SUBJECT:	**Strategic Risk Assessment**
MEETING:	**Audit Committee**
DATE:	**31st January 2019**
DIVISIONS/WARDS AFFECTED: All	

1. PURPOSE:

1.1 To provide members with an overview of the current strategic risks facing the authority as provided in appendix 1.

1.2 To fulfil Audit Committee's role in providing assurance of the adequacy of the Council's risk management framework.

2. RECOMMENDATIONS:

2.1 That members use the risk assessment to consider the effectiveness of the authority's risk management arrangements and, on an on-going basis, to hold the responsibility holders to account to ensure that risk is being appropriately managed.

2.2 That members consider the strategic risk assessment presented for the next three years, including those risks of relevance to the committee, and scrutinise the extent to which the strategic risks facing the authority are appropriately captured.

3. KEY ISSUES:

3.1 Audit Committee has a specific role in providing independent assurance of the adequacy of the Council's risk management framework. The Strategic Risk Assessment ensures that:

- Strategic risks are identified and monitored by the authority
- Risk controls are appropriate and proportionate
- Senior managers and elected members systematically review the strategic risks facing the authority.

3.2 The Strategic Risk Assessment is updated based on the latest evidence available in line with the Council's strategic risk management policy; a summary of this is provided in Appendix 2. Some of these evidence sources will already be scrutinised by Audit Committee through the year, for example, internal and external audit and inspection reports, and the Council's Annual Governance Statement. The risk assessment only covers high and medium level strategic risks. Lower level risks, or operational risks, are not registered unless they are projected to escalate within the three years covered. These are managed and monitored through service business plans. In most cases, mitigating actions result in a change to the likelihood of the risk, rather than the potential consequences, as our actions are generally aimed at reducing the chance of a

negative event occurring rather than lessening its impact. Clearly, there will be exceptions.

3.3   The risk assessment is a living document and will evolve over the course of the year as new information comes to light. The risk assessment should continue to focus on medium term risks to service delivery. There have therefore been a number of amendments to the strategic risk register to ensure it accurately manages the current strategic risks facing the Council, as set out in Appendix 1. These include updating the focus of some existing risks, which have been marked as revised, identifying any new risks and removing mitigated risks; these have been identified in a separate table. Where there remains a level of risk, these risks will continue to be monitored and action undertaken through the relevant service business plan.

3.4   An internal audit report on the Council's strategic risk management arrangements identified a number of areas for improvement. An action plan has been agreed with internal audit to deliver the improvements required; these have been considered in the latest iteration of the strategic risk register. Some of the changes made include links within the register to the authority's strategic objectives and timescales attached to the delivery of mitigating actions.

3.5   A refresh of the Council's strategic risk management policy and guidance is underway to ensure it reflects the Council's current governance arrangements. Proposed key amendments are:
•   Timeframes for reporting the strategic risk register to Audit Committee and Cabinet are specified to at least annual reporting. This will fulfil the Audit Committee's responsibility, to assure that a risk management framework is in place, and Cabinet's executive responsibility, to assess the strategic risk register. Select committees can examine the register at any point in time as determined by the chair and committee members.
•   Inclusion of a risk appetite definition to supplement the risk tolerance levels already defined to prompt consideration when managing risks.
•   Update the policy, where required, to reflect any changes in the Council's governance arrangements and legislation.

3.6   In line with the Well-being of Future Generations Act, identification and mitigation of longer-term risks that will impact future generations at community level, but will have a lesser impact on the medium term delivery of council services, is an area for continued development. The Well-being Assessment for Monmouthshire identifies a number of these, and the Public Service Board Well-being Plan sets out the objectives that public services in Monmouthshire are working on to improve economic, social, environmental and cultural well-being.

3.7   Following a presentation to Audit Committee, the risk assessment will be presented to Cabinet for sign-off. As it is a live document, it will evolve over the

course of the year as new information comes to light; as such, there is a continued alignment with the Corporate Plan to ensure any relevant information is captured on the register. The up-to-date register is accessible on the Council's intranet so members are able to utilise it at any point in the year to re-prioritise their work plan as appropriate.

4.   REASONS:

4.1   To provide timely, relevant information on strategic risks as part of the performance management framework for ensuring the authority is well run and able to contribute to achieving sustainable and resilient communities.

5.   AUTHOR:

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			Year	Likeli-hood	Impact	Risk Level				Year	Likeli-hood	Impact	Risk Level		
1.	Potential Risk that: The authority does not remain relevant and viable for future generations due to not having a sustainable delivery model.	The introduction of the Well-being of Future Generations Act requires us to plan on a decadal and generational basis and our current models do not extend to this timeframe. In light of the financial, demographic and demand pressures we face it is not enough to keep our county and council going for now, we have to ensure it is continually growing for the future. A corporate plan has been developed that sets out a clear direction for the Council. The council's key delivery strategies to enable the delivery of this have been revised. The Corporate Plan is an ambitious five-year programme, with many areas focused on the longer-term future of the county and which addresses many complex challenges. Progress will need to continue to be tracked over time to evaluate impact made. The Future Monmouthshire work is making progress and establishing key themes to work on. Work is continuing to develop ideas and proposals so that they can be brought into the budget once they are sufficiently progressed. The pressure of the 2019/20 budget is immediate, all service areas have been asked to bring forward budget proposals to help manage the gap, whilst simultaneously, looking ahead and ensuring wherever possible, proposals support the medium term direction of travel	2018/19 2019/20 2020/21	Possible Possible Possible	Major Major Major	Medium Medium Medium	Previous action: Develop and specify the business model for the authority in the long term through the Future Monmouthshire programme and continue to implement the programme to meet short and long-term needs. New action: Continue to implement the Future Monmouthshire programme to meet short and long term need and ensure the aspirations of the corporate plan are sustainable	Completed Chief Executive, March 2019	A corporate plan has been developed that sets out a clear direction for the Council up to 2022. The plan sets out five Organisational Goals (also our well-being objectives) supported by the 22 commitments to action we will make in the run-up to 2022. An exercise to ensure the aspiration of the corporate plan are sustainable is iterative and ongoing. This work will continue as programmes of work develop and affordability considerations are more clearly understood and considered.	2018/19 2019/20 2020/21	Unlikely Unlikely Unlikely	Major Major Major	Low Low Low	Paul Matthews & Cllr Peter Fox	Select Committee: All Objectives: All
							Previous action: Following the development of the corporate plan, ensure the Council's key delivery strategies e.g. assets, people and digital are reviewed and aligned to deliver the corporate plan. New action: Implement and track progress of the revised key delivery strategies: Digital Strategy, People Strategy and Asset Management Strategy.	Completed Chief Officer Resources Timescales as per strategies	Following approval of the corporate plan the Council's enabling strategies have been revised to align to the delivery of the corporate plan, these include the Digital Strategy, People Strategy and Asset Management Strategy.						
							Produce an annual report evaluating performance in 2018/19 against the Corporate Plan and wider arrangements, in line with the Future Generation Act.	Head of Policy and Governance October 2019	The Council's first Well-being Objectives and Statement – Annual Report 2017/18 was published in October 2018 following approval by Council.						
							Complete the development of a financial strategy to apply a strategic lens to the council's finances in the medium to long term.	Chief Officer Resources, March 2019.	Following the approval of the Corporate Plan, a financial strategy is being developed. This will apply a strategic lens to the council's finances in the medium to long term and align to the delivery of the Corporate Plan to ensure its aspirations are sustainable. A draft was presented to Cabinet in November 2018.						
							Previous action: In partnership with Gwent public sector partners, commission work on future trends, including understanding how particular trends impact at a local level.	Completed	The work has now been completed and the outputs of the work have been provided to Gwent PSBs in two main parts: •Horizon Scans: These identify strategically important trends, potential disruptors and drivers of						

