenced on a proposal to establish a nursery at Wenvoe Primary School.</li> <li>Planning permission for Llantwit Learning Community has been granted and work has commenced on site. There have been issues with contract costs for the scheme resulting in an additional funding requirement of £650K</li> <li>A number of emergency asset renewal requirements have recently emerged such as replacement of the roof of a building at Colcot Primary School requiring additional funding of £75k and a number of smaller emergency schemes amounting to £65k which will be funded from the Asset Renewal Contingency fund. It is very early in the year to be having to utilise this fund which is £100k in total. This confirms that lack of funding to address maintenance of school buildings continues to be a significant risk.</li> </ul> <p>The counter measures relating to Ysgol Dewi Sant, Oakfield, Ysgol Gwuan y Nant, Eagleswell, Llanilltud Fawr, Bro Morgannwg and Ysgo Gymraeg Nant Talwg Schools have been marked as completed in the Risk Register and moved into Current Controls.</p>

## Risk 4: Housing Improvement Programme

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Risk Description	Failure to meet Welsh Housing Quality Standards (WHQS)
<p><b>Overview:</b></p> <p>The Council commenced its Housing Improvement Programme to meet the WHQS on the 3<sup>rd</sup> of September 2012 and has agreed with the Welsh Government that compliance will be achieved by April 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. A significant amount of resources have been put in place to achieve the WHQS, these include a Framework Manager, Housing Quantity Surveyor, Housing Improvement Supervisors and Tenant Liaison Officers (in addition to staff already employed in Property and Building Services)</p> <p>To achieve the WHQS, the Council has a total prudential borrowing requirement of £33m. In total, £82m will be spent during the improvement programme. Additional funding is available to consider environmental improvements that tenants would like to see within their own communities (£1m in 2014/15 and another £1m in 2015/16). There is no funding for the regeneration of communities (new build etc.) however the Vale’s officers continue to work with partners to identify and bid for external funding for schemes of this nature.</p> <p>The Head of Housing and Building Services reports operational performance to Cabinet and Housing and Public Protection Scrutiny Committee on a regular basis to ensure transparency in performance management activities. A monthly Housing Improvement Programme meeting is held with officers from Property Services (the framework’s managing agent) reporting to the Housing client on operational issues including specification, tenants comfort and site management issues.</p> <p>There are a number of “Hard to Treat” properties across the Vale that require over and above the normal refurbishment requirements (and additional expenditure). These are being considered by a “Hard to Treat” Working Group. A number of the homes identified as ‘hard to treat’ have had surveys carried out and have been included in the investment plan</p> <p>Key to measuring the levels of WHQS compliance is having a fit for purpose asset management information collection portal. Officers from Housing ad Building Services have invested in the Keystone asset management package to collate investment and compliance information.</p> <p>Officers from Property Services consider operational performance with contractors on a monthly basis, using performance management information including satisfaction data and</p>	

complaints information to identify key themes and consider mitigation measures

Performance management information currently shows an on-going improvement in performance in terms of customer satisfaction and delivery times. The spending profile is on target. Additional works are being uncovered when works commence however the standard stock condition rates are being exceeded which brings the spending profile back into balance.

<b>Risk Owner</b>	Director of Visible Services and Housing (MP)
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<b>Risk themes</b>
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	Mark one or more themes with an X
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Business Continuity	
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Collaboration	
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<b>Sustainability (including Social Inclusion)</b>	<b>X</b>
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- Not improving the Council's housing stock to create modern, energy efficient homes for the Vale's tenants
- Not having a strategic approach to the asset management of the Council's housing management stock

Health and Safety	<b>X</b>
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Poor health and safety practices both internally and externally by contractors could impact on the council financially i.e. fines, reputation and in terms of any litigation.	
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Workforce Planning	
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Sickness Absence	
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Equalities	
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Information Management (including E-Government)	
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<b>Project Management</b>	<b>X</b>
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- Not delivering improvements in line with the agreed timescales of 2017

<b>Financial Management</b>	<b>X</b>
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- Not maintaining the investment programme within business planning thresholds
- Retendering of works- risk of rates exceeding the original business plan projections.

<b>Communication</b>	<b>X</b>
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- Not effectively communicating with customer to ensure a tenant focused process

<b>Reputation</b>	<b>X</b>
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- Reputational damage relating to the poor performance
- Reputational damage as a result of the leaseholder having to contribute to improvement works.

### Risk Scoring

Impact (1=Low 4=Catastrophic)	Likelihood (1=Unlikely 4=Almost Certain)	Total Risk Score	Priority Level (use the risk matrix)	Direction of travel	Forecast direction of travel
3	2	6	Medium	↔	↔

### Current Controls to manage risk

Risk Ref.	Description	Risk Managed (by theme)	Source document/ Status
PH/R1	Housing Investment Plan. Project Management approach. Restructure of service. Appointment of additional staff. Rent review. Stock condition report and surplus land review. Asset Management Strategy. Appointment of contractors	<p><b>Sustainability-</b>To ensure that work is completed to the highest quality standards so that housing stock remains sustainable over time.</p> <p><b>Project management-</b> Ensuring that work is completed to highest quality standards within the statutory timescales.</p> <p><b>Financial management-</b> of the WHQS improvement programme</p> <p><b>Reputational risk-</b>Control measure for managing the reputational risk with the customer</p>	Completed Action: Housing Service Plan 2013/14
PH/R2	Savills database on stock condition. Ongoing stock condition surveys	<p><b>Financial management-</b> of the WHQS improvement programme</p> <p><b>Sustainability-</b>To ensure that work is completed to the highest quality standards so that housing stock remains sustainable over time.</p>	Completed Action: Housing Service Plan 2013/14

	Project governance structure in place (Housing Improvement Group, the Quality and Design Forum, the Hard to Treat Working Group, regular reports to Housing and Public Protection Scrutiny Committee and Cabinet	<b>Reputational risk</b> associated with poor performance and poor tenant satisfaction	Ongoing action
	Asset management database, Keystone, in place to map investment levels/ compliance on a property by property basis	<b>Sustainability risk</b> to ensure the right investment decisions are made	Ongoing action
	Robust approach to performance management in place	<p><b>Financial management-</b> of the WHQS improvement programme</p> <p><b>Project management-</b> Ensuring that work is completed to highest quality standards within the statutory timescales.</p> <p><b>Reputational risk</b> associated with poor performance and poor tenant satisfaction</p>	Ongoing action
	Five contractors in place (including Building Services) Risk of poor performance is spread due to the use of five contractors. 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><b>Financial management-</b> of the WHQS improvement programme</p> <p><b>Project management-</b> Ensuring that work is completed to highest quality standards within the statutory timescales.</p> <p><b>Reputational risk</b> associated with poor performance and poor tenant satisfaction</p>	Ongoing action
	Annual report submitted to Welsh Government on progress with Housing Improvement Programme	<p><b>Reputational risk</b> associated with poor performance</p> <p><b>Financial risk</b> in terms of 'outcome funding' regime</p>	Ongoing action- annually submitted to Welsh

				Government
	<p>Effective methods of communicating with tenants throughout the WHQS Improvement process including:</p> <p>1. Satisfaction surveys for every household undergoing WHQS work.</p> <p>2. Tenant Liaison Officers on hand to deal with tenant comfort issues</p> <p>Quality Design Forum set up with engaged tenants to monitor the performance of all contractors working on the framework</p> <p>4. Needs assessments completed with tenants to align the contractors service delivery mechanisms with tenants needs</p>	<b>Reputational risk</b> -Control measure for managing the reputational risk with the customer		Ongoing action
<b>Countermeasure(s) to improve/mitigate the risk</b>				
<b>Description</b>	<b>Risk Managed (by theme)</b>	<b>Responsibility</b>	<b>Timescales for completion</b>	<b>Source document</b>
HS/A112: Deliver the operational actions of the Tenant and Leaseholder Engagement Strategy and associated operational plan to ensure service direction is well informed and directed by tenants and leaseholders.	<b>Reputational risk</b> associated with poor performance and poor tenant satisfaction	Head of Housing and Building Services (Hayley Selway)	March 2016	Housing and Building Services Service Plan 2015/19
HS/A114 Deliver a structured approach to improving and monitoring our inspections.	<b>Reputational risk</b> associated with poor performance and poor tenant satisfaction	Head of Housing and Building Services (Hayley Selway)  Operational Manager	March 2016	Housing and Building Services Service Plan 2015/19

		Property (Jane Wade)		
<p>HS/A115</p> <p>Implementation of Housing Business Plan (associated with the HRAS exit) in place which is updated annually and monitored regularly</p> <p>The plan provides financial planning information (set within the available budget) It allows for spend profiling against actual spend to allow early intervention if spend exceeds budget.</p>	<p><b>Financial management-</b> of the WHQS improvement programme</p>	<p>Head of Housing and Building Services (Hayley Selway)</p> <p>Operational Manager Property (Jane Wade)</p>	<p>March 2016</p>	<p>Business Plan. Quarterly capital expenditure reports</p> <p>Housing and Building Services Service Plan 2015/19</p>
<p>HS/A116</p> <p>Implement an action plan to improve the procurement processes for engaging sub-contractors and obtaining quotes.</p>	<p><b>Financial management-</b> of the WHQS improvement programme</p>	<p>Head of Housing and Building Services (Hayley Selway)</p> <p>Operational Manager Property (Jane Wade)</p>	<p>March 2016</p>	<p>Housing and Building Services Service Plan 2015/19</p>
<p>HS/A074</p> <p>Review service charges and approach to leaseholder management-including the introduction of Section 20 processes in relation to external</p>	<p><b>Reputational risk</b> associated with poor performance and poor tenant satisfaction</p>	<p>Head of Housing and Building Services (Haley Selway)</p>	<p>March 2016</p>	<p>Housing and Building Services Service Plan 2015/19</p>

repairs.				
HS/A078 (CP/H7): Deliver the Council House Improvement Programme to bring the housing stock to a modern internal standard and good structural condition and achieve the WHQS.	<b>Reputational risk</b> associated with poor performance and poor tenant satisfaction  <b>Financial management-</b> of the WHQS improvement programme	Head of Housing and Building Services (Hayley Selway)  Operational Manager Property (Jane Wade)  WHQS Manager (Simon Davies)	By April 2017	Housing and Building Services Service Plan 2015/19
Implement new loan system and on site consultation/communication with leaseholders prior to any external works	<b>Reputational risk-</b> Control measure for managing the reputational risk with the customer	Head of Housing and Building Services (Hayley Selway)  Operational Manager Property (Jane Wade)  WHQS Manager (Simon Davies)	March 2016	Team Plan
Implement mechanisms for the return and monitoring health and safety files supplied by contractors to ensure that these files are uploaded to	<b>Health and Safety-</b> Poor health and safety practices both internally and externally by contractors could impact on the council financially i.e. fines, reputation	Operational Manager Property (Jane Wade)  WHQS Manager (Simon	End October 2015	Team Plan

Keystone.	and in terms of any litigation.	Davies)		
<b>Status Report (For Corporate Risk Management Group use only)</b>				
<b>Date</b>	<b>Commentary</b>			
10/09/13	<p>Risk Audit Report – changes made to template since last update:</p> <ul style="list-style-type: none"> <li>• Extended introductory section to update current position</li> <li>• Added communication and reputation as risk themes</li> <li>• Expanded upon how each control and counter measure relates to each of the risk themes.</li> <li>• Removed countermeasures: additional staff resources; regular meetings of working groups.</li> <li>• Added countermeasure: Asset management database</li> </ul>			
12/07/13	<p>Risk Audit Report – changes made to template since last update:</p> <ul style="list-style-type: none"> <li>• New rows added under selected themes for details of specific risks to be added</li> <li>• New column added under both controls and countermeasures to detail the risk managed, by theme.</li> </ul>			
28/10/14	<p>Risk score has remained static.</p> <p>Updated the risk themes to reflect emerging risks associated with the retendering of the contractual work and impact on budgets (Financial Management) and the reputational risk to the leaseholder in terms of making a contribution toward the works (Reputational risk).</p> <p>Added new counter measure on implementing a loan scheme and putting in place effective communication and consultation mechanisms with leaseholders.</p>			
17/03/15	<p>Risk score has remained static.</p> <p>A new current control was also added regarding putting in place appropriate mechanisms to ensure contractors provide health and safety files in a timely way and that information is uploaded to Keystone.</p>			
29/05/15	<p>Risk score has remained static.</p> <p>Updated counter measures section to include link to actions in the 2015/19 Service Plan.</p>			

## Risk 5: Waste

<b>Risk Description</b>	<b>Failure to meet the national waste agenda and targets.</b>
This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive and the Statutory Target for Recycling with Welsh Government's 'Towards Zero Waste' Waste Strategy with particular reference to national statutory landfill reduction/ diversionary targets, thereby limiting the likelihood of the Council incurring significant fines.	
<b>Risk Owner</b>	Director of Visible and Housing Services (MP)
<b>Risk themes</b>	
	Mark one or more themes with an X
<b>Business Continuity</b>	<b>X</b>
<ul style="list-style-type: none"> <li>Those contracts are not delivered in accordance to specification and required outcomes.</li> </ul>	
<b>Collaboration</b>	<b>X</b>
<ul style="list-style-type: none"> <li>That the collaborations in which the Vale is involved fail to deliver contract agreements.</li> </ul>	
<b>Sustainability (including Social Inclusion)</b>	<b>X</b>
<ul style="list-style-type: none"> <li>That we fail to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including:               <ol style="list-style-type: none"> <li>climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales);</li> <li>pollution of the local environment (e.g. contamination of groundwater; soil contamination).</li> </ol> </li> </ul>	
Health and Safety	
<b>Workforce Planning</b>	<b>X</b>
<ul style="list-style-type: none"> <li>That the workforce is not streamlined in a way that optimizes productivity.</li> <li>That budget cuts and staff shortages may affect our ability to perform against waste reduction targets.</li> </ul>	
Sickness Absence	

Equalities					
Information Management (including E-Government)					
<b>Project Management</b>		<b>X</b>			
<ul style="list-style-type: none"> <li>That workload pressures and limited resources may affect our ability to monitor contracts to ensure they are completed to specification.</li> </ul>					
<b>Financial Management</b>		<b>X</b>			
<ul style="list-style-type: none"> <li>That the Vale incurs fines as a result of failing to meet statutory waste reduction targets.</li> <li>That national Welsh Government grants are withdrawn as a result of failing to meet statutory waste reduction targets.</li> <li>That budget pressures will hinder our ability to meet to statutory waste reduction targets.</li> </ul>					
<b>Communication</b>		<b>X</b>			
<ul style="list-style-type: none"> <li>That limited resources may affect our ability to communication the need to for all householders to recycling and compost;</li> <li>The hard to reach /convince sections of our community continue to fail to use Council recycling/composting services;</li> <li>The possible need to change collection methodology is not communicated fully and that householders stop using the Council recycling/composting services</li> </ul>					
Reputation					
Customer Relations					
<b>Risk Scoring</b>					
<b>Impact (1=Low 4=Catastrophic)</b>	<b>Likelihood (1=Unlikely 4=Almost Certain)</b>	<b>Total Risk Score</b>	<b>Priority Level (use the risk matrix)</b>	<b>Direction of travel</b>	<b>Forecast direction of travel</b>
3	2	4	Medium		
<b>Current Controls to manage risk</b>					
<b>Risk Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>		<b>Source document /Status</b>	
WST/CC01	Partnership established to progress the regional waste solution. Project Gwyrdd terms of reference has been agreed and project management expertise procured. The Council is no longer meeting policy agreement recycling targets.	Project Management - Regional waste solution being project managed in collaboration with Caerphilly, Cardiff, Monmouthshire and Newport Councils  Financial Management –		Completed Action Visible Services SP 2013/14	

