

SUBJECT:	Strategic Risk Assessment
MEETING:	Audit Committee
DATE:	13th February 2020
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 the extent to which the strategic risks facing the authority are appropriately captured.
- 2.2 That members scrutinise, on an on-going basis, the risk assessment and responsibility holders to ensure that risk is being appropriately managed.

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.
- 3.3 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.
- 3.4 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 plans.

- 3.5 An internal audit report on the Council's strategic risk management arrangements identified a number of areas for improvement. Work has continued to address these and they 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, along with a refresh of the Council's strategic risk management policy and guidance. Further action to address any remaining areas for improvement from the internal audit report on the Council's strategic risk management arrangements continue to be implemented.
- 3.6 In line with the Well-being of Future Generations Act, identification and mitigation of longer-term risks that will impact on 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. Through working with the Public Service Board we are developing our understanding of future risks and opportunities and how we respond to them in Monmouthshire. This will inform the strategic risk register as relevant.
- 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. 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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Appendix 1: Strategic Risk Assessment – January 2020

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale & responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	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.	<p>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.</p> <p>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.</p> <p>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.</p> <p>Budget assumptions modelled in September 2019 indicated a gap of £5.39 million in 2020/21 rising to a gap of £21.07 million over the medium term. Further work to refine this assumption based on local work and updated settlement announcements is being undertaken.</p>	2019/20	Possible	Major	Medium	<p>Continue to implement the Future Monmouthshire programme to meet short and long term need and ensure the aspirations of the corporate plan are sustainable</p>	<p>Chief Executive, March 2019</p> <p>Completed</p>	<p>The Future Monmouthshire programme was about ensuring the council remains relevant and viable for the next generation, while continuing to meet the day-to-day needs of residents, visitors and businesses. A range of transformation opportunities were incorporated within the 2019/20 Medium Term Financial Plan.</p> <p>The specific programme of Future Monmouthshire has concluded. The guiding principles of Future Monmouthshire continue to be applied in work ensuring the council remains relevant and viable, for example in the budget setting process.</p>	2019/20	Unlikely	Major	Low	<p>Paul Matthews & Cllr Peter Fox</p>	<p>Select Committee: All</p> <p>Objectives: All</p>
2020/21	Possible	Major	Medium	<p>Implement and track progress of the revised key delivery strategies: Digital Strategy, People Strategy and Asset Management Strategy.</p>	<p>Chief Officer Resources Timescales as per strategies</p>	<p>The council's key delivery strategies to enable the delivery of corporate plan have been revised. The revised strategies continue to be implemented and activity has been embedded in the relevant service business plans.</p> <p>The people strategy will be reconsidered informed by the learning from recent leadership development sessions, wider organisational learning and input.</p>				2020/21	Unlikely	Major	Low		
2021/22	Possible	Major	Medium							<p>Previous action: Produce an annual report evaluating performance in 2018/19 against the Corporate Plan and wider arrangements, in line with the Future Generation Act.</p> <p>New action: Complete the midterm review of the Corporate Plan.</p>	<p>Head of Policy and Governance October 2019 Completed</p> <p>Senior Leadership Team, February 2020</p>	<p>The Council' Corporate Plan Annual Report was published in October 2019. The plan provides an overview of progress towards the objectives in the plan during the past year and updates on performance indicators.</p> <p>A mid-term review of the commitments in the Corporate Plan is being undertaken to ensure that the aspirations and activity set remain relevant, that they are</p>	2021/22		

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								deliverable with the resources we have available and ensure they reflect the latest thinking on issues of importance to our communities.							
							Strengthen medium to long term strategic financial planning as part of the Medium term financial plan.	Chief Officer Resources, March 2021	Work will continue to be progressed, as part of Medium term financial plan, on strengthening medium to long term strategic financial planning, this will build on work from the draft financial strategy developed. This will be impacted by the lack of multi-year indicative financial settlements from Welsh Government.						
							Apply and update learning from work on future trends and plan for how they might impact at a local level in Monmouthshire.	Head of Policy and Governance ongoing	The learning from work on future trends undertaken with the Public Service Board 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. Working with the Public Service Board we are developing our understanding of future risks and opportunities and how we respond to them in Monmouthshire.						
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. New joint arrangements require robust governance arrangements to be established.	2019/20 2020/21 2021/22	Possible Possible Possible	Substantial Substantial Substantial	Medium Medium Medium	Update the Councils' constitution to ensure it reflects recent changes in legislation and governance.	Monitoring Officer June 2020	In December 2017, Council adopted changes to the council's constitution. A thorough review is currently being undertaken to ensure it reflects the latest legislation and council's governance structures. This is due to be presented to Council in May 2020.	2019/20 2020/21 2021/22	Unlikely Unlikely Unlikely	Substantial Substantial Substantial	Low Low Low	Matthew Gatehouse and Matthew Phillips & 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 Complete	A community governance review identified the need to consider new arrangements for area committees and North Monmouthshire Area Committee was subsequently identified as a pilot. A review of the pilot was presented to the committee. It						