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							New action: Apply and update learning on future trends and plan for how they might impact at a local level in Monmouthshire.	Head of Policy and Governance ongoing	change and provide valuable evidence for these issues. •Scenarios: The scenarios approach will help PSBs think about these trends when developing their well-being plans and what their impact might be. The learning from this will need to continue to be applied in strategic planning and evidence continue to be updated to ensure trends that could impact on the local level are considered.						
2	Potential Risk that: Without appropriate and effective governance infrastructure, the Council may not deliver its objectives.	Good governance is a fundamental part of local authority working; arrangements are multifaceted and need to be subject to continuing review to ensure they are effective. The Well-being of Future Generations Act sets longer-term goals we need to work towards, and the ways of working we need to adopt. To implement this will require changes to the way we work. The Council is increasingly considering alternative delivery models to sustain services for example for Leisure, Tourism, Culture and Youth Services. These models are often complex and have many risks and challenges. New joint arrangements require robust governance arrangements to be established. Concerns on overlapping and complicated community governance structures have led to some dissatisfaction amongst community stakeholders. Monmouthshire County Council recognises the important and	2018/19 2019/20 2020/21	Possible Possible Unlikely	Substantial Substantial Substantial	Medium Medium Low	Update the Councils' constitution to ensure it reflects recent changes in legislation and governance.	Monitoring Officer December 2019	In December 2017 Council adopted changes to the council's constitution This will continue to be reviewed periodically to ensure it reflects the latest legislation and council's governance structures. The Constitution will undergo a thorough review, which is anticipated to be undertaken later this year.	2018/19 2019/20 2020/21	Unlikely Unlikely Unlikely	Substantial Substantial Substantial	Low Low Low	Matthew Gatehouse & Cllr Paul Jordan	Select Committees: Audit Committee Objectives: All
							Pilot the Community Governance structure in the North Monmouthshire Area Committee (formerly Bryn Y Cwm)	Head of Policy and Governance April 2019	A community governance review has been completed. The review identified the need to consider new arrangements for area committees and Bryn y Cwm Area Committee (subsequently re-named North Monmouthshire Area Committee) was identified as a pilot and would act as the primary mechanism for influencing decisions in the locality. A temporary arrangement to the Council's constitution has given voting rights to non-county council members of this committee. An evaluation of the pilot was completed and reported to the Committee in November. The matter will now be referred to the Democratic Services Committee. Other areas are served by a cluster arrangement with a member of Senior Leadership team aligned to each cluster.						

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		valuable contribution made by volunteers in enhancing service delivery. There is a need to formalise arrangements for the role of volunteers in service delivery and set out the terms governing their engagement and ongoing relationship with the Council.

The latest Wales Audit Office Annual Improvement Report (AIR) concludes, "Based on, and limited to, the work carried out by the Wales Audit Office and relevant regulators, the Auditor General believes that the Council is likely to comply with the requirements of the Local Government Measure (2009) during 2018-19." There remains proposals for improvement from Wales Audit Office relating to the Councils' governance and scrutiny arrangements that are still being addressed. | | | | Finalise and present the remaining matters of the business case and subsequently the legal documentation on the Alternative Delivery Model (ADM) for Tourism, Leisure, Culture and youth services for further consideration and decision by Members. | Head of Tourism, Leisure & Culture April 2019 | The first key decisions have been taken by Council to further investigate the Alternative Delivery Model (ADM) for Tourism, Leisure, Culture and youth services. This included the agreement to formalise officers to lead upon the project and establish a project team. Work continues on the outstanding matters which include the business plan, governance arrangements, the performance evaluation framework and other legal documentation that need to be considered, discussed and completed prior to bringing these decisions and reports forward. | | | | | | |
| | | | | | | | Manage our actions in response to Estyn, CIW and WAO via existing mechanisms | Senior Leadership Team, timetable as per action plans | The Council has arrangements in place to respond to regulatory reports and where necessary, these are reported to the relevant committees. | | | | | | |
| | | | | | | | Deliver the implementation plan for the volunteering policy (adopted in December 2017) in all service/business areas and continued implementation of the Volunteer toolkit. | HR Manager & Communities and Partnership Development Team Timescale as implementation plan | Safe recruitment for, and effective management of, the volunteer workforce has been a major focus.

A new volunteering policy position has been approved. Monmouthshire, A County That Serves (ACTS) volunteering programme is helping to highlight and support volunteering opportunities available within the county. A Volunteering Toolkit and Network are in place and we deliver Leading Volunteering training to staff that support volunteers. A Digital Volunteer Management System, the Volunteer Kinetic platform, has been implemented for volunteer safe recruitment, communication, capturing outcomes and publicity of opportunities. There is ongoing work to embed the use of the system in the Council's functions as the only way volunteers are recruited into the organisation. | | | | | | |

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3	Potential Risk that: The Council and partners do not make sufficient progress to improve well-being through regional and partnership working.	The Future Generations Act puts a well-being duty on specified public bodies to act jointly via Public Service Boards (PSB) to improve the economic, social, environmental and cultural well-being of their area. The PSB well-being plan has been established, the activity that will contribute to the delivery of the plan is currently being developed. The Council as a statutory partner has an important role in taking these forward. The Green Paper: *Strengthening Local Government: Delivering for people set out* Welsh Government's statement of intent for a stronger, more empowered local government in Wales. The Welsh Government will work in partnership with local government and the Welsh Local Government Association (WLGA), to agree a shared approach which will shape the future of local government in Wales The Council is already part of regional and partnership-working arrangements in a variety of services; some of these require further development.	2018/19 2019/20 2020/21	Possible Possible Possible	Substantial Substantial Substantial	Medium Medium Medium	To develop the Public Service Board Well-being plan, implement a delivery framework and develop the role of the Public Service Board Select Committee to scrutinise the PSB arrangements The Leader of the Council is sitting on the Local Government Reform Working Group, chaired by Derek Vaughan MEP. The group is tasked with developing a shared agenda for reform, which ensures the sustainability of local service provision.	Head of Policy & Governance and Community & Partnership Development Manager May 2019 The Leader, Ongoing	The PSB has approved its well-being plan. The plan contains four well-being objectives that underpin a clear purpose of building sustainable and resilient communities. The PSB is now developing the activity that will contribute to the delivery of these. Lead organisations have been assigned for each step and tasked with developing a vision and actions for each one. A PSB Select Committee has been established and has scrutinised the formation of the PSB and membership, resourcing of PSB support and development of the Well-being Assessment and Well-being Plan. The Committee is now playing an active role in scrutinising the formation and commencement of delivery of actions. The group has begun to meet and will conclude its work in April 2019.	2018/19 2019/20 2020/21	Possible Possible Unlikely	Substantial Substantial Substantial	Medium Medium Low	Matthew Gatehouse, Cllr Peter Fox & Cllr Paul Jordan	Select Committees: Audit Committee Public Service Board Select Committee Objectives: All
4	Potential Risk that: Some services may become financially unsustainable in the short to medium term due to increasing demand and continuing financial pressures.	After several years of taking significant resource out of the budget the means of achieving further savings is increasingly more challenging. The latest assumptions (November 2018) indicated a gap of £4.6 million in 2019/20 rising to a gap of £13.8 million over the medium term. Further work to refine this assumption based on local work and updated settlement announcements is being undertaken. Funding from Welsh Government has reduced over the period and this looks set to continue	2018/19 2019/20 2020/21	Possible Possible Possible	Major Major Major	Medium Medium Medium	Ensure that services deliver within budget, deliver savings targets and continue to identify, review and challenge pressures. All services to model savings for 2019/20 and begin planning a longer-term programme that aligns with the medium Term Financial Plan and corporate plan.	Chief Officer Resources March 2019 Chief Officer Resources March 2019	Overall Net Council Fund at Month 7 2018/19 is reporting a £316,000 underspend. The net cost of services outturn forecast is a £244,000 underspend. 86% of savings are forecast to be achieved. Chief Officers continue to be tasked with ensuring that services live within the budgets and savings targets set for the current financial year, and within this, there remain areas that are exhibiting budget pressures. The pressure to establish a budget in 2019/20 is immediate, however the need to establish a more medium to longer-term financial strategy to tie into the Corporate Plan is recognised and a draft was presented to Cabinet	2018/19 2019/20 2020/21	Unlikely Unlikely Unlikely	Major Major Major	Low Low Low	Peter Davies and Cllr Phil Murphy	Select Committee: All Objectives: All

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		In overall terms there are some £5.7 million of new unavoidable pressures that need to be accommodated as part of the 2019/20 budget. The 2019/20 budget gap is currently £594k (December 2018), if all the savings proposals reported to cabinet are approved.