	<p>Increased waste awareness initiatives.</p> <p><i>Procurement completed with formal contract signed on the 9<sup>th</sup> December 2013 and contract commencement date 1<sup>st</sup> April 2016.</i></p>	<p>Efficiencies secured through working in partnership. Partnership works towards meeting waste reduction and recycling targets in order to prevent fines for non-compliance.</p> <p>Business Continuity – Procurement of waste treatment facility and management of the contract to be undertaken in collaboration.</p> <p>Collaboration – the Council is taking an active role in the partnership to ensure outcomes are delivered.</p> <p>Sustainability – by working together to meet recycling and waste reduction targets, the likelihood of potential negative environmental impacts occurring is reduced.</p>	
WST/CC02	<p>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</p>	<p><b>Business Continuity</b> – <i>Quarterly</i> verifiable performance data that can be compared across Wales is monitored quarterly to inform business management.</p> <p><b>Financial Management</b> – Performance against statutory targets is regularly monitored to ensure compliance and decrease the likelihood of incurring fines.</p> <p><b>Sustainability</b> - Performance against statutory targets is regularly monitored to ensure that it is being reduced and recycling increased, thus improving the environmental outlook.</p>	Ongoing action
WST/CC03	<p>Waste resource park completed 31/08/11 on the Atlantic Trading</p>	<p><b>Financial Management</b> – Park designed to increase recycling</p>	Completed Action

	Estate, Barry.	and aid us in meeting our recycling targets, decreasing the risk of incurring penalties.  Sustainability – Park provides recycling facilities which is a sustainable waste management practice.	Visible Services SP 2011/12
WST/CC04	Kitchen waste collection arrangements rolled out to further areas of the Vale during 2010/11.	<b>Financial Management</b> – Kitchen waste collections increase materials recycled and aid us in meeting our recycling targets, decreasing the risk of incurring penalties.  <b>Sustainability</b> – Increase in materials able to be recycled which is a sustainable waste management practice.  <b>Business continuity</b> – Improvement in the services provided to our customers.	Completed action Visible Services SP 2010/11
WST/CC05	We actively participated in project Gwyrdd (procurement stage of residual waste treatment facilities for residual waste facilities) during 2011-13. A contract was signed with Viridor 9 December 2013. The aim of the project is to provide 5-8% additional recycling to overall recycling rate post 2016.	<b>Collaboration</b> – Taking an active role in the partnership increases the likelihood of our interests being represented and outcomes being achieved.  <b>Financial Management</b> – Working in collaboration to achieve bigger reductions in landfill waste and increases in recycling rates, which manages the risk of incurring financial penalties.  <b>Sustainability</b> - Working in collaboration to achieve bigger reductions in landfill waste and increases in recycling rates, which limits damage to the environment.	Completed Action Visible Services SP 2013/14
WST/CC06	New Household Waste Recycling Centre contract with Biffa municipal	<b>Business Continuity</b> – Contracts are fit for purpose and deliver	Completed Action

	limited started in December 2013.	<p>performance results which can be effectively monitored, ensuring we <b>meet our statutory duties.</b></p> <p><b>Sustainability</b> – Contracts designed to improve recycling options in the Vale, having a positive impact in promoting sustainability in the community.</p>	Visible Services SP 2013/14
WST/CC07	Commercial Kitchen Food Waste collection Service rolled out to Commercial premises within the VoG.	<p><b>Business Continuity</b> – Providing services to commercial premises increases revenue and benefits overall service delivery.</p> <p><b>Sustainability</b> - Increase in compostable materials collected which is a sustainable waste management practice.</p> <p><b>Financial management</b> – Increase kitchen waste collections aid us in meeting our recycling targets, decreasing the risk of incurring penalties.</p>	Completed Action Visible Services SP 2013/14
WST/CC08	February 2013: Extended the period of scheduled fortnightly green garden waste collections to increase capture of organic waste.	<p><b>Business Continuity</b> – Improved services provided for customers.</p> <p><b>Sustainability</b> – More organic waste collected and composted sustainably, decreasing the amount of waste sent to landfill.</p> <p><b>Financial management</b> – Increasing the level of garden waste collected helps us meet our recycling targets, decreasing the risk of incurring penalties.</p>	Completed Action Visible Services SP 2013/14
WST/CM08	Procure joint recycling and (food and green waste) composting reprocessing contracts in partnership with:  Caerphilly CBC;  Cardiff City Council.	<p><b>Business Continuity</b> – Procuring these contracts will ensure that we are able to continue to deal with green and food waste sustainably.</p> <p><b>Sustainability</b> – Contracts will supply a sustainable method of dealing with green and food</p>	Completed Action Visible Services SP 2013/14

	respectively for periods 2013 to 2016 and 2016 to 2030.	waste.	
WST/ CM02	Review existing recycling collection methodology within the WG's Collective Collaboration Programme to provide most sustainable in cost value and environment terms.	<p><b>Financial Management</b> – Helps us to work cost effectively and choose financially viable recycling solutions.</p> <p><b>Sustainability</b> – Implementing sustainable business practices in order to increase recycling rates and limit environmental damage.</p>	Completed Action Visible Services SP 2014/15
WST/ CM04	Review residual waste, recycling, composting and kitchen food collection vehicle route analysis and collection round changes to increase efficiency and achieve further efficiency savings including Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery.	<p><b>Financial Management</b> – Making cost efficiencies within the service improves likelihood of providing the service within budget.</p> <p><b>Sustainability</b> – Reducing emissions from vehicle fleet reduces climate change implications.</p> <p><b>Business Continuity</b> – Working efficiencies improve productivity and communications improvements assist with day-to-day business management.</p> <p><b>Workforce Planning</b> – Ensuring workforce is streamlined and use of resources is optimised.</p>	Completed Action Visible Services SP 2014/15
WST/ CM09	Increase staffing levels in the Business Support Team and recruit a Business Support Manager.	<p><b>Business Continuity</b> – increasing staff resources will ensure that our contracts are effectively monitored to ensure they deliver in accordance with specification.</p> <p><b>Workforce Planning</b> – Increasing staff levels counteracts the effects of staff shortages.</p> <p><b>Project Management</b> – adequate resources in place to improve contract and performance management, ensuring we</p>	Completed Action Visible Services SP 2014/15

		continue to improve.	
WST/ CM10  (new)  April 14	Procure in partnership with Prosiect Gwyrdd Partnering Council an interim residual waste treatment contract from Oct 2014 to Sept 2015	<p><b>Collaboration</b> – Taking an active role in the partnership increases the likelihood of VOG interests being represented and outcomes being achieved.</p> <p><b>Financial Management</b> – Working in collaboration to achieve bigger reductions in landfill waste which manages the risk of incurring financial penalties.</p> <p><b>Sustainability</b> - Working in collaboration to achieve bigger reductions in landfill waste, which limits damage to the environment.</p>	Completed Action Visible Services SP 2014/15

**Countermeasure(s) to improve/mitigate the risk**

<b>Risk Action Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>	<b>Responsibility</b>	<b>Timescales for completion</b>	<b>Source document</b>
VS/A 088 (CP/ E1) (POS )	Implement the WG's preferred method for recycling collection.	<p><b>Financial Management</b> – Helps us to work cost effectively and choose financially viable recycling solutions.</p> <p><b>Sustainability</b> – Implementing sustainable business practices in order to increase recycling rates and limit environmental damage.</p>	Operational Manager, Waste Management (Clifford Parish)	Agreement with Welsh Government for their Consultant Waste Resource & Action Programme (WRAP) to commence a full service review in February 2015.	Visible Services Service Plan 2015/19
VS/A 058	Work with key partners to commence the residual waste	<b>Financial Management</b> – Making cost efficiencies within	Operational Manager, Waste Management	March 2016	Visible Services Service Plan

	and collection treatment and disposal services.	<p>the service improves likelihood of providing the service within budget.</p> <p><b>Sustainability –</b> Reducing emissions from vehicle fleet reduces climate change implications.</p> <p><b>Business Continuity –</b> Working efficiencies improve productivity and communications improvements assist with day-to-day business management.</p> <p><b>Workforce Planning –</b> Ensuring workforce is streamlined and use of resources is optimised.</p>	(Clifford Parish)		2015/19
VS/A 063	Review collection arrangement for commercial residual waste and recycling.	<p><b>Financial Management –</b> Making cost efficiencies within the service improves likelihood of providing the service within budget.</p> <p><b>Sustainability –</b> Reducing emissions from vehicle fleet reduces climate change implications.</p> <p><b>Business</b></p>	Operational Manager, Waste Management (Clifford Parish)	March 2016	Visible Services Service Plan 2015/19

		<p><b>Continuity</b> – Working efficiencies improve productivity and communications improvements assist with day-to-day business management.</p> <p><b>Workforce Planning</b> – Ensuring workforce is streamlined and use of resources is optimised.</p>			
VS/A 067 (OA5 ) (CP/E1)	Progress the Cardiff organic waste treatment project.	<p><b>Financial Management</b> – Working in collaboration to maintain existing collection methodology reducing cost and manages the risk of incurring financial penalties.</p> <p><b>Sustainability</b> - Working in collaboration to achieve bigger reductions in landfill waste which limits damage to the environment.</p>	Operational Manager, Waste Management (Clifford Parish)	March 2016	Visible Services Service Plan 2015/19
WST/CM07 (New )	Householder Recycling initiatives to increase participation in kerbside collection service and Implement an action plan for	<p><b>Financial management</b> – Identifying low performance areas and increasing their recycling rates helps us to continue to improve levels of recycling and meet</p>	Operational Manager, Waste Management (Clifford Parish)	Possible 1 year contract extension from 01/04/15	

	<p>increasing recycling participation/capture in presently low recycling performance areas of the Vale of Glamorgan.</p>	<p>our targets, limiting the chances of incurring financial penalties.</p> <p><b>Sustainability –</b> Working with the community to increase awareness of the ease and importance of recycling helps to improve amount of recycling collected in the Vale and enforces sustainable practices within the community.</p>			
<p>VS/A 089  (CP/ E1)</p>	<p>Explore options with Bridgend Council for the procurement of recycling and collection and other waste management services.</p>	<p><b>Financial Management –</b> Working in collaboration to maintain existing collection methodology reducing cost and increases in recycling rates, which manages the risk of incurring financial penalties.</p> <p><b>Sustainability -</b> Working in collaboration to achieve bigger reductions in landfill waste and increases in recycling rates, which limits damage to the environment.</p>	<p>Operational Manager, Waste Management (Clifford Parish)</p>	<p>March 2016</p>	<p>Visible Services Service Plan 2015/19</p>

WST/ CM1 1	Work in partnership with all existing Welsh Co-mingled recycling collection services to convince WG that recycling collected co-mingled can provide high quality recycle that meet TEEP and all other legislative drivers for future environmental policies	<p><b>Collaboration</b> – Taking an active role in partnership with similar service local authorities will increase the likelihood of VOG interests being represented and outcomes being achieved.</p> <p><b>Financial Management</b> – Working in collaboration to maintain existing collection methodology reducing cost and increases in recycling rates, which manages the risk of incurring financial penalties.</p> <p><b>Sustainability</b> - Working in collaboration to achieve bigger reductions in landfill waste and increases in recycling rates, which limits damage to the environment.</p>	Operational Manager, Waste Management (Clifford Parish)	?	Visible Services SP 2014/15-carried forward
VS/A 087 (CP/ E1 (POS )	Work with various charitable and community groups across the vale in order to encourage new waste reuse schemes.	<p><b>Financial Management</b> – Working in collaboration to maintain existing collection methodology reducing cost and increases in recycling rates,</p>	Operational Manager, Waste Management (Clifford Parish)	March 2016	Visible Services Service Plan 2015/19

		<p>which manages the risk of incurring financial penalties.</p> <p><b>Sustainability</b> - Working in collaboration to achieve bigger reductions in landfill waste and increases in recycling rates, which limits damage to the environment.</p>			
VS/A 086	Commence a treatment programme for road sweepings to separate composting and other recyclable elements.	<p><b>Financial Management</b> – Working in collaboration to maintain existing collection methodology reducing cost and increases in recycling rates, which manages the risk of incurring financial penalties.</p> <p><b>Sustainability</b> - Working in collaboration to achieve bigger reductions in landfill waste and increases in recycling rates, which limits damage to the environment.</p>	Operational Manager, Waste Management (Clifford Parish)	March 2016	Visible Services Service Plan 2015/19

**Status Report (For Corporate Risk Management Group use only)**

Date	Commentary
15/04/14	The Prosiect Gwyrdd Procurement is now complete with The Lead Prosiect Gwyrdd Authority, Cardiff, entering into a 25 year contract with Viridor on the 9 <sup>th</sup> December 2013 with a commencement date of 1 April 2016 and with plant commissioning <i>waste deliveries commenced under a separate interim contact during October 2015. Completion of this stage has reduced if not</i>

*eliminated the risk that the council will not meet its future Landfill Allowance targets.*

From April 2016 the additional recycling (5-8%) contribution of bottom ash (IBA) into construction materials will reduce the risk of not meeting the 2019/20 64% recycling target.

*Viridor are also actively seeking treatment options for recycling the other ashes produced as part of the combustion process and this could further increase the level of recycling obtained from this contract*

The joint project/procurement with the City and County of Cardiff Council for the treatment of municipal organic waste (kitchen food and green garden waste) with the food waste treatment being Anaerobic Digestion (AD) which is the preferred treatment option with the Welsh Government strategy 'Towards Zero Waste' has reached final bidder stage, thence further reducing the risk that our current 'in Vessel' treatment method will not qualify as recycling in the future.

Following completion of the WG JIMPY study 2011 the recommendations have been implemented, i.e. weekly co-mingled household kerbside recycling collections were implemented in September 2011, capture of recycling and compost increased and significantly reduced the risk of failure to meet the statutory Welsh Government Recycling Target (52% 2012/13). Indeed, *the Council's recycling rate for 2012/13 was 54% exceeded the WG Target. The 2015/16 target of 58% is considering the Council's current performance level is likely to be also met, taking into account the additional Prosiect Gwyrdd IBA recycling figure the 2019/20 64% Target. The 2024/25 70% target, however, remains to be a challenge one to achieve without significance increased participation and capture of recycling and green waste*

*The current risk to this continued recycling success is the implementation of Article 11 of the EU revised Waste Framework Directive (legal requirement to provide separated at kerbside rather than co-mingled collections within the Waste (England and Wales) (Amended) Regulations 2012 on the 1<sup>st</sup> January 2015 which requires the 'separate' collections of glass, paper, metals and plastics unless it can be demonstrated that other collection methods such as our existing co-mingled service can produce high quality recyclate without separating them prior to collections.*

*The 2012 Waste Regulations do not prohibit the use of all co-mingled collection of the four waste materials from 2015. They do however, establish that separate collection is the default position and set out the conditions where that default position can be deviated from and the two tests that must be satisfied to do so, are whether:*

(a) It is necessary to ensure the collection is carried out to facilitate or improve recovery of the materials; and

(b) It is technically, environmentally and economically practicable (TEEP)

This is to ensure that the collected recycling is of “high quality” to meet the quality standards of the relevant recycling sectors.

WG’s preferred option for recyclate is segregation. Through their ongoing Collaborative Change Programme (CCP) delivered by WRAP in partnership with WG/WLGA and Welsh LA’s, all Welsh Authorities will be expected to reappraise their existing Business Plans to meet all WG targets, including sustainability, by 2025.

The VOG have signed for the CCP program and have now agreed with WG that WRAP will carry out a service review prioritising the TEEP and necessity test within the overall review in February, 2015.

National Resources Wales (NRW) who is the Regularity Body for WG has stated publically that their enforcement priorities will initially focus on the commercial collection sector rather than municipal. It is therefore extremely unlikely that local authorities will be subject to any enforcement action for not carrying out their reviews pre-January 2015 and WG consider WRAP carrying out a service review in February 2015 appropriate and in compliance with their legal guidance on the 2012 Regulations.