Earmarked reserve usage over the MTFP is projected to decrease the balance on earmarked reserves from £5.8 million in 2019/20 to £5.5 million at the end of 2021/22. Taking into account that some of these reserves are specific, for example relating to joint arrangements or to fund capital projects, this brings the usable balance down to £4.4 million.

At the same time pressures on the budget have been increasing in terms of demographic growth, demand on services and expectations, contract price inflation and redundancy costs.

Along with the rest of the organisation, schools are facing a challenging financial settlement and have again budgeted to be in a collective deficit by the end of the year. By the end of the financial year 2018/19, it is anticipated 16 schools will be in a deficit reserve position.

Schools enter a collective deficit reserve position contrary to current Fair Funding guidance that Governing bodies have ascribed to | | | | | | | in November 2018. In the meantime, all service areas were asked to bring forward budget proposals to help manage the gap, whilst simultaneously, looking ahead and ensuring wherever possible, proposals support the medium term direction of travel. The 2019/20 budget gap is currently £594k (December 2018), if all the savings proposals reported to cabinet are approved. Further work is progressing to bring forward measures to balance the budget if further funding is not made available through the final settlement. | | | | | | |
| | | | | | | | Develop and implement a commercial strategy aligned to the Corporate Plan | Chief Officer Resources Timescales as per strategy | As part of the delivery of the Corporate Plan a Commercial Strategy has been developed. The strategy seeks to enhance income generation, develop an approach to commercialising assets and create a commercial culture and ethos. The strategy has a short-, medium- and long-term view and aims to provide a framework, with defined objectives, for new commercial projects and for the delivery of future commercial activity. | | | | | | |
| | | | | | | | Implement the new procurement strategy with a view to identifying long term and short term benefits and savings to the Council and the County | Head of Commercial and Integrated Landlord Services Timescales as per strategy | A new Procurement strategy was approved in July 2018. There are two core aspects of the Council's procurement activity that relate to the main objectives of the Strategy and Action Plan:
•The way in which the Council invests its annual procurement spend in order to create efficiencies, benefits and added value in an internal sense; and
•The way in which we leverage 'smart spend' in order to create optimal external economic and social benefits through cultivating local supply chains, creating jobs and developing new and existing business growth.

Work is underway to facilitate a deeper analysis of our procurement expenditure which will then enable opportunities to be explored using circular economy principles | | | | | | |

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										Economy and Development Select Committee are actively engaged in the development of proposals. A report is planned for Cabinet in February to secure investment to implement the next phase of work required to deliver the new procurement strategy.						
								Continue to Implement the income generation strategy.	See Commercial strategy action above	This now forms part of the recently developed Commercial strategy (see action above)						
								Complete the development of a financial strategy to apply a strategic lens to the council's finances in the medium to long term.	Chief Officer Resources, March 2019.	Following the approval of the Corporate Plan, a financial strategy is being developed. This will apply a strategic lens to the council's finances in the medium to long term and align to the delivery of the Corporate Plan to ensure its aspirations are sustainable. A draft was presented to Cabinet in November 2018.						
								Continue to work closely with schools to ensure their financial plans are as robust as possible to minimise any impact whilst continuing to improve standards for our young people.	Finance Manager – Children & Young People Ongoing	The forecasted position at month 7 2018/19 has been maintained since month 2. Changes to fair funding regulations have been agreed. This will ensure a more timely approach to schools producing recovery plans and schools addressing budget concerns at an early stage Schools use of their reserves remains a cause of concern. Close work with school colleagues will continue to ensure their plans are as robust as possible to minimise any impact whilst continuing to improve standards for our young people.						

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5	Potential Risk that: The authority is unable to deliver its political priorities due to insufficient capital funding availability, which may also lead to risks of maintaining key infrastructure and other identified pressures.	Underlying the Capital Strategy is the recognition that the financial resources available to meet Council priorities are constrained by a significant reduction in financial resources. The core capital programme has been constrained in recent years in order to enable the Band A new schools programme to be funded which are being concluded. Colleagues are working through options in relation to a future Welsh Government Band B programme. Costs of proposals and their affordability are still to be established. In addition to this there are various schemes/proposals e.g. Alternative delivery model for Leisure, tourism and culture services, any enhanced DFG spending, waste fleet vehicle replacement that could also have a capital consequence, but in advance of quantifying those or having Member consideration of these items, they are also excluded from current capital MTFP. A number of significant pressures are documented that are not currently funded – property and highways infrastructure, DDA work, Public rights of way etc. which carries a considerable risk. In the event of emergency pressures, resources will have to be diverted. Projects, such as the CCR City Deal, require significant capital investment to realise the outcomes There can be significant slippage in gaining capital receipts. There is a risk associated with relying on the need to utilise capital receipts in the	2018/19 2019/20 2020/21	Possible Possible Likely	Major Major Major	Medium Medium High	Regularly review assumptions as part of the capital MTFP taking account of any new information that is relevant and the consequential impact on the revenue MTFP.	Deputy Head of Finance Ongoing	The Capital Strategy, presented to cabinet in December 2018, sets out the council's approach to capital investment over a longer timeframe than is traditional in the 4 year medium term financial plan and provides a framework through which our resources, and those matched with key partners, are allocated to help meet strategic priorities. Underlying the Capital Strategy is the recognition that the financial resources available to meet Council priorities are constrained by a significant reduction in financial resources Future schools and other identified schemes to be accommodated are being developed. Notwithstanding this, there will remain a considerable number of pressures that sit outside of any potential to fund them within the Capital MTFP, and this has significant risk associated with it.	2018/19 2019/20 2020/21	Possible Possible Possible	Major Major Major	Medium Medium Medium	Deb Hill- Howells, Peter Davies & Cllr Phil Murphy	Select Committees: Economy and Development & Strong Communities Objectives: All
							Further refinement of priority assessments in the property and infrastructure budgets to ensure all pressures have been considered and ranked.	Head of Commercial and Integrated Landlord Services & Head of Operations Ongoing	Health and safety surveys are being commissioned annually. A revised condition survey programme is currently being procured; this is heavily dependent on funding. Independent condition assessments of key highways infrastructure are completed as required depending on condition. These inform prioritisation of available capital budget.						
							Previous action: Review and update the Asset Management Plan to provide a clear strategy and plan for the management of the council's property and land assets and ensure it aligns to the delivery of the corporate plan. New action: Deliver the Asset Management Plan to manage the Council's land and property portfolio	Completed Head of Commercial and Integrated Landlord Services Timescales as per plan	Following approval of the corporate plan the Asset Management Strategy 2018-2022, including Asset Management Plan 2018-19 has been revised to align to its delivery. The plan is being implemented and actions from the plan have been integrated into the relevant business plans for ongoing monitoring and progress reporting.						

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		same year that they come into the Council and the potential for this to have significant revenue pressures should receipts be delayed and temporary borrowing be required.					Previous action: Complete and gain approval for the policy of acquisition of investment property.

New action: To help sustain Council Services and enhance the asset base by investing in commercial property assets in order to increase the net rental income stream for the Council in line with the asset investment policy | Completed

Head of Commercial and Integrated Landlord Services Ongoing – see Asset Management strategy | The approved Asset Management Strategy 2018-2022 includes the asset investment policy which provides a formal policy for the acquisition of investment opportunities that will derive a net return to the Council, provide the governance and delegated authority arrangement and establish criteria to support a proposed acquisition.

Following approval of the Asset Management Strategy, the first investment property, Castlegate Business Park, has been acquired. | | | | | | |
| 6 Revised | Potential Risk that:

Our workforce is not sufficiently resourced, does not have the right mix of skills and issues with recruitment and retention in certain service areas impacts on our ability to deliver change, improve performance and deliver our objectives. | Our people are central to the success of our council and county. To maximise the opportunities to deliver our objectives we need to develop knowledge and skills that are not always widespread within our sector.

Sickness levels were an average of 10.9 days per FTE employee in the year to March 2018. With the latest forecasts indicating the rate may increase in 2018/19. The People strategy identifies that tools and guidance to manage and prevent sickness are not always used effectively.

The number of employees has reduced in recent years. A range of services have identified risks to their capacity for service delivery. Continuing challenges and pressures can contribute to a loss of knowledge/skills and experience.

Some services have identified challenges with recruitment and retention in certain sectors including care support workers, home carers and engineering. | 2018/19

2019/20

2020/21 | Possible

Possible

Possible | Substantial

Substantial

Substantial | Medium

Medium

Medium | To implement a revised people and organisational development strategy following development of the corporate plan and the workforce planning arrangements required to deliver.

Continue to implement Directorate workforce planning using HR business partnering meetings to engage and support teams in workforce planning. | Head of People Services Timescales as per strategy

HR lead & Training Lead Ongoing | Following and informed by the development of the Council's Corporate Plan, a revised People Strategy has been agreed. The latest iteration of the People Strategy aims to build on the outcomes already achieved, complete activities that are a work in progress and reflects what colleagues, data and intelligence is telling us needs to improve to enable and support our colleagues to be the best they can be.

Work to evaluate the impact of the new strategy will begin shortly. All relevant actions associated with the strategy are contained within the People Service's business plans.

To support workforce planning a workflow has been developed to enable service leaders to focus on succession and workforce planning and directorates to develop plans for their workforce. The combination of the workflow and the training and development pathways help support workforce development.

HR business partnering meetings will be used to engage and support teams in workforce planning supported by people services framework which will identify areas of key risk.

The Cadetship programme was introduced in 2018, this will help | 2018/19

2019/20

2020/21 | Possible

Possible

Possible | Substantial

Substantial

Moderate | Medium

Medium

Low | Tracey Harry & Cllr Phil Murphy | Select Committee: Strong Communities

Objectives: All |

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										support succession planning in areas under the programme.						
								Continue to engage with staff on well-being to ensure a focus on addressing identified needs and make better use of data for focussed interventions.	Head of People Services Ongoing	Work to improve the health and wellbeing of the organisation continues with the inclusion of increased staff benefits, the implementation of a new occupational health service, as well as the launch of the Health Cup Challenge. The challenge includes 32 health and wellbeing opportunities including completion of the staff survey, standing/walking meetings and individual health checks for colleagues; the competition is directorate led championed by each member of SLT.

HR are working with DMT's on attendance management and the dashboard; the procedure is being reviewed and training is being provided. A colleague handbook is being drafted.

The "go to group" has been implemented; it provides a safe place to raise concerns, discuss problems and identify potential solutions. | | | | | | |
| | | | | | | | | Embed the attendance and wellbeing policy | HR lead March 2019 | The revised attendance and wellbeing policy was approved by Cabinet in June 2017

HR data dashboards have been established and are updated quarterly. These are now being used as part of HR business partner meetings to inform department management teams and senior leadership team on workforce issues.

Workforce data displays in the HR system have been developed to provide managers with more timely and a greater range of information to inform the management of their workforce, data includes staff, establishment, age, gender etc. there have been ongoing technical difficulties that mean these have not been implemented as quickly as intended. These are now being rolled out and expected to be fully | | | | | | |

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										functioning by March 2019. These will enable managers to interrogate data and identify specific workforce issues.

Mandatory training for managers on staff attendance and well-being is an ongoing process. A new programme, 'Induction for New Managers' has been introduced and covers attendance management and wellbeing for all new managers. | | | | | | |
| | | | | | | | | Continue to increase understanding and maximise completion of the check-in, check-out staff appraisal process and use feedback to plan and identify training needs | HR lead
Ongoing | Based on feedback received, the Check-in, Check-out (CICO) process has been reviewed and rolled out with guidance that is more robust, video tutorials and supportive training. Work will continue to increase understanding and maximise completion of the process.

A longer term, more effective recording module has been developed that allows managers to record the completed CICO directly into the HR system. There remains further work required to ensure the effective use of the recording system to understand accurately the completion rate of appraisals. The Payroll/HR system is currently undergoing an upgrade, which will improve the CICO recording system. Testing is underway and it is anticipated to be released in spring 2019.

The induction for new managers training also covers the CICO process. | | | | | | |
| | | | | | | | | Continue with perpetual recruitment and advertising for Social Care staff and implement the Dare 2 Care campaign, including links to the national Social Care Wales recruitment campaign. | Transformation Lead Social Care & Health & Chief Officer Social Care & Health
March 2020 | The Dare 2 Care campaign continues to be run including social media campaigns and a programme of retraining across housing association tenants to develop opportunities for Social care employment.

Investigation is also underway looking at opportunities to create apprentices in care. | | | | | | |

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likeli-hood	Impact	Risk Level				Year	Likeli-hood	Impact	Risk Level		
7	Potential risk of:

Significant harm to vulnerable children or adults due to failure of safeguarding arrangements | Improved outcomes for vulnerable people can only be achieved and sustained when people and organisations work together to design and deliver more integrated services around people's needs.

In August 2018, a Wales Audit Office led Whole Authority review of children's safeguarding concluded that children's safeguarding policy and procedures have recently improved, but there are shortcomings in some critical areas of policy and operation. The report issued four proposals for improvement including the need to embed all aspects of safe recruitment, induction and training consistently.

Internal audit have issued limited assurance reports on volunteering. Internal audit are carrying out an organisational review on volunteering in January 2019.

Potential that staff and volunteers begin their appointment without DBS checks having been completed. Within a large organisation with devolved responsibility for recruitment and selection there is opportunity for deviation from agreed processes

It is acknowledged that more work is required to strengthen the links between national, regional and local safeguarding activity and ensure the learning through the regional safeguarding boards and sub-groups is embedded in practice and operations in Monmouthshire

While there are many steps the council and partners can take to mitigate the risk, significant harm can also occur due to factors that are outside our control meaning that there will always be a level of risk. | 2018/19

2019/20

2020/21 | Possible

Possible

Possible | Major

Major

Major | Medium

Medium

Medium | Continually monitor and evaluate process and practice and review accountability for safeguarding and implement actions identified, particularly better use of information. | Safeguarding & quality assurance service manager Ongoing | Progress against the council's safeguarding priorities is evaluated annually, last completed for 2017/18, and the priorities reflect the cornerstones for keeping people safe in Monmouthshire set out in Corporate Safeguarding Policy. This identifies measures to highlight progress, risks and sets out clear improvement actions and priorities for further development. The latest report acknowledges that safeguarding is always a 'work in progress'. Constant vigilance is needed at all levels of leadership and operational delivery to ensure the right culture, policy, practice and measurement systems are in place to keep people safe.