*Should the Vale need to revert back to a separate source segregated collecting based on previous service provision this may increase the risk of meeting WG future recycling targets.*

In addition, the proposals contained within WG’s The Environment Bill – White Paper – Chapter 4: Resource efficiency have generated significant concerns for co-mingled Welsh local authorities and the WLGA, who disagree with the proposals and would like to see them removed when the Bill is developed.

*The proposals with the proposed draft Bill have raised serious concerns for the current procurement exercises for energy from waste plants (EfW) as the proposed total ban on recycling and organic wastes to EfW could place unachievable constraints on their waste recovery operations.*

As drafted, the proposals within the *proposed draft Bill* will have an impact on the operations of local authorities municipal waste collections placing a duty in them to ensure that no recyclable or compostable waste are collected for EfW treatment and local authorities are questioning whether the proposals are really necessary or deliverable at this time of austerity and whether WG will meet the additional cost burden within budget settlements.

2014/15 Efficiency savings and the year on year reduction in Welsh Government Specific Grant which pays for 98% of monies in the recycling and food waste collection service of VOG will also increase the risk of not achieving the targets and it is still critical to pay attention to changing WG policy regarding fines/levies and grant funding and the collection methodology for the duration of this risk on the Corporate Register the

	mitigation action as stated above have reduced the risk of likely-hood. However, the potential for having to move back to a source segregated collection or losing WG grant funding <i>or associated costs and possible</i> reduced capture would still represent a significant possible risk that could increase the risk and a 4 would be the minimum likelihood score at this time.
12/07/13	Risk Audit Report – changes made to template since last update: <ul style="list-style-type: none"> <li>• Removed referencing system as per the decision of the CRMG 09/07/13</li> <li>• Theme of communication added to the template</li> </ul>
21/06/13	Risk Audit Report – changes made to template since last update: <ul style="list-style-type: none"> <li>• Business Continuity identified as a theme</li> <li>• Specific risks relating to each theme identified</li> <li>• Countermeasures VS/A21 and VS/A46 moved to become controls</li> <li>• Deleted completed action regarding the purchase by minimal donation of Charity and Commercial Undertakings recycled VoG municipal waste.</li> <li>• New countermeasure added in relation to increasing staffing in the Business Support Team</li> <li>• All current controls and countermeasures linked to risk themes</li> <li>• Specific risks mitigated by each control/countermeasure identified</li> <li>• Referencing system updated to link the themes to controls and countermeasures</li> </ul>
28/10/14	<p>The risk has remained a medium, but the risk is moving in downward direction (risk score has reduced from a 6 to a 4), because the risk associated with landfill fines has significant diminished <i>if not totally eliminated</i>.</p> <p>This has been the result of the implementation of the new Viridor waste energy plant in Cardiff that has been operational since 27<sup>th</sup> October. This will eliminate the risk of any fines, as it is anticipated that only 10% of waste will now go to landfill. Despite this, the overall risk level remains static as the risk of not meeting the recycling targets and the associated fines still exists. The current controls to militate against this risk remain unchanged.</p>
29/12/14	Whilst the risk associated with landfill diversion fines is now eliminated the implementation of the Waste (England and Wales) (Amended) Regulations 2012 in January 2015 raises an increased risk in respect to the achievement of future WG statutory recycling targets for 2019/20 & 2024/25. Therefore until such time as the service review is completed the risk score should remain the same but reviewed immediately following the outcome where it will be known whether the dry recycling collection service needs to revert to

	a source separate mythology.
17/03/2015	Risk score has remained static, but forecast direction of travel has moved in an upwards direction due to likelihood of the introduction of source segregation.
29/05/15	Risk score has remained static.  Updated current controls section and added relevant actions from the 2015/19 Service Plan to the counter measures section.

## Risk 6: Workforce Needs

<b>Risk Description</b>	<b>Inability to anticipate and plan for the workforce needs of the future in order to meet changing services requirements</b>
<p>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.</p>	
<b>Risk Owner</b>	Head of Human Resources (RB)
<b>Risk themes</b>	
	Mark one or more themes with an X
<b>Business Continuity</b>	<b>X</b>
<ul style="list-style-type: none"> <li>A failure to properly anticipate and respond to future workforce needs will pose a threat to the effectiveness and viability of services and the ability of the Council to meet the aims and objectives set out in the Corporate Plan and wider Community Strategy</li> </ul>	
Collaboration	
<b>Sustainability (including Social Inclusion)</b>	<b>X</b>
<ul style="list-style-type: none"> <li>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on a range of factors including the commitments to increase the number of apprenticeships within the Council (and wider community), the increase of younger employees (as a percentage of the wider workforce) and the aims within the Council's Equalities Strategy</li> </ul>	
Health and Safety	
<b>Workforce Planning</b>	<b>X</b>
<ul style="list-style-type: none"> <li>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.</li> </ul>	
Sickness Absence	
<b>Equalities</b>	<b>X</b>

<ul style="list-style-type: none"> <li>A key aspect of the workforce plan (section 6/theme viii) is the need to ensure the Council have a workforce that reflects the wider community. Within this are specific aspects to ensure that measures are taken to ensure representation from protected groups under the Equalities Act 2010. A particular feature of this includes strategies to deal with occupational segregation and address the gender pay gap that exists nationally and locally. A failure to implement actions within the workforce plan would impact adversely on such equalities commitments.</li> </ul>					
Information Management (including E-Government)					
Project Management					
<b>Financial Management</b>			<b>X</b>		
<ul style="list-style-type: none"> <li>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.</li> </ul>					
Communication					
Reputation					
Customer Relations					
<b>Risk Scoring</b>					
<b>Impact (1=Low 4=Catastrophic)</b>	<b>Likelihood (1=Unlikely 4=Almost Certain)</b>	<b>Total Risk Score</b>	<b>Priority Level (use the risk matrix)</b>	<b>Direction of travel</b>	<b>Forecast direction of travel</b>
3	2	6	Medium		
<b>Current Controls to manage risk</b>					
<b>Risk Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>		<b>Source document/ Status</b>	
HR/R1 1	Managers are supported through the management of change through training and ongoing advice from HR Officers. CMT receive regular reports on a range of HR issues and developments.	<b>Business continuity-</b> This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services. <b>Sustainability-</b> This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.		Ongoing action: Resources Service Plan 2014/15	
HR/A5 9	Workforce planning methodologies have been introduced to help support workforce planning in service areas and a Corporate	<b>Equalities-</b> This counter measure supports us in ensuring that we		Corporate Workforce Plan 2013/17 HR Strategy 2013/17 T&D Strategy	

	<p>Workforce Plan was approved by Cabinet on 17<sup>th</sup> December 2012. The workforce planning process is refreshed on an annual basis as part of the service planning process and, in turn to inform the wider corporate workforce plan.</p> <p>The Corporate Workforce Plan has been important in informing the HR Strategy and Training and Development strategy</p> <p>Annual Workforce Planning Conference in November 2014 run with a focus on alternative service delivery and workforce implications</p>	<p>have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management</b>-This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	2013/17
		<p><b>Business continuity</b>-This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability</b>- This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities</b>-This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management</b>-This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	Ongoing action
HR/A6	The workforce planning process is reviewed and refreshed on an	<b>Business continuity</b> -This counter measures will ensure that	Ongoing action:

4	Annual basis and supported and enthused by the running of an Annual Workforce Planning Conference for senior managers.	<p>the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability-</b> This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities-</b>This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	Corporate Workforce Plan 2013/17
HR/A6 0	Implementation of HR Strategy (as approved on 18-3-13) to support the delivery of workforce plan	<p><b>Business continuity-</b>This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability-</b> This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities-</b>This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	Ongoing action Corporate Plan 2013-17

<p>HR/A6 3</p>	<p>Implementation of T&amp;D to support delivery of workforce plan</p>	<p><b>Business continuity</b>-This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability</b>- This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities</b>-This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management</b>-This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	<p>Ongoing action Corporate Plan 2013-17</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><b>Business continuity</b>-This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability</b>- This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities</b>-This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management</b>-This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	<p>HR Strategy 2013/17</p>

	<p>Continue to monitor and report performance against corporate health indicators including labour turnover and attendance data.</p>	<p><b>Business continuity</b>-This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability</b>- This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities</b>-This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management</b>-This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	<p>HR Strategy 2013/17</p>
	<p>Continue to monitor labour turnover figures across key occupational groups.</p>	<p><b>Business continuity</b>-This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability</b>- This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities</b>-This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management</b>-This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	<p>HR Strategy 2013/17</p>

	Review/monitor specific recruitment/retention issues resulting from JE exercise	<p><b>Business continuity</b>-This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability</b>- This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Business continuity</b>-This counter measures will ensure that the Council strong and sustainable leadership in the future to respond to change whilst continuing to deliver high quality services.</p> <p><b>Financial Management</b>-This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	HR Strategy 2013/17		
	Setting up of a Leadership Café to support succession planning and leadership development across the Council. Continue the development of the Leadership Café.	<p><b>Business continuity/Workforce</b>- This counter measures will ensure that the Council strong and sustainable leadership in the future to respond to change whilst continuing to deliver high quality services.</p>	HR Strategy 2013/17		
<b>Countermeasure(s) to improve/mitigate the risk</b>					
<b>Risk Action Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>	<b>Responsibility</b>	<b>Timescales for completion</b>	<b>Source document</b>
	Deliver the Third Annual Workforce Planning Conference.	<p><b>Business continuity</b>-This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability</b>- This</p>	Head of Human Resources (Reuben Bergman) and OD and Training Manager (Helen Scarrett)	?	Corporate Workforce Plan 2013-17

		<p>countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities</b>-This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management</b>-This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>			
	<p>Review of the Council’s Performance Development and Review Scheme (PDRS) to help inform development needs.</p>	<p><b>Business continuity</b>-This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability</b>- This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities</b>-This counter measure supports us in ensuring that we</p>	<p>Head of Human Resources (Reuben Bergman) and OD and Training Manager (Helen Scarrett)</p>	?	<p>Corporate Self-Assessment Action Plan</p>

		<p>have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>			
	<p>Refresh Corporate Workforce Plan in line with the new Corporate Plan.</p>	<p><b>Business continuity-</b>This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability-</b> This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities-</b>This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This</p>	<p>Head of Human Resources (Reuben Berman) OD and Training Manager (Helen Scarrett)</p>	<p>?</p>	<p>Workforce Plan 2013-17</p> <p>Corporate Plan 2016-20</p>

		counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.			
HR/A59	Implementation of actions within the Council's Corporate Workforce Plan.	<p><b>Business continuity-</b>This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability-</b> This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities-</b>This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	Head of Human Resources (Reuben Bergman)	2013/17	Corporate Workforce Plan 2013-17
RS/A70	Develop and implement a	<p><b>Business continuity-</b>This</p>	Head of Human Resources	March 2016	Resources Service

HR/67	<p>Staff Engagement Strategy in relation to Reshaping Services.</p> <p>Includes implementation of a staff engagement programme to help strengthen strategies around communication, engagement, development and staff/management relations.</p>	<p>counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability-</b> This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities-</b>This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	(Reuben Bergman)		<p>Plan 2015/19</p> <p>Corporate Workforce Plan 2013-17</p>
RS/A077	Develop a 'job families' approach to job design.	<p><b>Business continuity-</b>This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability-</b> This countermeasure supports us in</p>	Head of Human Resources (Reuben Bergman)	March 2016	Resources Service Plan 2015/19

		<p>focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities</b>-This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management</b>-This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>			
RS/A0 80	Implement succession planning guidelines to help managers ensure continuity of the service that is delivered.	<p><b>Business continuity</b>-This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability</b>- This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities</b>-This counter measure supports us in ensuring that we have a workforce that is representative of</p>	Head of Human Resources (Reuben Bergman) OD and Training Manager (Helen Scarrett)	March 2016	Resources Service Plan 2015/19  Corporate Workforce Plan 2013-17

		<p>our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>			
RS/A1 17	<p>Develop a new 'Vale Contract' to support Reshaping Services agenda and the development of an agile workforce enabling flexibility for the future.</p>	<p><b>Business continuity-</b>This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability-</b> This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities-</b>This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This counter measure will enable us to be in a stronger position to be manage change</p>	<p>Head of Human Resources (Reuben Bergman)</p>	<p>March 2016</p>	<p>Resources Service Plan 2015/19</p>

		effectively and be responsive to financial challenges of the future.			
RS/A1 18	Review of Management Competency Framework to support the needs of the Reshaping Services agenda.	<p><b>Business continuity-</b>This counter measures will ensure that the Council and its staff are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability-</b> This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities-</b>This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>	Head of Human Resources (Reuben Bergman)	March 2016	Resources Service Plan 2015/19
RS/A1 19	Develop an Employee Relations Framework to underpin the	<p><b>Business continuity-</b>This counter measures will ensure that the Council and its staff</p>	Head of Human Resources (Reuben Bergman)	March 2016	Resources Service Plan 2015/19

	needs of the Reshaping Services agenda.	<p>are best placed to respond to change whilst continuing to deliver high quality services.</p> <p><b>Sustainability-</b> This countermeasure supports us in focusing ways of sustaining service delivery through developing a skilled and agile workforce.</p> <p><b>Equalities-</b>This counter measure supports us in ensuring that we have a workforce that is representative of our community and that we continue to meet our equalities commitments as an employer.</p> <p><b>Financial Management-</b>This counter measure will enable us to be in a stronger position to be manage change effectively and be responsive to financial challenges of the future.</p>			
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**Status Report (For Corporate Risk Management Group use only)**

<b>Date</b>	<b>Commentary</b>
	<i>[Please detail any changes you have made to the risk since the last update]</i>
12/07/13	<p>Risk Audit Report – changes made to template since last update:</p> <ul style="list-style-type: none"> <li>• New rows added under selected themes for details of specific risks to be added</li> <li>• New column added under both controls and countermeasures to detail the risk managed, by theme.</li> </ul>
28/10/14	The risk has remained static at medium. It is too soon to identify how the reshaping of services and external factors associated with the merging of Councils will impact on this risk and its overall score.

	It is anticipated over time that this risk is likely to increase. IT recruitment and retention also continues to be a concern for the service area.
29/05/15	Risk score has remained static.  Updated current controls section and added relevant actions from the 2015/19 Service Plan to the counter measures section.

## Risk 7: Information Security

<b>Risk description</b>	<b>The failure to implement adequate information security management systems across the Council</b>
<b>Risk owner</b>	Chairperson – Information Security & Governance Board
<b>Risk themes</b>	
	Mark one or more themes with an X
<b>Business Continuity</b>	<b>X</b>
<ul style="list-style-type: none"> <li>• <i>Unable to access data that has been lost</i></li> </ul>	
<b>Collaboration</b>	<b>X</b>
<ul style="list-style-type: none"> <li>• <i>Inability to share data between partners</i></li> </ul>	
Sustainability (including Social Inclusion)	
Health and Safety	
Workforce Planning	
Sickness Absence	
Equalities	
<b>Information Management (including E-Government)</b>	<b>X</b>
<ul style="list-style-type: none"> <li>• <i>Reputational damage to Council following a data breach</i></li> <li>• <i>Financial penalty as a result of a data breach</i></li> <li>• <i>Impact on service users whose data has been lost</i></li> </ul>	
<b>Project Management</b>	<b>X</b>
<ul style="list-style-type: none"> <li>• <i>Loss of data may have impacts on the delivery of projects</i></li> </ul>	
Financial Management	
Communication	
Reputation	
Customer Relations	

Risk Scoring					
Impact (1=Low 4=Catastrophic)	Likelihood (1=Unlikely 4=Almost Certain)	Total Risk Score	Priority Level (use the risk matrix)	Direction of travel	Forecast direction of travel
3	3	9	Medium/High		
Current controls to manage risk					
Risk Ref.	Description	Risk Managed (by theme)		Source document/ Status	
	DPA/ICT Codes of Practice in place together with Access to Information Procedures	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>		Completed action. Ongoing review of documentation as required.	
	Building & Office security/access arrangements	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>		Ongoing action	
	Induction/on-line training for DPA	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>		Ongoing action	

	Secure network including firewall and ICT Security Team	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Ongoing action
	Information Security & Governance Board and Corporate Risk Management Groups established	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Ongoing action
	Use of encrypted memory sticks/laptops	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Ongoing action
	Home Working Policy	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Completed action. Policy is regularly reviewed and updated.

	Nominated systems administrators	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Ongoing action
	System audit trails/admin logs maintained	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Ongoing action.
	Specialist Computer Auditor in post	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Completed action. Work of specialist Auditor is ongoing.
	Penetration testing regularly undertaken	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Ongoing action.

	Corporate document retention system in place (TRIM)	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Completed action. TRIM system is in place.
	Smarter Working Policy to be introduced	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Completed action. Policy reviewed and updated regularly.
	Adoption of ISMS Policy Tell Us Once' initiative in place	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Completed action. Policy and initiative reviewed and updated regularly.
	Introduction of Employees Information Security Responsibilities	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Completed action. Refresh of training/awareness raising with staff is ongoing.

	Full time Information Security Officer appointed	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Completed action.
	FOI/Records Management Unit established	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Completed action
	Secure e-mail solution in place	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Completed action
	September 2013: Completed gap analysis to work towards adherence to ISO27001 Annex A principles as part of WASPI.	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Completed action

	Review of use of fax machines	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	<p>Completed action.</p> <p>Rightfax system has now been implemented.</p>
	Implementation of new security software (Veronis and Clear Swift) to give us improved data security.	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	<p>Completed action.</p> <p>New software is being used to enable better document integration and data security.</p>
WAO/P 1	Revise the ICT Strategy to reflect how plans to use technology will support the delivery of the Council's Improvement Objectives and the expected outcomes.	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	<p>Ongoing action</p> <p>WAO Review of Technology (October 2011)</p>

**Countermeasure(s) to improve/mitigate the risk**

Risk Action Ref.	Description	Risk Managed (by theme)	Responsibility	Timescales for completion	Source document
	Introduction of USB controls	<p><b>Business Continuity</b></p> <p>This countermeasure enables us to protect against any security</p>	Head of ICT	March 2016	ICT Service Team Plan 2015/19

		<p>breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>			
	Undertake an Audit of Payment Card systems	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Head of ICT	By August 2015	Links to Service Plan Action RS/A101
RS/A101	Implement PCI compliance action plan.	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Head of ICT	September 2015	Resources Service Plan 2015/19

	Undertake roll out of fax machine usage corporately.	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Head of ICT	March 2016	Team Plan 2015/16
RS/A104	Undertake migration of data to new servers.	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can better safeguard our information and data and its security.</p>	Head of ICT	March 2016	Resources Service Plan 2015/19
	Refresh the Information Management Strategy.	<p><b>Business Continuity</b> This countermeasure enables us to protect against any security breaches and maintain service/business continuity.</p> <p><b>Information Management-</b> This countermeasure will ensure that we can</p>	Head of ICT	March 2016	

		better safeguard our information and data and its security.			
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**Status report (For Corporate Risk Management Group use only)**

Date	Commentary
6/12/2013	<i>PSN Compliance Obtained</i>
12/07/13	Risk Audit Report – changes made to template since last update: <ul style="list-style-type: none"> <li>• New rows added under selected themes for details of specific risks to be added</li> <li>• New column added under both controls and countermeasures to detail the risk managed, by theme.</li> </ul>
28/10/14	<p>Data breach issues continue to be of a medium/high risk for the Council. ICT are leading on the review and replacement of fax machine across the Council. The use of a new software package will integrate fax within Microsoft Office enabling the user to send/receive faxes from their email account.</p> <p>This will help to mitigate against (but not eliminate) the risk of ICO fines as well contribute to cost savings. ICT are currently reviewing the implementation of USB controls. Work is underway to identify a way of restricting the information/documents onto USB devices.</p> <p>There has recently been difficulties with taking systems down in order to undertake scheduled maintenance. The Head of ICT will report to the CRMG an approach for the way forward.</p> <p>The Council is currently PSN (Public Security Network) compliant that provides some assurance in terms of IT security, but is currently not PCI (Payment Card Industry) compliant. Some progress has been made in contacting potential suppliers to undertake an audit of all payment card systems in order to provide the Council with a position statement.</p> <p>Overall the risk level has remained unchanged at medium/high.</p>
17/03/15	<p>Risk status has remained static.</p> <p>A new mitigating action has also been added to counter measures regarding the implementation of security software (Veronis and Clearswift).</p>
29/05/15	<p>Risk status has remained static. Service Plan actions from the 2015/19 Resources Service Plan relevant to the risk have been added as new counter measures.</p>



## Risk 8: Climate Change

<b>Risk Description</b>	<b>Failure to adapt to the impact of climate change and failure to mitigate climate change in the Vale of Glamorgan.</b>	
<p>Action on climate change covers two areas: mitigation and adaptation. Mitigation relates to action taken to tackle the causes of climate change i.e. by reducing greenhouse gas emissions. Adaptation relates to action taken to adapt to the unavoidable effects of climate change caused by increased concentrations of greenhouse gases from human activities. Locally the immediate impact of climate change include hotter temperatures, warmer, wetter winters, hotter, drier summers, increased summer time thunder storms and intense rainfall and the reduction of some animal and plant species, more severe flooding of coastal and river areas and also flash flooding throughout the authority. The Vale of Glamorgan must act as a responsible authority and in 2006 signed the “Welsh Commitment to Address Climate Change” as a responsible authority. The commitment outlines the council’s contribution to the delivery of the national climate change programme, working with the local community to address the causes and effects of climate change, reduce the council’s own emissions, encourage all sectors of the local community to reduce their own emissions, work with key providers to adapt to changes, and provide opportunities for renewable energy generation within the area.</p>		
<b>Risk Owner</b>	Head of Performance and Development (HI)	
<b>Risk themes</b>		
		Mark one or more themes with an X
Business Continuity		
Collaboration		
<b>Sustainability (including Social Inclusion)</b>		<b>X</b>
<ul style="list-style-type: none"> <li>• Fail to reduce our impact on the environment</li> </ul>		
<b>Health and Safety</b>		<b>X</b>
<ul style="list-style-type: none"> <li>• Injury or fatality due to effects of severe weather events</li> </ul>		
Workforce Planning		
Sickness Absence		
Equalities		

Information Management (including E-Government)					
Project Management					
<b>Financial Management</b>					
<b>X</b>					
<ul style="list-style-type: none"> <li>Increased costs from energy use, landfill or as a consequence of severe weather.</li> </ul>					
Communication					
Reputation					
Customer Relations					
<b>Risk Scoring</b>					
<b>Impact</b> (1=Low 4=Catastrophic )	<b>Likelihood</b> (1=Unlikely 4=Almost Certain)	<b>Total Risk Score</b>	<b>Priority Level</b> (use the risk matrix)	<b>Direction of Travel</b>	<b>Forecast Direction of Travel</b>
3	2	6	<b>Medium</b>		
<b>Current Controls to manage risk</b>					
<b>Risk Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>		<b>Source document/Status</b>	
	Supplementary planning guidance on sustainable development in new builds	<b>Sustainability</b> – Raises awareness of how the development of land can contribute towards sustainability, through encouraging a holistic approach to construction and by reducing the impact of a development during its lifetime.		Completed action SPG	
	Development Management – ensuring decisions on new development proposals have regard to sustainability.	<b>Sustainability</b> – Consideration of the sustainability credentials of new development, ranging from sustainable forms of construction, environmental implications and accessibility including access to services, public transport and active travel.		Ongoing action Development proposals	
	Prioritise maintenance in all council services – including	<b>Health and Safety</b> – protection of staff and residents against injury		Ongoing action Asset	

	gritting, drainage, etc.	and fatality.  <b>Financial Management</b> – protection against compensation claims and to protect and prevent further deterioration of roads, buildings etc due to effects of weather.	Management Plan
	Carbon Management Group and Carbon Management plan developed	<b>Sustainability</b> - Identification of high levels of carbon emissions and where savings can be made e.g. insulation, pool covers  <b>Financial Management</b> – utilisation of salix funding and capital programme to target energy saving measures where emissions are highest.	Ongoing action  Carbon Management Plan
	Sustainable procurement outlined in procurement guideline documents	<b>Financial Management</b> - Procurement Guidance sets out the process by which all Council procurement will have regard to environmental, social and ethical factors as well as financial and economic considerations. It encourages everyone to think about their actions in support of the corporate vision of being a greener Council.	Completed action and ongoing review.  Procurement Strategy and guidance
	Green travel plan established and publicised to all staff	<b>Sustainability</b> - The aim of the Travel Plan is to help mitigate the negative impacts of traffic such as noise and air pollution, road traffic accidents and general degradation of our environment and encourage staff to use different forms of transport or car share etc.	Completed action and reviewed and updated regularly.  Travel Plan
	Active Travel – ensuring walking and cycling routes are provided	<b>Sustainability</b> – To ensure a network of routes are available to provide for pedestrians and cyclists to minimise environmental impacts of traffic congestion and	Completed and reviewed and updated regularly  Active Travel

		growth	maps
	Internal and external publicity for individuals and organisations on how to reduce gas emissions	<b>Sustainability</b> – Information for staff and residents enables them to identify where changes can be made, energy saved and emissions reduced and understand the reasons for change.	Completed action and reviewed and updated regularly  Website
	Implementation of the Shoreline Management Plan	<b>Sustainability</b> – To ensure future developments are not put at a higher risk of flood or coastal erosion.  <b>Health and Safety</b> - The Vale coastline is now being monitored and managed in accordance with the Shoreline Management Plan  <b>Financial Management</b> - Prevention of loss of property and highway assets to the sea.	Ongoing action  Shoreline Management Plan
	BREEAM standard for major projects e.g. schools/Extracare	<b>Sustainability</b> – The Council complies with BREEAM standards. BREEAM sets the standard for best practice in sustainable building design, construction and operation. It encourages designers, clients and others to think about low carbon and low impact design, minimising the energy demands created by a building before considering energy efficiency and low carbon technologies.	Ongoing action  WG Guidance
	Local Biodiversity Plan	<b>Sustainability</b> – working with our partners to carry out projects to conserve priority species and habitats such as the high brown fritillary and the tree sparrow. A flexible, living document to co-ordinate work on the ground, report on progress and inform Welsh and UK targets.	Completed action and reviewed and updated as required  Local Biodiversity Plan  Links to Service Plan action

			DS/A114
	Eco schools programme	<b>Sustainability</b> - encourages pupils to engage with environmental and sustainable development issues. There is an emphasis on Litter and Waste Minimisation, although schools can also focus on Transport, Healthy Living, Energy and Water Saving, or School Grounds Development. Pupils take key roles in decision-making and participation in order to reduce the environmental impact of the school. In this way, Eco-Schools extends learning beyond the classroom and develops responsible citizenship attitudes both at home and in the wider community.	Ongoing initiative
	The Local Development Plan will provide a framework to shape sustainable development and the process includes a thorough environmental impact assessment	<b>Sustainability</b> – The LDP will provide a comprehensive land use planning framework which promotes and guides sustainable development in the Vale. Developed through extensive consultation the plan will include everything from housing developments, community facilities and employment opportunities to transport, waste management and retailing.	Ongoing action  Draft LDP  Links to Service Plan action DS/A078 (CP/R15)
	Space Programme and Asset Management Strategy	<b>Sustainability</b> – Ensuring the effective use of the Council's assets in delivering services with due consideration of the environmental impact of any changes in use of buildings. Current performance and condition of a building will also be taken in to account in determining its future use.	Ongoing action  Project Plan and Asset Management Strategy

	Sustainable Development Working Group	<b>Sustainability</b> – The group monitors the SD Action Plan and oversees preparation for the Wellbeing of Future Generations Bill, climate change, the Travel Plan, carbon management and responding to Welsh Government guidance and legislation. All of these activities contribute to managing the risks around climate change and the group includes representation from all Directorates and regularly reports to CMT and Scrutiny.	Ongoing action  Sustainable Development Action Plan
	Automatic meter reading for all Vale owned buildings	<b>Sustainability</b> – identifies levels of energy use and any anomalies so that appropriate action can be taken. Informs improvement activities.  <b>Financial Management</b> – initiatives can be targeted where the greatest savings can be made in terms of energy use and costs.	Ongoing action Carbon Management Plan
	Produce the Local Flood Risk Management Strategy	<b>Financial management</b> - Residents and organisations in high flood risk areas are well prepared.  <b>Health and Safety</b> - Reduction in the risks to people  <b>Sustainability</b> - Reduction in the risks to the developed, historic and natural environments of the vale.	Completed Action and reviewed and updated as required  Corporate Plan 2013-17

**Countermeasure(s) to improve/mitigate the risk**

Risk Action Ref.	Description	Risk Managed (by theme)	Responsibility	Timescales for completion	Source document
	Participation in Early Adopters	<b>Sustainability</b> - development of a	Head of Performance	March 2016	Early Adopters

	work for the Wellbeing of Future Generations Bill	critical path and action plan to ensure the Council is prepared for the forthcoming legislation	and Development (HI)		submission links to Service Plan action RS/A122
RS/A122 (CP/CL 8)	Promote sustainable development ensuring that sustainability factors are taken into account in decision making and that the Council complies with forthcoming legislation on sustainable development.	<b>Sustainability</b> - to ensure the Council is prepared for the forthcoming legislation	Head of Performance and Development (HI)	March 2016	Resources Service Plan 2015/19
ES/A007	Work with all Directorates to meet our corporate energy management commitments with respect to carbon reduction.	<b>Sustainability</b> - sharing of good practice and information to inform work to reduce energy use including sharing of premises  <b>Financial Management</b> - reduction in carbon emissions and energy use to reduce financial as well as environmental impacts. Immediate and long term benefits of reducing energy use.	Operational Manager, Property (JW)	Ongoing	Community Strategy 2011-21  Resources Service Plan 2015/19
	Access SALIX fund  Carbon management	<b>Sustainability</b> - Enables projects to be undertaken and savings delivered over a set time	Energy Manager (DP)	Ongoing	Carbon Management Plan

	group to help identify projects within service areas	<p>period. Provides an evidence base for future work and to develop a business case showing the long term benefits.</p> <p><b>Financial Management –</b> Utilisation of funding pot to enable energy saving projects to be implemented and a reduction in energy use and costs.</p>			
VS/A058 (CP/E1)	Work with partners to provide residual waste and recycling collection treatment and disposal services	<p><b>Sustainability –</b> By working together to meet recycling and waste reduction targets, the likelihood of potential negative environmental impacts occurring is reduced.</p> <p><b>Financial Management –</b> partners work towards meeting waste reduction and recycling targets in order to prevent fines for non-compliance.</p>	Director of Visible and Housing Services (MP)	March 2016	<p>Corporate Plan 2013-17</p> <p>Visible Services Service Plan 2015/19</p>
	Review the Carbon Management Plan	<p><b>Sustainability –</b> Focusing resources where the greatest impact can be made in terms of reducing energy use and carbon emissions.</p> <p><b>Financial Management –</b></p>	Jane Wade	March 2016	Corporate Plan 2013-17

		identification of where the greatest savings can be achieved and prioritisation of schemes according to costs and potential savings (energy and financial).			
VS/A092 (CP/E5)	Develop flood risk management plans and flood reduction and alleviation schemes	<p><b>Financial management</b> – Residents and organisations in high flood risk areas are well prepared.</p> <p><b>Health and Safety</b> – Reduction in the risks to people</p> <p><b>Sustainability</b> – Reduction in the risks to the developed, historic and natural environments of the Vale.</p>	Director of Visible and Housing Services (MP)	March 2015	Corporate Plan 2013-17  Visible Services Service Plan 2015/19
DS/A116	Review of the Council's Conservation Area Management Plans	<b>Sustainability</b> - the Character and unique qualities of the Vale's conservation areas are preserved and enhanced.	Operational Manager Development Control (MG)	March 2016	Development Services Service Plan 2015/19
DS/A004 (CP/H6)	Maximise funding opportunities to improve the energy efficiency of the housing stock and reduce fuel poverty.	<b>Sustainability</b> - Residents homes are more energy efficient helping to reduce fuel costs/poverty and promote sustainable communities.	Energy manager (DP)	March 2016	Development Services Service Plan 2015/19
	Review of the Travel Plan	<b>Sustainability</b> – Ensuring the Travel Plan is fit for purpose and reflects changes in behaviour and new	Principal Transport and Road Safety Officer (CC)	March 2016	Team Plan 2015/16