The Safeguarding Audit Framework for Evaluation (SAFE) process has been rolled out across the Council. | 2018/19

2019/20

2020/21 | Possible

Possible

Possible | Major

Major

Major | Medium

Medium

Medium | Will Mclean & Julie Boothroyd. Cllr Penny Jones & Cllr Richard John | Select Committees: CYP & Adults

Objective: The best possible start in life

Lifelong well-being |
| | | | | | | | Ensure that robust systems are in place within the authority to respond to any concerns regarding child protection and protection of adults at risk. | Chief Officer, Social Care & Health Ongoing | There is a stable workforce in the safeguarding unit that oversees the process for responding to concerns. | | | | | | |
| | | | | | | | Drive the strategic agenda and the associated programme of activities for safeguarding through the Whole Authority Safeguarding Group (WASG). | Chief Officer, Social Care & Health Ongoing | The Corporate safeguarding policy sets out clearly roles, responsibilities and governance arrangements.

The WASG continues to provide leadership, direction, oversight, support and challenge to strengthen safeguarding activity in the Council. | | | | | | |
| | | | | | | | As a statutory partner of the regional safeguarding boards, we continue to work with other statutory partners to ensure that there are effective multi-agency safeguarding arrangements and that they are working well and share learning and development in safeguarding. Implement the recommendations and learning from any Domestic Homicide review, adult practice review or child practice review that is undertaken under the safeguarding board. | Chief Officer, Social Care & Health Ongoing | At a regional level, the South East Wales Safeguarding Children Board and Safeguarding Adults Boards fulfil the statutory responsibilities set out in the Social Services and Wellbeing (Wales) Act. Monmouthshire County Council is fully represented on both the Children and Adult Safeguarding Boards, and their subgroups. | | | | | | |

Ref	Risk		Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
				Year	Likeli-hood	Impact	Risk Level				Year	Likeli-hood	Impact	Risk Level		
								Deliver the implementation plan for volunteering policy (adopted in December 2017) in all service/business areas and continued implementation of the Volunteer toolkit and organisation wide use of Volunteer Kinetic - Volunteer management system	HR Manager & Communities and Partnership Development Team Timescale as implementatio n plan	Safe recruitment for, and effective management of, the volunteer workforce has been a major focus. A new volunteering policy position has been approved. Monmouthshire, A County That Serves (ACTS) volunteering programme is helping to highlight and support volunteering opportunities available within the county. A Volunteering Toolkit and Network are in place and we deliver Leading Volunteering training. A Digital Volunteer Management System, the Volunteer Kinetic platform, has been implemented for volunteer safe recruitment, communication, capturing outcomes and publicity of opportunities. There is ongoing work to embed the use of the system in the Council's functions as the only way volunteers are recruited into the organisation.						
								To implement the Action Plan established in response to the Safeguarding arrangements – Kerbcraft scheme report approved by Council in March 2017.	Head of Operations, Timescales as in action plan	A Wales Audit Office led Whole Authority review of children's safeguarding has been completed, this concluded that children's safeguarding policy and procedures have recently improved, but there are shortcomings in some critical areas of policy and operation. The report issued four proposals, the response to these are detailed in the action below.						
								To implement the Action Plan established in response to the Wales Audit Office led review of children's safeguarding.	Chief Officer, SCH Timescale as in action plan	The Council's management response and associated action plan to address the report was presented to Children & Young People Select Committee in October 2018, alongside the WAO report. This includes action to embed all aspects of safe recruitment, induction and training.						

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likeli-hood	Impact	Risk Level				Year	Likeli-hood	Impact	Risk Level		
8	The potential risk to: The robust delivery of the Council's corporate parenting responsibility and services related to safeguarding vulnerable children as a result of an increase in demand and complexity in cases in Children's services.	The number of children on the child protection register has increased substantially by the end of quarter 2 2018/19. At the end of 2017/18, 73 children were listed on the child protection register; this has increased to 138 at the end of September 2018. When considered as a rate per child population the increase within Monmouthshire during the first six months of 2018/19 takes the rate of children on the child protection register some way above that of Wales at the end of 2017/18. The number of looked after children has increased from 139 at the end of 2017/18 to 150 at the end of quarter 2 2018/19. In 2018/19, net (direct) budget for Children Services is £11.5m, over half of which relates to looked after children, in particular, placements for looked after children. The latest reported position at Month 7 is a forecast overspend of £562,000.	2018/ 19 2019/ 20 2020/ 21	Possi ble Possi ble Possi ble	Majo r Majo r Majo r	Mediu m Mediu m Mediu m	Previous action: Design and implement an Early Help and Family Support service New action: Review and evaluate performance of Early Help and Family Support service. Implement MyST, a Multi-disciplinary Intensive Therapeutic Fostering Service	Head of Children's services Ongoing Head of Children's services July 2019	An Early Help Panel has been established, which brings the range of early help services together into a single system, streamlining referral and interventions. Preventative resources in Children's Services have been joined up and targeted through the 'Building Stronger Families' offer Work is ongoing to ensure Step up Step down and early help statutory interventions are working well and to evaluate performance. An Edge of Care Team has been established and is being fully implemented to support families. Resources have been secured to implement MyST a Multi-disciplinary Intensive Therapeutic Fostering Service that is a service to provide support for Looked After Children with complex needs.	2018/ 19 2019/ 20 2020/ 21	Possi ble Possi ble Possi ble	Major Major Major	Mediu m Mediu m Mediu m	Julie Boothroyd & Cllr Penny Jones	Select Committee: Children & Young people Objective: The best possible start in life
							Previous action: Continue to implement the Children's services improvement programme and related Workforce and Practice Development Action Plan and Commissioning strategy for Children, Young People and their Families. New action: Reset and implement next phase of children's services development programme focused on achieving the best outcomes for children and families.	Head of Children's services March 2019 Head of Children's services April 2019	The Children's Services Improvement Programme has created a drive to improve the quality of child protection practice, processes and procedures, and ensure staff understand the requirements and expectations of their role and task. This is regularly reported to select committee and continues to progress. 2018/19 is the final year of the three-year practice led improvement programme. Children's services have continued to make significant progress in the last year. There is increased stability within the current workforce. There remain key priorities for improvement for the service that will be set out in the next phase of the children's services development programme.						
							Deliver the action plan in response to findings of an Internal Audit report on children's services placements	Service Manager – Children's services	A follow up review has been complete by internal audit, which gave an assurance rating of reasonable. An action plan has been established to address further areas from the follow up review						