		initiatives to enable and encourage staff to use different forms of transport or car share etc			
	Draft Local Transport Plan	<b>Sustainability</b> – Fits with the objective of the LDP to minimise the causes and manage the effects of climate change.	Principal Transport and Road Safety Officer (CC)	March 2016	Local Transport Plan  Team Plan 2015/16
RS/A007 (CP/E3)	Work with all Directorates to meet our corporate energy management commitments with respect to carbon reduction.	<b>Sustainability</b> - sharing of good practice and information to inform work to reduce energy use including sharing of premises  <b>Financial Management</b> - reduction in carbon emissions and energy use to reduce financial as well as environmental impacts. Immediate and long term benefits of reducing energy use.	Operational Manager of Property	March 2016	Resources Service Plan 2015/19
RS/A0014 (CP/E3)	Identify and implement projects to reduce energy use and raise awareness amongst staff and the public about the need to reduce our carbon footprint.	Sustainability- sharing of good practice and information to inform work to reduce energy use including sharing of premises  Financial Management- reduction in carbon emissions and energy use to reduce financial as well as	Operational Manager of Property	March 2016	Resources Service Plan 2015/19

		environmental impacts. Immediate and long term benefits of reducing energy use.			
<b>Status Report (For Corporate Risk Management Group use only)</b>					
<b>Date</b>		<b>Commentary</b>			
25/7/13		<ul style="list-style-type: none"> <li>• Automatic Meter reading moved to current controls</li> <li>• Current controls and countermeasures linked to risk themes</li> <li>• Service Planning removed as a source document for eco schools</li> <li>• Asset Management Plan added as a source document for prioritising maintenance</li> <li>• Review Travel Plan added as a new countermeasure</li> <li>• Date for completing climate change report amended as per CMT report 17 July 2013</li> <li>• Attached list of corporate initiatives which show where climate change is highlighted and summary of impacts from detailed impact assessment exercise undertaken in 2013.</li> </ul>			
12/07/13		<p>Risk Audit Report – changes made to template since last update:</p> <ul style="list-style-type: none"> <li>• New rows added under selected themes for details of specific risks to be added</li> <li>• New column added under both controls and countermeasures to detail the risk managed, by theme.</li> </ul>			
29/10/14		<p>Removal of work to prepare an Adaptation Report as this is not required as a separate document but climate change must be reflected in key corporate documents e.g. Corporate Plan.</p> <p>Addition of reference to participation in the Early Adopters work to prepare for the Wellbeing of Future Generations Bill. This commenced in August 2014 with a diagnostics questionnaire and a workshop has been arranged for November.</p>			
19/01/15		<p>Risk template updated for reporting to the CRMG added in two additional current controls:</p> <ul style="list-style-type: none"> <li>• Development management.</li> <li>• Active Travel.</li> </ul>			
29/05/15		<p>Risk status has remained static. Service Plan actions from the 2015-16 Resources Service Plan relevant to the risk have been added as new counter measures.</p>			

## Risk 9: Welfare Reform

<b>Risk Description</b>	<b>Welfare Reform</b>
<p>The UK Government's Welfare Reform will introduce the greatest change in the administration of welfare benefits for a generation. In addition to significant change in the way in which the council will run the housing and council tax benefits service, the changes will affect Social Services and Housing Services and will have an impact on the overall finances of the authority.</p> <p>Significant changes have been implemented, including changes to the Housing Benefit scheme and the introduction of the Council Tax Reduction Scheme to replace Council Tax Benefit. The Welsh Government implemented the Discretionary Assistance Fund from April 2013 and the DWP started the roll out of the Personal Independence Payment in Wales from July 2013.</p> <p>The introduction of the 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 has begun. However, this was originally limited to new claimants within specific geographical areas in the UK. It was originally intended that the Universal Credit would phased in nationally from October 2013. This has been delayed but recently the intention to implement the national roll out of UC in relation to new single claimants of Job Seekers Allowance (without any children) who claim JSA from February 2015 to 2016 was announced. This will be done by a phased approach and LA's will be notified in advance where they are within the time table. It is not clear when the national rollout for other UC claimants will start, but it is unlikely that there will be any significant impact in the Vale of the JSA element in 2014/15.</p> <p>Since many of the direct changes affecting the Council (HB and CTRS) have been implemented and national rollout of UC has been delayed, the priority rating of this risk was previously reduced.</p>	
<b>Risk Owner</b>	Head of Finance (AJ)
<b>Risk themes</b>	
	Mark one or more themes with an X
Business Continuity	<b>X</b>
There will need to be effective project planning in place to ensure that service continuity can be maintained in a transitional period.	
<b>Collaboration</b>	<b>x</b>
Welfare reform will require effective collaborative working between Council departments and across organisational boundaries in order to effectively implement any reform in a seamless way.	
<b>Sustainability (including Social Inclusion)</b>	<b>x</b>
Ensuring that that any implications of welfare reform do not detrimentally impact on the principles of social inclusion.	
Health and Safety	

<b>Workforce Planning</b>	<b>x</b>
Changes to how nationally welfare benefits are administered are likely to impact on workforce requirements and capacity. Effective resource and workforce planning will need to be undertaken to ensure that this change is managed and communicated effectively with staff.	
Sickness Absence	
<b>Equalities</b>	<b>x</b>
Significant changes made to welfare benefit administration will require careful consideration in terms of its impact protected and vulnerable groups of individuals. Equalities Impact Assessments will need to be done as appropriate.	
<b>Information Management (including E-Government)</b>	<b>x</b>
The introduction of new ways of administering welfare benefits, will involve the implementation of new information management systems. There is the risk that if these systems are not fit for purpose or are implemented effectively this could impact on the ability to process and administer accurate and timely benefits to clients.	
Project Management	
<b>Financial Management</b>	<b>x</b>
Changes made to welfare benefit administration will need to be effectively managed, monitored and controlled. There is the potential for this level of reform to have detrimental impact on service user's finances and so impact on their ability to sustain tenancies/pay bills etc.	
<b>Communication</b>	<b>x</b>
There is the risk that if any changes to welfare reform are poorly communicated to our service users, they will not be financially prepared for its implications resulting in them getting into debt.	
<b>Reputation</b>	<b>X</b>
If the changes to welfare reform are not effectively communicated and managed this could damage the reputation of the Council.	
<b>Customer Relations</b>	<b>x</b>
If the changes to welfare reform are not effectively communicated and managed this could damage customer's relationship and trust with the Council.	

Risk Scoring					
Impact (1=Low 4=Catastrophic)	Likelihood (1=Unlikely 4=Almost Certain)	Total Risk Score	Priority Level (use the risk matrix)	Direction of travel	Forecast direction of travel
3	2	6	Medium		
Current controls to manage risk					
Risk Ref	Description	Risk managed (by theme)		Source document/Status	
	Welfare Reform Working Group	<p><b>Collaboration-</b> Working collaboratively the Council can effectively prepare for implications for welfare reform.</p> <p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated against.</p> <p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p> <p><b>Workforce planning-</b>Effective management of workforce implications as a result of welfare reform changes.</p>		Ongoing action	
	Stakeholder Group	<p><b>Collaboration-</b> Working collaboratively the Council can effectively prepare for implications for welfare reform.</p> <p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated</p>		Ongoing action	

		<p>against.</p> <p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p> <p><b>Workforce planning-</b>Effective management of workforce implications as a result of welfare reform changes.</p>	
	<p>Identification and prioritisation of key risks complete together with Communications Plan</p>	<p><b>Collaboration-</b> Working collaboratively the Council can effectively prepare for implications for welfare reform.</p> <p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated against.</p> <p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p> <p><b>Workforce planning-</b>Effective management of workforce implications as a result of welfare reform changes.</p>	<p>Ongoing action</p> <p>Risk analysis and supporting documentation</p>
	<p>Member Task and Finish Group Report including further recommendations to deal with Welfare Reforms as it develops</p>	<p><b>Collaboration-</b> Working collaboratively the Council can effectively prepare for implications for welfare reform.</p> <p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated against.</p>	<p>Completed action T&amp;F Group Report 23/04/13 Corporate Resources s/c</p>

		<p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p> <p><b>Workforce planning-</b>Effective management of workforce implications as a result of welfare reform changes.</p>	
	Progress reports are monitored by Scrutiny Corporate Resources	<p><b>Collaboration-</b> Working collaboratively the Council can effectively prepare for implications for welfare reform.</p> <p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated against.</p> <p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p> <p><b>Workforce planning-</b>Effective management of workforce implications as a result of welfare reform changes.</p>	Ongoing action Annually reported
	Budgets have been allocated to deal with expected impact of homelessness and rent arrears. Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes.	<p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated against.</p> <p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p>	Ongoing action

	<p>Success of existing controls in mitigating risks has been reviewed and risk analysis updated accordingly.</p>	<p><b>Collaboration-</b> Working collaboratively the Council can effectively prepare for implications for welfare reform.</p> <p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated against.</p> <p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p> <p><b>Workforce planning-</b>Effective management of workforce implications as a result of welfare reform changes.</p>	<p>Ongoing action</p> <p>Actual statistics. Risk analysis and supporting documentation</p>
	<p>Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed.</p>	<p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated against.</p> <p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p>	<p>Ongoing action</p> <p>Risk analysis and supporting documentation</p>
	<p>Impact of the Council Tax Reduction Scheme and future WG funding reviewed.</p>	<p><b>Collaboration-</b> Working collaboratively the Council can effectively prepare for implications for welfare reform.</p> <p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential</p>	<p>Ongoing action</p> <p>Risk analysis and supporting documentation</p>

		<p>financial impact of welfare reform is effectively managed and mitigated against.</p> <p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p> <p><b>Workforce planning-</b>Effective management of workforce implications as a result of welfare reform changes.</p>	
Impact of the introduction of the benefits cap reviewed.		<p><b>Collaboration-</b> Working collaboratively the Council can effectively prepare for implications for welfare reform.</p> <p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated against.</p> <p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p> <p><b>Workforce planning-</b>Effective management of workforce implications as a result of welfare reform changes.</p>	<p>Ongoing action</p> <p>Risk analysis and supporting documentation</p>
WAO/R1	<p>Improve strategic planning and better co-ordinate activity to tackle the impact of welfare reform on social-housing tenants by ensuring comprehensive action plans are in place that cover the work of all relevant council departments, housing associations and the work of external</p>	<p><b>Project management and Communication-</b> Improved planning and co-ordination of activity will enable us to improve our response to tackling the any negative impact of Welfare Reform.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated against.</p>	<p>Ongoing action</p> <p>WAO review of managing the impact of Welfare Reform changes on Social Housing tenants in Wales (January 2015).</p>

	stakeholders.		
WAO/R2	Improve governance and accountability for welfare reform by appointing member and officer leads to take responsibility for strategic leadership on welfare reform and be accountable for performance; and ensuring members receive adequate training and regular briefings on welfare reform to be able to challenge and scrutinise performance and decisions.	<b>Project management and communication-</b> This counter measures will ensure that there are accountability measures in place to challenge and scrutinise performance and ensure that change is being implemented effectively.	Ongoing action  WAO review of managing the impact of Welfare Reform changes on Social Housing tenants in Wales (January 2015).
WAO/R3	Ensure effective management of performance on welfare reform by: setting appropriate measures to enable members, officers and the public to judge progress in delivering actions; ensuring performance information covers the work of all relevant agencies and especially housing associations; and establishing measures to judge the wider impact of welfare reform.	<b>Project management and communication-</b> This counter measures will ensure that there are accountability measures in place to challenge and scrutinise performance and ensure that change is being implemented effectively.	Ongoing action  WAO review of managing the impact of Welfare Reform changes on Social Housing tenants in Wales (January 2015).
WAO/R4	Strengthen how welfare-reform risks are managed by creating a single corporate-level approach that co-ordinates activity across the council and the work of others to provide adequate assurance that all the necessary and appropriate actions to mitigate risk are taking place.	<b>Project management-</b> putting in place effective risk management process enables the Council to effectively mitigate against the any potential negative impact from the change to welfare reform.	Ongoing action  WAO review of managing the impact of Welfare Reform changes on Social Housing tenants in Wales (January 2015).
WAO/R5	Improve engagement with tenants affected by the removal of the spare-room subsidy	<b>Customer relations/Reputation-</b> Putting in place effective communication and information and advice channels enables us to	Ongoing action  Risk Register

	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.	support clients through the period of change, better mitigate against any negative impacts as a result of the reform as well as maintain a good relationship and reputation with our client base.	WAO review of managing the impact of Welfare Reform changes on Social Housing tenants in Wales (January 2015).
WAO/R7	Improve management, access to and use of Discretionary Housing Payments	<p><b>Business continuity</b>-Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management</b>- Potential financial impact of welfare reform is effectively managed and mitigated against.</p>	<p>Ongoing action</p> <p>WAO review of managing the impact of Welfare Reform changes on Social Housing tenants in Wales (January 2015).</p>

**Counter measure (s) to improve/mitigate the risk**

<b>Risk Action Ref</b>	<b>Description</b>	<b>Risk managed (by theme)</b>	<b>Responsibility</b>	<b>Timescales for completion</b>	<b>Source document</b>
	Review impact of introduction of Universal Credit.	<p><b>Collaboration</b>- Working collaboratively the Council can effectively prepare for implications for welfare reform.</p> <p><b>Business continuity</b>-Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management</b>- Potential financial impact of welfare reform is effectively</p>	<p>Welfare Reform Working Group</p> <p>Head of Finance</p>	Dependent on Government implementation of UC	<p>Risk analysis and supporting documentation</p> <p>Team Plan 2015/16</p>

		<p>managed and mitigated against.</p> <p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p> <p><b>Workforce planning-</b>Effective management of workforce implications as a result of welfare reform changes.</p>			
	Develop a plan to manage the staff transitional implications of the Welfare Reform Programme.	<b>Workforce planning-</b> Effective management of workforce implications as a result of welfare reform changes.	Head of Finance	Dependent on Government implementation of UC	Team Plan 2015/16
	Implement Welfare Reform and transfer housing benefit to Universal Credit in line with DWP timetable.	<p><b>Collaboration-</b> Working collaboratively the Council can effectively prepare for implications for welfare reform.</p> <p><b>Business continuity-</b>Effective planning in place to maintain service continuity through transitional period.</p> <p><b>Financial management-</b> Potential financial impact of welfare reform is effectively managed and mitigated against.</p>	Head of Finance	Dependent on Government implementation of UC	Team Plan 2015/16

		<p><b>Customer relations-</b> Vale residents are aware of implications of welfare reform and are signposted to appropriate help and support.</p> <p><b>Workforce planning-</b>Effective management of workforce implications as a result of welfare reform changes.</p>			
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**Status Report (For Corporate Risk Management Group use only)**

Date	Commentary
Feb 2013	2013-14 Council Tax Reduction Scheme introduced as part of Annual Billing. CTR posted to accounts of eligible claimants
April 2013	Implementation of changes to Local Housing Allowance and introduction of size criteria in social housing sector.
July 2013	Revised Discretionary Housing Payment (DHP) policy in place
July 2013	Implementation of Benefit Cap
November 2013	Welfare Reform progress report to Scrutiny Corporate Resources and Audit Committee. The report is available via the following link.  <a href="http://www.valeofglamorgan.gov.uk/en/our_council/council/minutes_agendas_and_reports/reports/audit/2013/13-11-26/Welfare-Reform.aspx">http://www.valeofglamorgan.gov.uk/en/our_council/council/minutes_agendas_and_reports/reports/audit/2013/13-11-26/Welfare-Reform.aspx</a>
November 2013	In the light of the analysis of the impacts the budgets were reviewed and included in the Initial Revenue Budget Proposals.
Feb 2014	2014-15 Council Tax Reduction Scheme introduced as part of Annual Billing.
July 2014	Welfare Reform Progress Report to Corporate Resources Scrutiny Committee
28 <sup>th</sup> October 2014	Welfare Reform Officer Working Group to meet to review position.  Risk score decreased from a 9 to 6 reducing the status from a medium/high to a medium. Direction of travel continues to be in a downward direction.

	New counter measure added to review impact of introduction of Universal Credit.
17/03/15	There have been no changes to the risk.
29/05/15	There have been no changes to the risk.

## Risk 10: Local Development Plan

<b>Risk Description</b>	<b>Local Development Plan</b>
<p><b>Overview:</b></p> <p>The preparation of a Local Development Plan for the Vale of Glamorgan is statutory.</p> <p>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 Draft Local Development Plan which will be considered by Cabinet and Council in October 2013.</p> <p>This means that planning decisions taken on development proposals will be undertaken without reference to an adopted plan and this will now be the case until late 2016 when it is anticipated that the replacement LDP will be adopted.</p> <p>A timetable for the preparation of the replacement Local Development Plan was approved by WG in June 2013. A report was presented to the Council's Cabinet on 24<sup>th</sup> March 2014 updating members on the LDPs progression and advising that the timetable be amended to show that the Council was progressing its Plan at a faster pace than envisaged in June 2013. A revised Delivery Agreement was later agreed by WG in May 2014 following public consultation on the Deposit LDP, as required by guidance. Submission of the LDP for independent examination is anticipated to take place in April/May 2015 subject to Council agreement. Under the delivery agreement the LDP is anticipated to be adopted in late 2016.</p> <p>The LDP report has now been approved via Full Council on the 24th June 2015 and as consequence the risk level has now been reduced to a medium score. Although, the LDP is still subject to examination by independent inspector in Autumn 2015, the risks associated with this have now reduced. The remaining residual risks relate to the plan not being found sound and a judicial review of the process being undertaken.</p>	
<b>Risk Owner</b>	Operational Manager, Development Services (Emma Reed)
<b>Risk themes</b>	
	Mark one or more themes with an X
Business Continuity	
Collaboration	
<b>Sustainability (including Social Inclusion)</b>	<b>x</b>

<ul style="list-style-type: none"> <li>Planning decisions are taken by the Council and others without the benefit of an adopted plan and these decisions have a detrimental impact on the environment.</li> </ul>					
Health and Safety					
Workforce Planning					
Sickness Absence					
Equalities					
Information Management (including E-Government)					
<b>Project Management</b>					
<b>x</b>					
<ul style="list-style-type: none"> <li>Failure to resource properly the production of the LDP.</li> <li>No adherence to the LDP timetable</li> </ul>					
<b>Financial Management</b>					
<b>x</b>					
<ul style="list-style-type: none"> <li>Cost of Plan production exceeds budget available.</li> </ul>					
Communication					
<b>Risk Scoring</b>					
<b>Impact (1=Low 4=Catastrophic)</b>	<b>Likelihood (1=Unlikely 4=Almost Certain)</b>	<b>Total Risk Score</b>	<b>Priority Level (use the risk matrix)</b>	<b>Direction of travel</b>	<b>Forecast direction of travel</b>
3	2	6	<b>Medium</b>		
<b>Current Controls to manage risk</b>					
<b>Risk Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>		<b>Source document/Status</b>	
	LDP Delivery Timetable	<b>Project Management</b> – Adherence to the published timetable		Ongoing action <a href="http://www.valeofglamorgan.gov.uk/Documents/Living/Planning/Policy/LDP/LDP-Delivery-Agreement-June-2013.pdf">http://www.valeofglamorgan.gov.uk/Documents/Living/Planning/Policy/LDP/LDP-Delivery-Agreement-June-2013.pdf</a>	
	Maintain Staffing Levels within the LDP Team	<b>Project Management</b> – Ensure budget is available to maintain full LDP team i.e. 6 FTE		Ongoing action Planning and Transportation Policy Staffing	

			Structure
	Maintain LDP Budget	<b>Financial Management</b> – Budget remains at or is higher than 2013/14 level for 2014/15 and 2015/16	LDP Budget 12/13 to 15/16
	New timetable for the LDP agreed with Welsh Government.	<b>Project Management-</b> LDP to be submitted to Welsh Government for independent examination in April/May 2015 subject to Cabinet and Council agreement.	Completed action
	Keep abreast of Planning and related Policy developments, monitor emerging legislation/guidance and respond early to changes where this is possible	<b>Sustainability, Project Management</b> – Additional requirements arising from new legislation or national guidance	Ongoing action
	Regular liaison with statutory bodies before LDP considered by Cabinet to ensure that the views of statutory bodies are sought and considered as early as possible	<b>Sustainability, Project Management</b> – Significant Objections from Statutory Consultation Bodies	Ongoing action
	Regular Informal Cabinet Briefings.  Political Briefings for LDP in advance of LDP being presented to Cabinet and Committee	<b>Sustainability, Project Management</b> – Delay caused by scheduling and decisions by Council, Planning and Scrutiny Meeting	<a href="http://www.valeofglamorgan.gov.uk/Documents/Living/Planning/Policy/LDP/LDP-Delivery-">http://www.valeofglamorgan.gov.uk/Documents/Living/Planning/Policy/LDP/LDP-Delivery-</a>  Completed action
	Ensure regulations and procedures are complied with and advise members of risks of challenge	<b>Sustainability, Project Management, Financial Management</b> – Legal Challenge	LDP Regulations  Completed action
	Recruitment of a temporary full time Senior Planner.	<b>Workforce Planning-</b> Appointment of a temporary Senior Planner to enable the Council to meet its revised timetable.	Completed action
<b>Countermeasure(s) to improve/mitigate the risk</b>			

Risk Action Ref.	Description	Risk Managed (by theme)	Responsibility	Timescales for completion	Source document
	Ensure LDP is sound and founded on a robust evidence base with sustainability appraisal and well audited community and stakeholder engagement	<b>Sustainability</b> – LDP fails the test of soundness	Operational Manager, Development Services (ER)	Summer 2016	LDP Regulations and Guidance. Inspectors Report
DS/A078 (CP/R15)	Produce a sound Local Development Plan as a framework to shape and promote beneficial, appropriate and sustainable growth in the Vale.	<b>Sustainability</b> – LDP fails the test of soundness	Operational Manager, Development Services (ER)	March 2016	Development Services Service Plan 2015/19 and Corporate Plan Priority R15

**Status Report (For Corporate Risk Management Group use only)**

Date	Commentary
12/9/2013	<p>Delivery Agreement for the Vale of Glamorgan LDP was approved in June 2013 and provides a realistic delivery timetable. The production of the LDP has progressed and is due to be presented to Cabinet on 7<sup>th</sup> October 2013, various Committees in October with it being finally considered by full Council on 23<sup>rd</sup> October 2013. The Deposit Consultation is then due to take place from 8<sup>th</sup> November 2013 to 20<sup>th</sup> December 2013. Updates on the Plan's progress can be found at <a href="http://www.valeofglamorgan.gov.uk/en/living/planning_and_building_control/planning_policy/local_development_plan/local_development_plan.aspx">http://www.valeofglamorgan.gov.uk/en/living/planning_and_building_control/planning_policy/local_development_plan/local_development_plan.aspx</a></p> <p>Risk themes expanded upon, countermeasures and controls categorised by theme.</p> <p>Sixth counter measure deleted (against risk that the timetable proves to ambitious) as a realistic timetable has now been agreed.</p>
12/07/13	<p>Risk Audit Report – changes made to template since last update:</p> <ul style="list-style-type: none"> <li>• New rows added under selected themes for details of specific risks to be added</li> </ul>

	<ul style="list-style-type: none"> <li>• New column added under both controls and countermeasures to detail the risk managed, by theme.</li> </ul>
28/10/10	<p>Risk description has been updated with timetable changes/revisions. Risk status has remained unchanged.</p> <p>Revised Delivery Agreement was agreed by WG in May 2014 following the Deposit LDP Public Consultation (as required under WG Guidance). This identifies the LDP being Submitted to Welsh Government for independent Examination in April / May 2015. This will be subject to Cabinet and Council agreement. The LDP Examination in Public is then anticipated to commence from August 2015. Full details can be found at <a href="http://www.valeofglamorgan.gov.uk/ldp">www.valeofglamorgan.gov.uk/ldp</a></p> <p>New current control added on the agreement of the new timetable with Welsh Government.</p> <p>New counter measure added for the recruitment of a temporary senior planner.</p>
17/03/15	There have been no changes/developments associated with this risk.
29/05/15	<p>There have been no changes/developments associated with this risk.</p> <p>Updated current controls and counter measures. Relevant Service Plan action updated in counter measures section .</p>

## Risk 11: School Improvement (Joint Education Service)

Risk Description	<b>Failure to deliver statutory School Improvement Functions</b>
<p>The School Standards and Organisation Act (Jan 2013) places a duty on local Authorities to intervene when a school fails to secure acceptable standards of education for pupils.</p> <p>Accountability for school performance and the quality of education rests with the local Authority (LA).</p> <p>However, the local Authority commissions statutory school improvement services from the Central South Consortium Joint Education Service (JES). The Council holds the JES to account for the quality of service it delivers to its schools.</p> <p>Risk therefore lies in the ability of the JES to effectively deliver the quality of service our schools require in order to improve standards. Elements of risk may be further sub-divided as outlined below.</p> <p>Risk will be inherent in the extent to which the JES is able to effectively:</p> <ul style="list-style-type: none"><li>• exert sufficient, professional challenge to the leadership of the school in order for it to improve further;</li><li>• categorise the school as being at risk to the Council and/or failure to deliver;</li><li>• correctly diagnose specific 'Areas of Need' and devise 'Statements for Action' which clearly set out what has to be done to improve the school;</li><li>• work with the school to set appropriate improvement targets, which are aligned with Model predictions of future performance and based on prior attainment of individual pupils;</li><li>• evaluate whether or not the school is on track to achieve its goals within specified timescales;</li><li>• arrive at judgements about the quality of the school's leadership and management, including that of Governors;</li><li>• arrive at judgements about the quality of provision in the school, as well as the quality of teaching and learning;</li><li>• arrive at judgements about the appropriateness of standards when the school is compared with similar schools;</li><li>• interpret a range of data at school, year group and pupil level, in order to arrive at judgements aforementioned;</li><li>• apply, broker and coordinate an appropriate level of intervention and support which is targeted and timely;</li><li>• monitor progress and provide reports which help the school improve whilst keeping the LA up-to-date and informed of progress, or otherwise;</li><li>• improve a school placed in an Estyn follow-up category, within required timescales;</li><li>• support the school prior, during and after Estyn inspection;</li><li>• work with school Governors to administer Headteacher Performance Management arrangements to secure improvement in standards and wellbeing for all pupils;</li></ul>	

<ul style="list-style-type: none"> <li>arrive at judgements about the rate of progress and the extent to which it informs the LA of emerging concerns and issues that could impede progress;</li> <li>supports and evaluates the quality of the work of Newly Qualified Teachers (NQTs) in the school;</li> <li>provides strategic leadership for the roll out of the National Literacy and Numeracy Frameworks;</li> <li>works with the LA to implement commissioned targeted support to identified schools;</li> <li>supports and develops the Welsh language, 1<sup>st</sup> and 2<sup>nd</sup>;</li> <li>works with the LA to ensure accountability, Governance and joint scrutiny functions operate effectively;</li> <li>works with the LA to provide advice and guidance on the appointment of all Headteachers in all our schools; and</li> <li>provides strategic direction and operational support to key areas of work i.e. the Foundation Phase, Literacy and Numeracy, Assessment, Leadership development, Welsh Language development, Poverty, Basic Skills, ICT as a teaching tool, achievement of vulnerable groups.</li> </ul>	
<b>Risk Owner</b>	Head of School Improvement and Inclusion
<b>Risk themes</b>	
	Mark one or more themes with an X
<b>Business Continuity:</b>	<b>X</b>
<ul style="list-style-type: none"> <li>Partner LA funding contributions becomes unpredictable, or decreases, due to other Council fiscal pressures. Grant funding is reduced, limiting range and quality of service delivery. Statutory functions are significantly compromised.</li> </ul>	
<b>Collaboration</b>	<b>X</b>
<ul style="list-style-type: none"> <li>Partner LAs may remove themselves from the Consortium arrangement or are forced to leave due to mergers of local authorities, putting increased financial pressure on remaining LAs. Relationships between LAs and the JES breakdown, impacting on communication and quality of conjoined support programmes.</li> </ul>	
<b>Sustainability (including Social Inclusion)</b>	<b>X</b>
<ul style="list-style-type: none"> <li>There is a risk that schools increasingly withdraw from school-based, community initiated activity as demand for increased standards place greater workload pressures on teaching and support staff.</li> </ul>	
Health and Safety	
<b>Workforce Planning</b>	<b>X</b>
<ul style="list-style-type: none"> <li>The role of a Challenge Adviser demands that it is fulfilled by individuals with a highly developed set of skills. Their professionalism, relevant experience and skill set provides them with the credibility essential for the challenge and subsequent improvement of schools. The continual professional development of existing challenge advisors and effective succession planning for/recruitment to new posts is key to ensuring quality.</li> </ul>	
<b>Sickness Absence – due to work related stress</b>	<b>X</b>

<ul style="list-style-type: none"> <li>The role of Challenge Advisor is potentially stressful, especially when their work is focussed on those schools that need to make the most significant improvement. Their workload needs to be carefully managed and closely monitored.</li> </ul>					
Equalities					
<b>Information Management (including E-Government)</b>					<b>X</b>
<ul style="list-style-type: none"> <li>High risk associated with breakdown of e communication; e mail, internet research, access to school performance data, e mail access to schools, access to JES Portal (which is the JES interface with schools). This could significantly impact on daily functioning, preparing schools for inspection, responding to Estyn requests etc.</li> <li>Challenge Advisers must have the most up-to-date information from Welsh Government regarding guidance, policy and strategy etc.</li> <li>Challenge advisors are based in Ty Dysgu and work in a number of schools. Communication via email is the norm. In addition, to perform their role properly, CAs require access to a range of performance information on schools contained in a number of different databases. Therefore for effective communication and thorough assessment of school performance, there is great reliability upon information management.</li> </ul>					
<b>Project Management</b>					<b>X</b>
<ul style="list-style-type: none"> <li>High risk associated with weak project management and commissioning business processes. This is not a new area for joint school improvement arrangements but the increased focus on school to school working provides new challenge and associated risk, not least the need to ensure that impact is thoroughly evaluated and accountability is clear.</li> <li>All 5 partner LAs are in Estyn follow up or have recently been removed from Estyn monitoring as a result of their LAESCYP inspections. This aspect presents as a potentially high risk area.</li> </ul>					
<b>Financial Management</b>					<b>X</b>
<ul style="list-style-type: none"> <li>High levels of inherent risk in this aspect is closely aligned with risk associated with weak project management and business processes; consortium grant funding alone amounts to in excess of £20 million (SEG/WEG/PDG), coupled with LA contributions (approx £6 million), and contingency budget (approx £600K). Strong financial management coupled with robust project management, underpinned by thorough impact evaluation processes, should secure demonstrable improvements in standards. However, there are clearly and potentially, high levels of risk associated with this aspect which will need to be mitigated through strong, transparent Governance, accountability and scrutiny frameworks, coupled with robust oversight by 151 officers.</li> </ul>					
Communication					
Reputation					
Customer Relations					
<b>Risk Scoring</b>					
<b>Impact (1=Low 4=Catastrophic)</b>	<b>Likelihood (1=Unlikely 4=Almost Certain)</b>	<b>Total Risk Score</b>	<b>Priority Level (use the risk matrix)</b>	<b>Direction of travel</b>	<b>Forecast direction of travel</b>

2	3	6	Medium		
<b>Current Controls to manage risk</b>					
Risk Ref.	Description	Risk Managed (by theme)		Status/ source document	
SI/A169	School Effectiveness Framework implemented and schools involved in Professional Learning Communities.	<b>Project Management:</b> Arrangements for monitoring improvement processes in place. <b>Collaboration:</b> Establishing national frameworks – consistent approach to school improvement		Completed action: Learning and Skills Service Plan 2012/13	
SI/A174	Introduced consortium based data pack for schools and system leaders.	<b>Information Management/Business Continuity:</b> Data pack is used to support high levels of challenge in all settings to improve pupil outcomes, quality and wellbeing.		Completed action: Learning and Skills Service Plan 2012/13	
	Targeted support team in place to support the Challenge Advisers in supporting Schools.	<b>Business Continuity:</b> Targeted support team in place to provide support to schools.		Completed action: Learning and Skills Service Plan	
SI/A154	Developed cross-provider systems for quality assurance.	<b>Project Management:</b> Processes in place to ensure the effectiveness of the JES  <b>Collaboration:</b> Ensured consistent approach.		Completed action: Learning and Skills Service Plan 2012/13	
SI/A184	Database implemented for all school improvement planning documentation: PIAP, SERs, SDPs, SIPs, Action Plans, Inspection Reports.	<b>Information Management:</b> Ensuring effective communication and use of data  <b>Business Continuity:</b> Supporting the work of System Leaders to deliver improvements.		Completed action: Learning and Skills Service Plan 2012/13	
	Consortium has put in place strengthened governance and leadership arrangements.	<b>Workforce Planning-</b> Appointment of a Managing Director to lead the consortium.			