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9 a revised	Potential Risk of: Failing to meet the needs of all learners, including specific groups of vulnerable learners, due to Monmouthshire's schools' methods of learning not adequately adapting to changes in curriculum and examination requirements.	Meeting the needs of vulnerable learners remains a priority. The gap in attainment between those not eligible and those eligible for Free School Meals (FSM) remains a concern. At Key stage 4, the FSM/non FSM attainment gap widened from 43.7 percentage points gap in 2017 to 47.9 percentage points in 2018 for the Level 2 threshold inclusive of English/Welsh and maths indicator. As with 2017-18 there are significant revisions to examinations that means they focus in part on different skill sets and knowledge than in previous years. Key stage 4 performance in 2017/18 was not at the same level as the previous year and challenges remain for all four secondary schools. Variation in standards across schools, with some schools judged by Estyn to be only adequate and remaining in amber and red support categories for more than a year. Poor leadership, management, capacity and performance in some schools Unsustainable provision to meet the demand for Welsh Medium education provision	2018/19 2019/20 2020/21	Possible Possible Possible	Major Major Major	Medium Medium Medium	Ensure the commissioned arrangements with the Education Achievement Service (EAS) address the authority's concerns in challenging and supporting schools Continue to work closely with our primary schools to ensure that they are maximising the learning opportunities provided by the EAS and the professional learning offer around the development of the new curriculum. Work closely with our secondary schools to ensure they are prepared for the new examination requirements Continue to improve the quality of self-evaluation in the CYP directorate. Deliver the Welsh Education Strategic Plan in collaboration with neighbouring authorities	EAS & MCC Ongoing EAS & MCC Ongoing Chief Officer Children & Young People Ongoing Head of Achievement and Attainment Timescales as per WESP	EAS continue to provide ongoing challenge, monitoring and evaluation work in schools with a continued focus on vulnerable learners. The EAS work with schools to track individual pupil performance over time. This will support us in gauging where schools are progressing well or where they may need additional support. Support for secondary schools for the new examination requirements continues EAS continue to monitor where schools progress and where they may need additional support. A Chief Officer Report for Children & Young People was prepared in Spring 2018. A further report is scheduled for Spring 2019. Estyn Local Authority Link Inspection visits continue The Welsh in Education Strategic Plan (WESP) was develop in consultation with Welsh Government and the Monmouthshire Welsh Medium Education Forum and was subject to further consultation with stakeholders. The WESP has been approved by Welsh Government and an Action Plan is in place and progress will be monitored by Local Authority and Welsh Medium Forum.	2018/19 2019/20 2020/21	Possible Possible Unlikely	Major Major Major	Medium Medium Low	Will Mclean & Cllr Richard John	Select Committees: CYP Objective: The best possible start in life
9b revised	Potential risk that: The Authority fails to provide sufficient support to promote equity and pupils' well-being which may result in children & young people not achieving their full potential	There is an increasing demand for additional support for children with additional learning needs The Monmouthshire PSB well-being plan recognises the importance of greater supporting the well-being of children and young people. Students' responses to the 2017/18 School Health Research Network	2018/19 2019/20 2020/21	Possible Possible Possible	Major Major Major	Medium Medium Medium	Ensure that the Additional Learning Needs review delivers sustainable, adequate and appropriate support to pupils with Additional Learning Needs	Head of Achievement and Attainment September 2019	The statutory consultation process on a proposed new model for the delivery of ALN and Inclusion Services has been completed. Officers have analysed the responses and Cabinet have received a copy of the consultation report with recommendations on a delivery model, against which, statutory notices were produced. In December 2018, Cabinet agreed the reports setting out	2018/19 2019/20 2020/21	Possible Possible Unlikely	Major Major Major	Medium Medium Low	Will Mclean & Cllr Richard John	Select Committees: CYP Objective: The best possible start in life

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likeli-hood	Impact	Risk Level				Year	Likeli-hood	Impact	Risk Level		
		Student Health and Wellbeing Survey shows there are areas where students' well-being can be further supported.

Meeting the needs of vulnerable learners remains a priority. The gap in attainment between those not eligible and those eligible for Free School Meals (FSM) remains a concern. At Key stage 4, the FSM/non FSM attainment gap widened from 43.7 percentage points gap in 2017 to 47.9 percentage points in 2018 for the Level 2 threshold inclusive of English/Welsh and maths indicator. | | | | | Work with PSB partners, through the Children & Young People Strategic Partnership, to deliver the steps in the PSB well-being plan related to focusing on children & young people's well-being and   supporting their mental health and emotional wellbeing. | Chief Officer Children & Young People Timescales as in developing PSB delivery plan | alterations to be implemented during 2019.

The PSB is now developing the activity that will contribute to the delivery of its steps. Lead organisations have been assigned for these steps (MCC and ABUHB) and are developing a vision and actions for each one. This will be informed be evidence from the School Health Research Network survey. | | | | | | |
| | | | | | | | Ensure the commissioned arrangements with the EAS address the authority's concerns in challenging and supporting schools | EAS & MCC Ongoing | EAS continue to provide ongoing challenge; monitoring and evaluation work in schools with a continued focus on vulnerable learners. The EAS work with schools to track individual pupil performance over time. This will support us in gauging where schools are progressing well or where they may need additional support. | | | | | | |
| 10a | Potential risk of:

Information security breaches due to mismanagement of information or external parties gaining access to the network could result in critical and sensitive data being lost, compromising the delivery or availability of Council services and the interaction with external agencies and partners. | There have been a number of high profile cyber-attacks leading to data breaches and compromise of systems in both the public and private sector, such as the ransomware attack in the NHS.

Attacks are increasing in volume and there is a need to provide constant and sustained vigilance when mitigating against the possibility of attacks gaining entry to our critical data resources. In order to mitigate sufficiently against cyber threat sufficient funding needs to be available to implement security systems.

There remain areas where the secure storage and handling of information requires strengthening.

With an increased drive for digital services to improve effectiveness, more and more information is being stored digitally, and the need to ensure the confidentiality, integrity and availability of that data is critical | 2018/ 19

2019/ 20

2020/ 21 | Possi ble

Possi ble

Possi ble | Majo r

Majo r

Majo r | Medium

Medium

Medium | Undertake a structured and comprehensive training programme for all staff on cyber security and Data protection | Cyber security service Ongoing | A cyber security service shared between Gwent Police, TCBC and MCC has been commissioned which acts as an audit function of our technical arrangements, as well as providing training and advice on data security issues. This service also deals with MCC's PSN and the SRS ISO accreditation. | 2018/ 19

2019/ 20

2020/ 21 | Possi ble

Possi ble

Possi ble | Major

Major

Major | Medi um

Medi um

Medi um | Sian Hayward & Tracey Harry. Cllr Phil Murphy | Select Committee: Economy and Development

Objective: All |
| | | | | | | | Participate in an SRS business case for partners to procure a robust and comprehensive system that minimises the risk of unauthorised access to MCC's network. | completed | The business case has been agreed by SRS partner organisations and MCC has agreed to procure a Microsoft email and internet filtering service which was implemented in January 2018 | | | | | | |
| | | | | | | | Continuous monitoring of cyber threat and mitigation by the security team, identifying technical solutions to potential risk areas.

Deliver a programme of security work identified by the cyber security team, approved for implementation by MCC and undertaken by the SRS as part of their core service delivery | Digital Projects Team Ongoing | A central information security risk log is in place for all partners using the SRS. This is used to identify risk areas and the appropriate mitigations. This is monitored on an operational level by the Digital Projects Team and overall by the council's SIRO. In addition, this is monitored by the independent security service.

A significant and comprehensive security review has been undertaken in order to gain Public Sector Network (PSN) accreditation. The most recent | | | | | | |

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likeli-hood	Impact	Risk Level				Year	Likeli-hood	Impact	Risk Level		
		for future service delivery.							submission for accreditation has not been successful and PSN accreditation has not been achieved. Resubmission is anticipated in March 2019, once the remaining issue, an IT health check is undertaken by the SRS.						
							Implement the Information Strategy to safeguard the integrity and security of our data while taking-steps towards becoming a data-led organisation.	Information Governance Group Ongoing	The Information Strategy was reviewed and updated in October 2017 to cover the 3 inter-related strands of – Digital Information, Information Governance and Legislation & Data use, Open Data and Business Intelligence. The strategy continues to be implemented with oversight from the Information Governance group.						
							Continue to provide a programme of data protection training and advice and support on information management processes and practice, particularly in identified areas for improvement.	Senior Information Risk Officer (SIRO) Ongoing	Mandatory data protection training continues to be provided to staff across the Council. A separate programme of events was undertaken for the introduction of General Data Protection Regulation (GDPR) (see 10b) to enhance our data security and information management arrangements.						
							Introduce a comprehensive digital EDRMS into the authority, reducing reliance on unmanaged network drive storage and assisting services to plan for the digitisation of paper records. Developing a rigorous approach to data governance policies, ensuring that our data is correctly categorized, tagged, and stored with appropriate retention guidelines applied	Head of Digital, March 2020	Implementation of the EDRMS will be undertaken as a phased project to be completed in March 2020. An appointment of an EDRMS manager to implement this is in progress. An information manager has been appointed in the Digital Programme Office (DPO). The post holder will work closely with the digital team and with the EDRMS manager to manage the data governance and standards Detailed guidance on systems administrators' roles and responsibilities has been issued, including information regarding the need for business continuity plans and a requirement to develop and upgrade systems as soon as notified.						