	Business plan for 2014/15 includes a Vale- specific annex.	<b>Collaboration-</b> Annex outlines specific priorities of JES.	CSC Business Plan
	Chairing of a joint committee	<b>Collaboration-</b> Cabinet Member for Children's Services chairs the joint committee.	
	Established a quality assurance protocol.	<b>Project Management-</b> Established a quality assurance protocol to secure quality of work of Challenge Advisors with Vale Schools. (This role replaces the former system leaders).	
	Lifelong Learning Committee holds annual meeting for JES.	<b>Project Management-</b> The LLL committee holds consortium officers to account through an annual meeting.	Minutes
	Termly review and challenge events.	<b>Project Management-</b> WG co-ordinated review and challenge events to monitor the progress of the consortium.	Agendas and minutes
LS02/A010 (CP/LS8)  Links to Estyn/P1	Work with other local authorities to devise a performance management framework and implement joint scrutiny of the Joint Education Service.  P1: The Council should establish and refine a performance management regime which will formally and systematically test the extent to which the JES is providing a service that delivers to its expectations.	<b>Project Management:</b> Countermeasure designed to ensure that performance management arrangements are sound so that effective monitoring of the JES can be achieved.	Completed Action: Learning and Skills Service Plan 2013/14  Estyn Review of Governance Arrangements of the Joint Education Service (June 2013).
PIAP 5.6	Monitor and evaluate outcomes against the JES performance framework and brief Vale of Glamorgan Joint Scrutiny Committee members appropriately. Termly meetings held with	<b>Project Management/Financial Management:</b>  Countermeasure designed to ensure that the value of services received justifies the fixed contribution to the JES.	Completed Action: Estyn Post Inspection Action Plan 2013

	CSC involving Director of Learning and Skills and Head of School Improvement and Inclusion. Managing Director of CSC attends Scrutiny as required.		
PIAP 2.1	Categorisation model for schools has been launched based on a consistent evaluation of the standards, provision and leadership of schools i.e. the Support and Challenge framework.	<b>Business Continuity:</b> Countermeasure designed to ensure that schools are appropriately categorised, targeted and supported to improve, through the effective implementation of the revised Support and Challenge Framework of the JES.	Completed Action: Learning and Skills Service Plan 2014/15 and will be developed further in 2015/19 Service Plan.
P2 WAO (June 2013) Estyn/P2	Risk assessment of the impact of the JES is in place and CSC has developed own risk assessment that are monitored and updated on a regular basis.  P2: The Council should undertake a risk assessment of the impact of the JES and update it on a regular basis. It should include any high scoring strategic risks in its corporate risk register. The Education and Skills Directorate should regularly and formally monitor and manage the remainder.	This action relates to the management of all risk themes.	Completed Action: Risk Register and CSC Risk Assessment  Estyn Review of Governance Arrangements of the Joint Education Service (June 2013).
	Finalise the revised legal statement.	<b>Financial Management-</b> The financial position of the consortium remains sound.	Completed Action
WAO/Estyn/R1	To clarify the nature and operation of consortia: Local authorities should clarify whether consortia services are jointly provided or are commissioned services (services provided under a joint committee	This action relates to the management of all risk themes.	Completed action  WAO/Estyn Reviews of Regional Consortia (June 2015)

	arrangements are jointly provided services and are not commissioned services).		
WAO/Estyn/ R4	To build effective leadership and attract top talent: Local authorities should collaborate to support the professional development of senior leaders and to ensure appropriate performance management arrangements are in place for senior leaders.	<b>Business continuity/Workforce-</b> This counter measures will ensure that the Council strong and sustainable leadership in the future to respond to change whilst continuing to deliver high quality services.	Ongoing WAO/Estyn Reviews of Regional Consortia (June 2015)
WAO/Estyn/ R5	To improve the effectiveness of governance and management of regional consortia.	<b>Collaboration:</b> Governance and performance and financial processes are in place to ensure the effectiveness of the JES	Ongoing WAO/Estyn Review of Regional Consortia (June 2015)
WAO/Estyn/ R6	Support their regional consortium to develop medium-term business plans and ensure that all plans take account of the needs of their local schools.	<b>Financial Management/Project Management-</b> This countermeasure will enable us to ensure that effectively planning is in place and represents value for money whilst meeting the needs of the local schools.	Ongoing WAO/Estyn Review of Regional Consortia (June 2015)
WAO/Estyn/ R7 Estyn/P3	Develop formal working arrangements between scrutiny committees in their consortium in order to scrutinise the work and impact of their regional consortium  P3: The Council should ensure that there is sufficient investment in the development of the scrutiny function (in the Council and within the collaborative structure), including regular reviews of its success and challenges, as it becomes a feature of the performance management regime.	<b>Collaboration-</b> This counter measures will ensure that effective challenge and accountability measures are put in place for the Consortia.	Ongoing WAO/Estyn Review of Regional Consortia (June 2015)  Estyn Review of Governance Arrangements of the Joint Education Service (June 2013).

Countermeasure(s) to improve/mitigate the risk					
Risk Action Ref.	Description	Risk Managed (by theme)	Responsibility	Timescales for completion	Source document
LS/A19 2 (Estyn R1/R2)	Work with the CSC to develop a regional approach to improved moderation of statutory teacher assessment at the end of Key Stages and implement external verification.	<b>Business Continuity:</b> Ensuring the effective delivery of the School Improvement function. <b>Workforce Planning:</b> Developing the role of System Leaders to prevent disengagement.	Head of School Improvement and Inclusion (Mike Glavin)	March 2015	Learning and Skills Service Plan 2015/19
LS/A20 2 (LSA16 1, LS/A05 6) (Estyn R1)	Track the performance of groups of learners and where necessary adjust the provision to improve attainment. Groups to include: +1 learner, LAC, FSM and pupils within the youth justice/known to the Youth Offending Service	<b>Information Management:</b> Ensuring data is used effectively. <b>Business Continuity:</b> Ensuring quality of service delivery.	Head of School Improvement and Inclusion (Mike Glavin)	May 2015	Learning and Skills Service Plan 2015/19
	Establish arrangements for managing the impact of any grant cuts.	<b>Financial Management/Business Continuity/Sustainability-</b> Arrangements are currently being put in place in order to make prompt decision on how best to	Head of School Improvement and Inclusion (Mike Glavin)	March 2016	

		respond/manage the impact of any grant cuts.			
LS/A19 4	Work with the Central South Consortium Joint Education Service to develop highly effective regional HR policies and practice and Governor Support Services that support Governors in holding schools to account. Implement national model for regional working, including transfer of specialist HR, Governor Support and 14-19 functions.	<b>Workforce Planning-</b> A range of regional HR policies and procedures are developed and implemented effectively. <b>Sustainability-</b> New structure is developed to ensure a regional approach to supporting and developing Governors to fulfil all aspects of their role.	Head of School Improvement and Inclusion (Mike Glavin)	January 2016	Learning and Skills Service Plan 2015/19
Estyn/P4	P4: The Council should consider how the value of the service can be increased during the period of the contract, to justify the fixed contribution to the service.	<b>Business Continuity/Financial Management:</b> Ensuring best value and effective delivery of the School Improvement function.	Head of School Improvement and Inclusion (Mike Glavin)	Ongoing	Estyn Review of Governance Arrangements of the Joint Education Service (June 2013).

**Status Report (For Corporate Risk Management Group use only)**

Date	Commentary
28/10/2014	<p>Likelihood of risk has reduced (to 2), but impact has increased (to 3) maintaining an overall risk of medium (6). Updated the risk with new current controls:</p> <ul style="list-style-type: none"> <li>• Consortium has put in place strengthened governance and leadership arrangements.</li> <li>• Business plan for 2014/15 includes a Vale- specific annex.</li> <li>• Chairing of a joint committee</li> <li>• Established a quality assurance protocol.</li> <li>• LLL committee annual JES meeting</li> </ul>

	<ul style="list-style-type: none"> <li>• Termly review and challenge events.</li> </ul> <p>Updated the risk with two new counter measures:</p> <ul style="list-style-type: none"> <li>• Finalising the legal statement</li> <li>• Putting in place arrangements for responding to grant cuts.</li> </ul>
29/05/15	<p>Revised and updated commentary on risk themes relating to collaboration, workforce planning, sickness absence, information management and project management.</p> <p>Moved 4 counter measures into current controls section of the risk template to reflect that these counter measures have now been embedded as actions. These were in relation to undertaking a risk assessment, launching a categorisation model, monitoring and evaluating outcomes against the JES performance framework and working with other local authorities to devise a performance management framework.</p> <p>In terms of counter measures the existing ones have been revised to reflect the content of the new 2015/16 Service Plan.</p>

## Risk 12: Safeguarding

<b>Risk Description</b>	<b>That our Corporate Safeguarding procedures are insufficient, not followed or are ineffective.</b>	
<p>The Council has produced and 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 vulnerable children, young people and adults 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 vulnerable people. The Council also has a responsibility to comply with the All-Wales Child Protection procedures and the All Wales Protection of Vulnerable Adults Procedures and their associated protocols.</p> <p>The Provider Performance Protocol provides a framework for escalating concerns about safeguarding issues and the impact on vulnerable people arising within care homes and other relevant commissioned services.</p> <p>Should these procedures not be followed there could a risk of injury or harm to individuals. Injury or harm could lead to financial loss to the council in terms of compensation claims and reputational damage to the council, leading to a loss of public confidence in key services. The likelihood of this risk occurring increases if policies and procedures are not frequently reviewed and updated, or if complicity with these policies is not fully mainstreamed across the council.</p>		
<b>Risk Owner</b>	Phil Evans	
<b>Risk themes</b>		
		Mark one or more themes with an X
<b>Business Continuity</b>		
<ul style="list-style-type: none"> <li>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</li> </ul>		<b>X</b>
Collaboration		
Sustainability (including Social Inclusion)		
<b>Health and Safety</b>		
<ul style="list-style-type: none"> <li>Potential harm or injury to individuals</li> </ul>		<b>X</b>
<b>Workforce Planning</b>		
<ul style="list-style-type: none"> <li>Potential risk that recruiting managers aren't sufficiently trained in using the relevant</li> </ul>		<b>X</b>

Safeguarding Procedures leading to procedures being inconsistently applied or breached					
<b>Sickness Absence</b>					
<b>Equalities</b>			<b>X</b>		
<ul style="list-style-type: none"> <li>• People considered unsuitable to be working with vulnerable groups will Issues be managed in line with the current legislation</li> <li>• Potential risk of harm to vulnerable people</li> </ul>					
<b>Information Management (including E-Government)</b>			<b>X</b>		
<ul style="list-style-type: none"> <li>• Data protection issues – information on DBS checks should not be shared more widely than on a need-to-know basis</li> <li>• Cross-departmental and organisational information sharing – there is a risk that concerns are not reported to the right people at the right time because of lack understanding about what information can be shared for the purpose of safeguarding</li> </ul>					
Project Management					
<b>Financial Management</b>			<b>X</b>		
<ul style="list-style-type: none"> <li>• Should an incident occur, there is a risk that the council would be liable to pay compensation for failure to comply with legislation and national procedures or if we had not done what we reasonably could as an organisation</li> </ul>					
Communication					
<b>Reputation</b>			<b>X</b>		
<ul style="list-style-type: none"> <li>• Reputational damage to Council following harm or injury to a person</li> <li>• Potential for media coverage which damage public confidence in Council services</li> </ul>					
Customer Relations					
<b>Risk Scoring</b>					
<b>Impact</b> (1=Low 4=Catastrophic)	<b>Likelihood</b> (1=Unlikely 4=Almost Certain)	<b>Total Risk Score</b>	<b>Priority Level (use the risk matrix)</b>	<b>Direction of travel</b>	<b>Forecast direction of travel</b>
4	1	4	<b>Medium</b>		
<b>Current Controls to manage risk</b>					
<b>Risk Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>		<b>Source document/Status</b>	
	Safer Recruitment Policy is in place to ensure safeguarding checks are carried out on staff working with the public and vulnerable people	<b>Workforce Planning</b> -This action helps us to ensure that all relevant staff are aware of their responsibilities in terms of safer recruitment and how to apply the policy.		<a href="#">Safer Recruitment Policy</a>	

	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.	<b>Information management and Workforce Planning</b> - Council divisions to ensure employees know where and how to access the procedure and report concerns about vulnerable people	<a href="#">Referral of safeguarding concerns</a>
	The All Wales Procedures and associated Protocols are embedded in Social Services and are reviewed and updated nationally.	<b>Sustainability</b> -National review and local implementation processes via the LSCB are in place.	All Wales Child Protection Procedures, All Wales Adult Protection Procedures and associated Protocols, <a href="#">Further local, regional and all-wales protocols</a>
	Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable people	<b>Workforce planning</b> - Use of Supervision is audited 6 monthly in Social Services	Staff Supervision Policy
	Provider Performance Protocol is embedded within BMI and implemented when required	<b>Health and Safety/ Customer Relations and Reputation/Business Continuity</b> - Having a Performance Protocol in place helps to manage any external risk from commissioned partners and effectively manage customer relations/reputation.	
	Mandatory safeguarding training in place for relevant staff; LSCB training; safer recruitment training given through mandatory recruitment and selection course; e-learning module in relation to safeguarding	<b>Workforce Planning</b> - all relevant staff are aware of their responsibilities in terms of safeguarding	Training courses

	children		
	Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy.	<b>Workforce Planning</b> - all relevant staff are aware of their responsibilities in terms of safeguarding	Safer Recruitment Policy
	Review provider performance procedures in relation to the managing of commissioned services.	<b>Health and Safety/ Customer Relations and Reputation/Business Continuity</b> - Having robust performance procedures in place helps to manage any external risk from commissioned partners and effectively manage customer relations/reputation.	Ongoing action Provider Performance Protocol
	Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely and appropriate action.	All themes	Ongoing action Social Services Service Plan 2014/2018
	Work with the LSCB, the council's safeguarding steering group and schools to deliver our safeguarding responsibilities, obtain the views of children and vulnerable adults/their families and implement protocols in respect of neglect and child sexual exploitation.	All themes	Ongoing action Social Services Service Plan 2014/2018
	Contribute to the national ongoing, cyclical review of the All Wales Child Protection procedures.	All themes	Ongoing action All Wales Child Protection Procedures.
	Attend meetings of the All Wales Safeguarding Management Group and contribute to national	All themes	Ongoing action All Wales Safeguarding

	developments.		Management Group.
	Build and develop on the regional LSCB model.	All themes	Completed action Business Planning Group continues to oversee the work plan.
	Complete the work to establish on Adult Safeguarding Board for the Vale of Glamorgan and Cardiff.	All themes	Completed action. Board has been established and is operational
	Build on the work of the Corporate Safeguarding Group – continuing the calendar of meetings, managing any issues and sharing information	All themes	Completed action. Work is ongoing
WAO/R1	<p>Improve corporate leadership and comply with Welsh Government policy on safeguarding through:</p> <ul style="list-style-type: none"> <li>- the appointment of a senior lead officer who is accountable for safeguarding and protecting children and young people with corporate responsibilities for planning improvements;</li> <li>- the appointment of a lead member for safeguarding; and regularly disseminating and updating information on these appointments to all staff and stakeholders.</li> </ul>	All themes	<p>Ongoing</p> <p>WAO recommendations on national study to be reported to the Corporate Safeguarding Group in September 2015.</p> <p>Vale specific recommendations arising from the above report (November 2014) are already being addressed via the Corporate Safeguarding Working Group.</p> <p>Overview of safeguarding activity across the Council last reported to Cabinet on 7/9/2015.</p> <p>Safeguarding Report</p>