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likeli-hood	Impact	Risk Level				Year	Likeli-hood	Impact	Risk Level		
10b	Potential risk of Not adequately transitioning to the requirements of the General Data Protection Regulation resulting in reputational damage and risk of fines to the Council	The need to comply with General Data Protection Regulation (GDPR) by May 2018. The regulation impacts the way we process, store, protect and use personal data. Failure to comply could lead to adverse impacts on those whose data is affected, large fines and damage to the Council's reputation. The Council is implementing an action plan to ensure compliance building on existing Data Protection Act process already in place. The risk levels will be reviewed in line with progress with the action plan.	2018/19 2019/20 2020/21	Possible Possible Possible	Substantial Substantial Substantial	Medium Medium Medium	Previous action: Deliver the GDPR Action Plan to ensure the Council complies with the regulation by May 2018 New action: Following the implementation of GDPR in May 2018, monitor progress towards imbedding the regulations and ensure they are considered as a matter of business throughout the organisation.	SIRO (Tracey Harry) Ongoing	The GDPR action plan continues to be implemented with oversight from the Council's Information Governance Group. Work to implement the GDPR is ongoing and action plans to monitor progress are in place. A Data Protection Officer has been appointed to support this. The GDPR Operational Group is being reinstated to oversee work and will consist of leads from each area to monitor the ongoing work streams.	2018/19 2019/20 2020/21	Possible Unlikely Unlikely	Substantial Substantial Substantial	Medium low low	Tracey Harry & Cllr Phil Murphy	Select Committee: Economy and Development Objective: All
11a	Potential Risk of a lack of appropriate infrastructure in the County to meet future needs due to key Local Development Plan housing policy targets not being met, in conjunction with the County's changing demography and weak economic base, and other external changes such as removal of the Severn Bridge tolls impacting on the county. *ICT infrastructure is also important to meet future needs and this has been identified as a specific related risk below (risk 11b)*	Several key LDP policy indicator targets and monitoring outcomes relating to housing provision are not currently being achieved, including new dwelling completions and affordable dwelling completions. The ability for the current LDP to address emerging challenges such as the County's changing demography and the impact of removing the Severn Bridge tolls on the housing market. These factors can also affect planning for other infrastructure such as transport and energy. There is a need to consider the Council's future vision and the extent to which the current LDP aligns with that and its impact on wider infrastructure planning, such as transport, which could affect future economic, social, environmental and cultural well-being. There is potential for development to come forward outside the development plan system but this needs to be carefully managed to ensure it is sustainable. The Monmouthshire Joint Housing Land Availability Study (JHLAS) for	2018/19 2019/20 2020/21	Possible Likely Likely	Major Major Major	Medium High High	Prepare a replacement Monmouthshire LDP to address the shortfall in the housing land supply and facilitate the identification and allocation of additional housing land and appropriate employment land, with associated infrastructure.	Head of Planning Timescales in delivery agreement	Welsh Government agreed the Delivery Agreement for the replacement Monmouthshire Local Development Plan on 14th May 2018. Work on the replacement LDP has commenced. An Initial Call for Candidate Sites has been undertaken to assist the Council in understanding what land is available to inform the LDP Preferred Strategy. Work has commenced on identifying the issues facing the county and setting objectives to seek to address those issues as well as a vision for the new LDP. On 20 September 2018, Council resolved to give 'appropriate weight' to our housing land supply shortfall when considering planning applications for sites outside of the adopted LDP. Proposals will be considered against 11 ground rules. The replacement plan will ensure Monmouthshire maintains statutory Development Plan coverage to shape and manage development proposals. It also allows the Council and our communities to review future growth options and their relationship with the	2018/19 2019/20 2020/21	Possible Possible Unlikely	Major Major Major	Medium Medium Low	Mark Hand and Cllr Bob Greenland	Select Committee: Economy and Development Objective: Thriving and well-connected county

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likeli-hood	Impact	Risk Level				Year	Likeli-hood	Impact	Risk Level		
		2017-18 confirmed that the County has 3.9 years housing land supply. This is the third consecutive year that the land supply has fallen below the 5-year target.							pressing challenges and opportunities before us, such as our demography, affordability and availability of housing, economic growth and our role in the wider region.						
11b	Potential Risk that: Insufficient ICT infrastructure and skills in the county have the potential to lead to social and economic disadvantages	The majority of premises now have access to superfast broadband, which presents them with further opportunities. Around 13% of premises remain without sufficient broadband provision. Pockets of digital deprivation still exist in Monmouthshire with poor quality broadband connectivity Monmouthshire residents have high demand for broadband services, however, a significant skills issue exists in the County with approximately 20% adults in Monmouthshire not using the internet. Other drivers include the council needs to prepare for increased digital public service delivery, the implementation of the Online Universal Credit system, children's learning opportunities and the provision of digital health care.	2018/ 19 2019/ 20 2020/ 21	Likel y Likel y Likel y	Subst antial Subst antial Subst antial	Mediu m Mediu m Mediu m	Continue to collaborate with the Superfast Business Wales team to support their ICT Exploitation programme.	Head of Enterprise & Community Development Ongoing	We continue to work with Welsh Government to support access to Superfast Cymru Two. MCC is one of two local authorities represented on the Advisory Panel.	2018/ 19 2019/ 20 2020/ 21	Likely Likely Likely	Substa ntial Substa ntial Substa ntial	Mediu m Mediu m Mediu m	Cath Fallon & Cllr Sara Jones	Select Committee: Economy and Development Objectives: Thriving and well-connected county
							Enable the rollout and exploitation of high-speed broadband across the County for both businesses and communities.	Head of Enterprise & Community Development ongoing	Promotion of the Access Broadband Cymru scheme for areas outside the superfast Cymru roll out area continues. Superfast Cymru one is complete, there remains areas with a need for superfast broadband and Superfast Cymru two is yet to commence. Through funding secured via the Rural Community Development Fund, digital connectivity in community hubs is being trialled by focusing on four villages within the Llanover ward of Monmouthshire.						
							Trial the roll out of the TV white space broadband pilot, which will enable isolated rural communities to enjoy the same digital connectivity as in urban areas and, if successful, will be replicable in other rural areas.	Rural Programmes Manager, Ongoing	We continue to undertake digital connectivity pilots through the Rural Development Programme and Rural Community Development Fund. For example, the TV white space project trial has been completed and a report summarising the findings produced with future recommendations.						
							Benefit from the learning associated with the programme to trial the use of 5G technology.	Rural Programmes Manager, Ongoing	Monmouthshire is one of three locations to benefit from the learning associated with a £2m funding programme to trial the use of 5G technology acting as a testbed to bring world-class digital infrastructure to Monmouthshire.						
							Draft and gain approval of the digital deprivation action plan	Head of Enterprise & Community Development	A draft action plan is being developed to identify opportunities to address the issue of 13% of premises not having next generation access to broadband						

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likeli-hood	Impact	Risk Level				Year	Likeli-hood	Impact	Risk Level		
12	Potential Risk of: Political, legislative and financial uncertainty for council services and local businesses as a result of the UK leaving the European Union	The significant issues raised include: There is great uncertainty on the nature of the deal that will be agreed. The impact on the economy and public finances which could impact on local government financial settlements and what that might mean for the economic and social well-being of local communities, for example the impact on the agricultural sector. Restrictions on labour mobility may lead to county wide recruitment issues and skills shortages that impact on local business and council services, for example in social care. Many council services are governed by EU legislation or follow EU led policy, for example procurement rules and public protection services. There will be uncertainty while the process for extricating the UK from this law is established. Some projects rely directly on EU funding, such as the Rural Development Plan (RDP). Market volatility, inflation and financial uncertainty could impact on council revenue budgets and borrowing costs for capital schemes. Any market volatility could impact on the local government pension schemes. The leave vote created divisions: regionally and between age groups that could raise concern over social inclusion and a rise in hate crime.	2018/19 2019/20 2020/21	Almost Certain Almost Certain Almost Certain	substantial substantial substantial	High High High	Continued liaison and work with partners such as Welsh Government, WLGA and treasury advisers to understand and plan for any implications for the Council. Establish a Council Brexit working group to further develop understanding and coordinate preparations Continue to refine and update the Medium Term Financial Planning model and assumptions for future service budgets.	Senior Leadership Team Ongoing Chief Officer Enterprise and Head of Enterprise & Community Development Ongoing Chief Officer Resources, Ongoing	Many of the negotiations and decisions on Britain leaving the EU are outside of the council's control, given this and the current uncertainty the post mitigation risk levels have not been assessed to change The Council has established working relationships with key partners, such as the Welsh Government, the WLGA and treasury advisers to work with in understanding and planning for any potential risk to Council services. The Chief Executive is a representative on the Welsh Government's Local Government Preparedness Advisory Panel, which is providing strategic oversight for local government and supporting the co-ordination of preparedness within local government. We are engaged with partners on the Gwent Local Resilience Forum Risk Group. A council Brexit working group has been established which is being led by the Chief Officer Enterprise and Head of Enterprise & Community development. The group consists of a range of services most likely to be affected, including Environmental health, social care and People services. A specific Brexit risk register has been established. Close working with the WLGA has continued and the WLGA held a members seminar in January 2019 The Council already has an established Medium Term financial plan to model financial assumptions and scenarios for planning future service budgets, which will continue to be updated.	2018/19 2019/20 2020/21	Almost Certain Almost Certain Almost Certain	substantial substantial substantial	High High High	Senior Leadership Team & Cabinet	Select Committee: Economy and Development & Strong Communities Objectives: All

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likeli-hood	Impact	Risk Level				Year	Likeli-hood	Impact	Risk Level		
13. New	Potential risk that:

The authority cannot deliver its services due to potential internal/external factors resulting in service disruption due to lack of Business Continuity planning. | Due to a variety of threats/hazards, unforeseen circumstances can lead to service disruption issues resulting in loss of ICT, Staff, work premises, third party contractors/suppliers and equipment/specific resources.

There is a lack of evidence of the council's Service Business Continuity Management (BCM) Plans illustrating how such threats/hazards can be mitigated robustly | 2018/19

2019/20

2020/21 | Possible

Possible

Possible | Major

Major

Major | Medium

Medium

Medium | Development of MCC Service Area BCM Plans which present options for alternative service delivery – regardless of the reason / cause of disruption.

The Emergency Planning Service, based on Business Impact Criteria, produce a Register of Priority Services identified as P1, P2, P3 and P4. The focus in the next 12 months will be P1 services; year 2 will be P2 services and year 3 P3 & P4 services. | Emergency Planning Manager & Heads of Service

Ongoing | Emergency Planning has already developed a list of priority services that is reviewed every two years. BCM Plan frameworks have been developed for Service Managers to follow and to assist in developing specific service BCM Plans. Further work is still required to develop service area BCM Plans.

The forecasted risk level will not be reduced until service BCM plans are validated/exercised, which is longer than the three-year strategic risk assessment. | 2018/19

2019/20

2020/2021 | Possible

Possible

Possible | Major

Major

Major | Medium

Medium

Medium | Peter Davies & Cllr Phil Murphy | Select Committee: Economy and Development & Strong Communities

Objectives: All |

Risks removed from the strategic risk register at January 2019

Risk	Reason why identified	Mitigation undertaken and reason why removed from Strategic Risk assessment
10c. Potential risk of: Major disruption to services due to the transfer of the Council's email and skype to Office 365.	We are planning to transfer our email and skype software to Office 365 to utilise the latest cloud technology and maximise further beneficial tools and functions included with the O365 package. The transfer to Office 365, if not effectively implemented, could result in major disruption to the Council's email and Skype facilities for up to 5 days which will impact on the delivery of services The transition period will require users to make amendments and updates to their profiles, which requires training and awareness raising.	Project management arrangements were implemented, including: - Identifying all potential interfaces with other systems and ensuring compatibility tests were undertaken. - Ensuring all employees had the required level of training and support for the transfer exercise. - Using a phased approach to the transfer over 10 days to minimise disruption in the event of a failure during transition. - Test transfers undertaken with a small group to identify potential problems and issues. - Transfer of the Council's email and skype to Office 365 is now complete.

Appendix 2 - Strategic Risk Management Policy – Summary

This sets out the Council's policy and approach to strategic risk management. A copy of the full policy and guidance is available to staff and members on the council's intranet the Hub (Finance & Performance Management section – risk assessment)
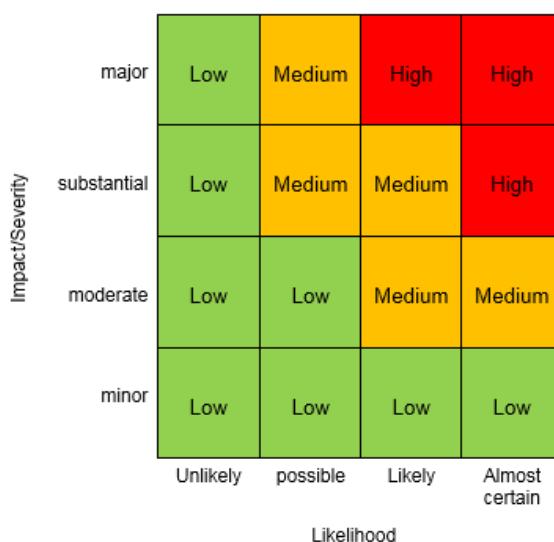
Risk Management is the process of identifying risks, evaluating their potential consequences and determining the most effective methods of controlling them or responding to them. Strategic risks are those which affect the Council as a whole. Typically these will be key risks which could significantly jeopardise the Council's ability to achieve it's objectives, statutory plans and/or provide operational services as planned.

The Council is committed to the effective management of risk. As a large public sector organisation, it is exposed to a wide range of risks and threats in delivering key services to communities. Within the Council the purpose of risk management is to:
- preserve and protect the Council's assets, reputation and staff
- promote corporate governance and aid good management in controlling and managing risks
- support successful delivery of strategic aims, objectives and outcomes
- improve business performance and better anticipate calculated risks where these are likely in delivering improvements
- avoid unnecessary liabilities, costs and failures

The Council seeks to ensure that risk management is effective from strategic to individual services and employees. Therefore, all employees and councillors are responsible for ensuring there are good levels of internal control and risk management throughout the Council in order that the Council's specified outcomes are achieved.

The Council uses a 'traffic light' system of Red/Amber/Green associated with High/Medium/Low to categorise risk levels. This is determined using the risk matrix below

Impact/Severity	Unlikely	possible	Likely	Almost certain
major	Low	Medium	High	High
substantial	Low	Medium	Medium	High
moderate	Low	Low	Medium	Medium
minor	Low	Low	Low	Low

Likelihood

High risk	The risk is **highly likely** to occur and the impact will be major. Management action/control evaluation and improvement is required coupled with continued pro-active monitoring
Medium risk	The risk is **unlikely** to result in a major issue, however, if it did the impact would be **significant or serious**. This risk is relatively less significant than a High risk however it needs to be closely monitored within timely management action/controls to ensure it does not escalate.
Low risk	The risk is **very unlikely** to occur and the impact will be **minor or moderate** at worst. Risk will be managed by seeking control improvements where practical and / or monitoring and reviewing at regular intervals