			(July 2015)
WAO/R2 see also WAO/P2	Ensure there is a corporate-wide policy on safeguarding covering all council services to provide a clear strategic direction and clear lines of accountability across the council.	All themes	Ongoing  Overview of safeguarding activity across the Council last reported to Cabinet on 7/9/2015.  Safeguarding Report  (July 2015)  Review of Local arrangements to support safeguarding of children (November 2014).
WAO/R3	Strengthen safe recruitment of staff and volunteers by: ensuring that Disclosure and Barring Service (DBS) checks and compliance with safe recruitment policies cover all services that come into contact with children; creating an integrated corporate compliance system to record and monitor compliance levels on DBS checks; and requiring safe recruitment practices amongst partners in the third sector and for volunteers who provide services commissioned and/or used by the council which are underpinned by a contract or service level agreement.	All themes	Ongoing  Revised Safer recruitment policy agreed by Cabinet January 2013 and implemented council wide in April 2014.  Safeguarding Report (July 2015)
WAO/R4	Ensure all relevant staff, members and partners understand their safeguarding responsibilities by: ensuring safeguarding training is mandated and coverage extended to all relevant council service areas, and is included as standard on induction programmes; creating a corporate-wide system to	All themes	Ongoing  Overview of safeguarding activity across the Council last reported to Cabinet on 7/9/2015.  Safeguarding Report (July 2015)

	identify, track and monitor compliance on attending safeguarding training in all council departments, elected members, schools, governors and volunteers; and requiring relevant staff in partner organisations who are commissioned to work for the council in delivering services to children and young people to undertake safeguarding training.		
WAO/P1	Ensure that the role and responsibilities of the LADO are clarified and understood across the Council.	All themes	Ongoing Review of Local arrangements to support safeguarding of children (November 2014).
WAO/P3	Ensure 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.	All themes	Ongoing Review of Local arrangements to support safeguarding of children (November 2014).

**Countermeasure(s) to improve/mitigate the risk**

<b>Risk Action Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>	<b>Responsibility</b>	<b>Timescales for completion</b>	<b>Source document</b>
	Review Adult Safeguarding and Protection arrangements in line with the predicted legislative changes arising from the Social Services and Wellbeing (Wales) Bill	All themes	Carys Lord/OM	By March 2016	Links to the Social Services and Wellbeing (Wales) Act
	Continue to	All themes	All HOS	By March	Social

	develop the programme for the Regional Adults and Children's Safeguarding Boards.			2016	Services and Wellbeing (Wales) Act 2014 Implementation Action Plan
	Develop the guidance for staff working with vulnerable adults to support the implementation of new adult protection powers, ensuring that those in greatest need receive 'protection' and those requiring lower level support are appropriately signposted to other services.	All themes	Head of Adult Services (Lance Carver)	September 2015	Social Services and Wellbeing (Wales) Act 2014 Implementation Action Plan
SS/A072	Contribute to implementing the LSCB Integration Programme as it relates to agreed priorities regarding children with disabilities, CAMHS provision and models for entry into Children and Young People Services.	Sustainability- The LSCB works effectively with its partners to ensure integrated approaches to service delivery.	Rachel Evans	March 2016	Social Services Service Plan 2015/19
	Safeguarding and Wellbeing Officer to undertake a refresh of training that is provided to	All themes	Mike Glavin	March 2015	Team Plan

	Schools. Training to be rolled out to Senior Designated Person and the Deputy Designated Person to ensure there is awareness and understanding of safeguarding policies and related issues.				
	Provide support to Schools to complete a Safeguarding Self Evaluation Report. These reports will be monitored by officers and support provided to schools with identified development needs.	All themes	Mike Glavin	March 2015	Team Plan
	Produce a Corporate Safeguarding Policy and Procedure.	All themes	Director of Social Services (Phil Evans)	June 2015	Links to CSSIW National Inspection of Safeguarding and Care Planning August 2014

**Status Report (For Corporate Risk Management Group use only)**

Date	Commentary
28/10/14	Risk template completed for new safeguarding risk. CRMG to review risk template at next meeting.
17/03/15	Risk template updated with a current controls and counter measures for Education.

29/05/15	Risk score has remained static. Updated counter measures section to include link to actions in the 2015/19 Service Plan and linkages to the Social Services Wellbeing (Wales) Act 2014 Implementation Action Plan.
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## Risk 13: Integrated Health and Social Care

<b>Risk Description</b>	Integrated Health and Social Care	
<p>Adult Services are becoming increasingly integrated with health services in order to provide service users and patients with seamless care arrangements.</p> <p>This has the potential to disrupt existing staffing arrangements as new integrated structures and processes are developed. Financial scrutiny will be required to ensure that any risks associated with potential pooled funding are properly considered.</p> <p>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.</p> <p>The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&amp;V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by ABMU. Integration with C&amp;V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services.</p>		
<b>Risk Owner</b>	Lance Carver	
<b>Risk themes</b>		
	Mark one or more themes with an X	
<b>Business Continuity</b>	<b>X</b>	
<p>It is expected that integrated working will achieve greater resilience and improve business continuity overall. However changes to delivery models require business continuity considerations to ensure that individuals continue to receive and are able to access services while changes are made.</p>		
<b>Collaboration</b>	<b>X</b>	
<p>The capacity of key partners to work effectively together will impact on the ability for us to integrate health and social care services across the region. Effective governance structures need to be in place to ensure transparency and accountability in decision making and that a consensual approach to integrating health and social care services is adopted.</p>		

<b>Sustainability (including Social Inclusion)</b>	<b>X</b>
It is anticipated that creating new models of integrated care and support will enhance the sustainability of these services into the longer term. However, changes will need to be effectively planned, communicated and costed to ensure that these new ways of working do not have the opposite effective and compromise the longevity of the service and its quality and delivery.	
Health and Safety	
<b>Workforce Planning</b>	<b>X</b>
Staff need to be able to work across organisations effectively and with ease. Areas of responsibility will change.	
Sickness Absence	
Equalities	<b>X</b>
There is the risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics, although it is hoped and expected that integration will bring about positive impacts . There will be the need to ensure that any new ways of working are impact assessed to ensure they do not disadvantage anyone in this way.	
<b>Information Management (including E-Government)</b>	<b>X</b>
<p>The fragility of the existing IT network could cause issues with the service such as resulting in delayed transfers of care from hospital and cause services to relocate staff who can't access the system. Separate IT systems between health and social care are not sustainable. While Information sharing protocols are in place, the infrastructure to share information electronically with ease is not. This creates problems managing the work of integrated services and does not alleviate the potential risks to individuals as a result of information not being shared between agencies.</p> <p>There are plans to develop a Wales wide IT system for health and social care and difficulties regarding the IT system have been raised with appropriate departments.</p>	
Project Management	
<b>Financial Management</b>	<b>X</b>
The funding arrangements for care can create disagreements about whether funding responsibility sits with health or social care depending on an individual's needs. The partner organisations need to ensure that they are appropriately and proportionately funding care arrangements in line with legal frameworks. Integrated care arrangements require more integrated funding arrangements in order to be efficient. Financial scrutiny will be required to ensure that any risks associated with potential pooled funding are properly considered	
<b>Communication</b>	<b>X</b>
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 and take up of	

some services by service users. Implementation of new integrated models of service delivery need to be effectively communicated at all levels to ensure that staff and service users have a clear understanding of what these changes are and expectations are effectively managed.					
Reputation					
<b>Customer Relations</b>			<b>X</b>		
The integrated model which has been developed has at its centre a Customer Contact Centre provided by the Vale. There is the risk that if the Contact Centre is not adequately resourced in terms of support to deliver the new health and social care functions that this could lead to repeated build-up of queues/waiting times. This has the potential to undermine the integrated working arrangements with the health board and negatively impact on service user satisfaction.					
<b>Risk Scoring</b>					
<b>Impact</b> (1=Low 4=Catastrophic )	<b>Likelihood</b> (1=Unlikely 4=Almost Certain)	<b>Total Risk Score</b>	<b>Priority Level</b> (use the risk matrix)	<b>Direction of travel</b>	<b>Forecast Direction of Travel</b>
3	2	6	Medium	↔	↔
<b>Current Controls to manage risk</b>					
<b>Risk Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>		<b>Source document</b>	
	Information Sharing Protocols developed and operational.	<b>Information Management-</b> This countermeasure ensures that processes/arrangements are in place to enable the sharing of information between relevant agencies.  <b>Health and Safety-</b> Appropriate Information Sharing Protocols helps us to better understand and respond to the needs of vulnerable adults.		Completed action	
	Financial authorisation process and management of disputes with UHB	<b>Financial Management-</b> Ensures that budgets are effectively controlled and funding is spent appropriately and proportionately by the right agency. Legal advice		Ongoing action	

		is sought appropriately	
	Customer relation support to health and social care Contact Centre arrangements	<p><b>Workforce Planning</b>-To ensure that Customer Service Representatives have access to appropriate level of training and resources to support them in their role.</p> <p><b>Customer relations</b>- Appropriate resources for the Contact Centre will minimise waiting times/queues and improve customer satisfaction with the service they have received.</p> <p><b>Customer relations</b> – Weekly reporting made available to ensure response times can be monitored.</p>	Ongoing action
	Integration of Health and Social Care is considered at all levels of the organisation through the leadership group and the strategic implementation group. Arrangements are reviewed through regular reports to Scrutiny Committee (SC&H)	<p><b>Collaboration</b>- Working in partnership with the Health Board will enable us to deliver more seamless care arrangements and improved performance and accountability.</p> <p><b>Sustainability/Business Continuity</b>-Ensures there is consistency in our approach to service transformation.</p>	
	Development of ability to view both database systems via Vale IT	<p><b>Information Management</b>- Ensures we can effectively manage the work of integrated services and alleviate the potential risks to individuals as a result of sharing relevant information being shared between agencies in a timely way.</p>	Completed action
	Escalation to Head of IT regarding issues	<p><b>Information Management</b> Ensures we can effectively manage the work of integrated</p>	Ongoing action

		services and alleviate the potential risks to individuals as a result of sharing relevant information being shared between agencies in a timely way.	
	Escalation to Head of Performance and Development regarding repeated capacity issues and unacceptable waiting periods	<b>Customer relations-</b> Appropriate resources for the Contact Centre will minimise waiting times/queues and improve customer satisfaction with the service they have received.	Ongoing action
	Significant changes to structure and staff arrangements are considered by Cabinet	<b>Collaboration-</b> Working in partnership with the Health Board will enable us to deliver more seamless care arrangements and improved performance and accountability.  <b>Workforce Planning-</b> Staff will increasingly be required to work across organisational boundaries effectively and with ease which will require a more flexible and adaptable workforce to respond to this service transformation.	Ongoing action

**Countermeasure(s) to improve/mitigate the risk**

<b>Risk Action Ref.</b>	<b>Description</b>	<b>Risk Managed (by theme)</b>	<b>Responsibility</b>	<b>Timescales for completion</b>	<b>Source document</b>
SS/A056 (IO2)	Consolidate integrated social care and health assessment and care management teams for Learning Disability in partnership with	<b>Collaboration, Customer relations and financial management-</b> Working jointly with our partners in the NHS across	Head of Adult Services (Lance Carver)	March 2016	Social Services Service Plan 2015/19

	Cardiff and Vale University Health Board	adult services will ensure that our clients receive the maximum support available for both their health and social care requirements in the most cost-effective way.			
SS/A057	Continue to utilise and develop processes to ensure a full exchange of information between Child Health and Disability Team and partner agencies is completed in a timely manner.	<b>Sustainability, customer relations and financial management-</b> Ensures seamless service delivery and smooth transition to adulthood for children with disabilities and their needs are met in a cost effective way.	Head of Adult Services (Lance Carver)	March 2016	Social Services Service Plan 2015/19
SS/A001	Work with the Third Sector and other organisations to deliver information about services for people in need via the Family Information Service, the Council's Contact Centre and other communication channels.	<b>Customer relations-</b> People in need have access to better information about the range of help and support available to them.	Head of Business Management and Innovation	March 2016	Social Services Service Plan 2015/19
SS/A060	In co-operation with partners establish an effective	<b>Information Management and customer relations-</b> People	All Heads of Service (Social Services)	March 2016	Social Services Service Plan 2015/19  Also links to

	information, advice and assistance services in accordance with the requirements of the Social Services Wellbeing (Wales) Act.	have access to good information, advice and assistance to find universal services in their community.			actions 1.1,1.2,1.3 and 1.4 in the Social Services Wellbeing (Wales) Act Implementation Action Plan.
SS/A061	Embed the integrated locality health and social care model through clear processes which support the service user's journey through the care system.	<b>Customer relations/communication-</b> Minimises number of transition points for the service user so enhancing service user satisfaction levels.  <b>Information management-</b> Reduction in duplication of information gathering with more effective recording systems in place and shared assessments.	Operational Manager Adult Locality Services (Suzanne Clifton)	January 2016	Social Services Service Plan 2015/19
SS/A073 (CSSI W/AR EF/IP 5/2014)	Work with Cardiff and Vale Health Board to fully implement the Integrated Discharge Policy	<b>Customer relations-</b> Improved independence for older people.  <b>Sustainability-</b> Reduction in delayed transfer of care rates.	Head of Adult Services (Lance Carver)	April 2015	Social Services Service Plan 2015/19
	Deliver key actions outlined in the Social Services Wellbeing (Wales)	<b>Information management-</b> Reduction in duplication of	Director of Social Services (Vale of Glamorgan)	December 2015	Social Services Wellbeing (Wales) Act Implementation

	<p>Act Implementation Action Plan associated with the integration of health and social care services.</p>	<p>information gathering with more effective recording systems in place and shared assessments.</p> <p><b>Collaboration, Customer relations and financial management-</b> Working jointly with our partners in the NHS across adult services will ensure that our clients receive the maximum support available for both their health and social care requirements in the most cost-effective way.</p>	<p>Council is represented on the Integrated Health and Social Care (IHSC) Governance Board and IHSC Strategic Implementation Group)</p>		<p>Action Plan</p>
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**Status Report (For Corporate Risk Management Group use only)**

<b>Date</b>	<b>Commentary</b>
29/05/15	Risk template completed for new Integrated Health and Social Care risk as identified by CMT on 8 <sup>th</sup> April. New counter measures have been cross referenced with the Social Services Service Plan 2015/19 and the Social Services Wellbeing Act Implementation Action Plan.