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		<p>Monmouthshire County Council recognises the important and valuable contribution made by volunteers in enhancing service delivery. There is a need to continue 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.</p> <p>The Local Government and Elections Bill was published in November 2019. The Bill is a significant and substantial piece of legislation and includes provision related to democracy, regional working, structures, governance and performance.</p> <p>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 2019-20.” There remains proposals for improvement from Wales Audit Office relating to the Councils’ governance and scrutiny arrangements that are still being addressed.</p>						<p>was decided to continue with Area Committees in their current format.</p> <p>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.</p> <p>Submit evidence in response to the Local Government & Elections (Wales) Bill</p> <p>Work with the Democratic Services Committee to respond to areas in the Bill which require changes to MCC processes</p> <p>Manage our actions in response to Estyn, CIW and WAO via existing mechanisms</p> <p>Deliver the implementation plan for the volunteering policy (adopted in December 2017) in all service/business areas and continued implementation of the Volunteer toolkit.</p>	<p>Head of Tourism, Leisure & Culture</p> <p>Complete</p> <p>Head of Policy and Governance,</p> <p>February 2020</p> <p>Senior Leadership Team, timetable as per action plans</p> <p>HR Manager & Communities and Partnership Development Team</p> <p>Timescale as implementation plan</p>	<p>Following extensive investigative work and thorough consideration of the business case, Council decided not to progress with externalising Tourism, Culture, Leisure and Youth Services, but to retain services in-house with a commitment to a fundamental programme of renewal and transformation.</p> <p>A consultation response has been submitted to the Committee scrutinising the Bill.</p> <p>The potential financial cost of changes to the council chamber to reflect the impact of boundary changes and updates to equipment to sustain live streaming have been recognised in the capital budget.</p> <p>A new post of Policy and Scrutiny Officer has been appointed which will help create the capacity to increase participation in local democracy.</p> <p>The Council has arrangements in place to respond to regulatory reports and where necessary, these are reported to the relevant committees.</p> <p>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 Leading Volunteering training is delivered to staff that support volunteers.</p> <p>A Volunteer Kinetic digital management system is in place.</p>						

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									Service area champions have also been introduced to ensure that all current and new volunteers are recruited through the appropriate channels. In June 2019, the first Volunteering Conference was held to put volunteering at the forefront of council planning for the future.						
3.	<p>Potential Risk that:</p> <p>The Council and partners do not make sufficient progress in delivering through regional and partnership working.</p>	<p>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 and implemented. Arrangements to monitor delivery need to be further developed and embedded. The Council, as a statutory partner, has an important role in taking these forward.</p> <p>The Local Government and Elections Bill was published in November 2019. The Bill is a significant and substantial piece of legislation and includes provision related to democracy, regional working, structures, governance and performance.</p> <p>The Council is already part of regional and partnership-working arrangements in a variety of services; some of these require further development, for example, Joint Scrutiny of the Cardiff Capital Region is in its infancy.</p>	2019/20	Possible	Substantial	Medium	To deliver 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	Head of Policy & Governance and Community & Partnership Development Manager May 2020	<p>The Public Service Board has published its first annual report for 2018/19, which sets out the progress made so far by the PSB to deliver the objectives set out in the well-being plan, with a particular focus on the six steps prioritised by the PSB. Supported by the Council's Community and Partnership team, the PSB is developing a detailed action plan and performance management arrangements that capture the activity to deliver each step and link to the activity of the wider partnership groups that support delivery.</p> <p>Regional working with other PSB's in Gwent on some of the common well-being issues identified in well-being plans continues to be progressed. Opportunities and options to further strengthen partnership working between Gwent PSB's are being explored.</p> <p>A change in title and terms of reference has been agreed for the Public Service Board Select Committee. The newly entitled Public Services Select Committee will allow for wider scrutiny of public service provision and, where powers allow, will provide greater accountability of services delivered in collaboration or by external partners.</p>	2019/20	Possible	Substantial	Medium	Matthew Gatehouse, Cllr Peter Fox & Cllr Paul Jordan	<p>Select Committees: Audit Committee</p> <p>Public Service Board Select Committee</p> <p>Objectives: All</p>

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							<p>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.</p> <p>Submit evidence in response to the Local Government & Elections (Wales) Bill.</p> <p>Work with Welsh Government on the development of Corporate Joint Committees</p>	<p>The Leader, Ongoing</p> <p>Complete</p> <p>Head of Policy and Governance,</p> <p>January 2020</p>	<p>The group concluded its work in May 2019 with a series of recommendations. Progress made by the group includes a renewed commitment to partnership governance, a revised approach to early engagement regarding finances, and the re-establishment of sector-led improvement support within WLGA.</p> <p>A consultation Response has been submitted to the Committee scrutinising the Bill.</p> <p>Officers continue to engage with Welsh Government on the development of the Corporate Joint Committees which will provide the structure for collaborative working in the areas prescribed within s79(3) of The Bill</p>						
4a.	<p>Potential Risk that:</p> <p>Some services may become financially unsustainable in the short to medium term due to increasing demand and continuing financial pressures</p>	<p>After several years of taking significant resource out of the budget the means of achieving further savings is increasingly more challenging.</p> <p>Budget assumptions modelled in September 2019 indicated a gap of £5.39 million in 2020/21 rising to a gap of £21.07 million over the medium term. Further work to refine this assumption based on local work and updated settlement announcements is being undertaken.</p> <p>Funding from Welsh Government has reduced in recent years. The Welsh Government proposed settlement increase for Monmouthshire in 2020/21 is the lowest of any Council in Wales at 3%. Welsh Government funding is not adequate to meet the significant financial pressures the council faces</p>	<p>2019/20</p> <p>2020/21</p> <p>2021/22</p>	<p>Possible</p> <p>Possible</p> <p>Possible</p>	<p>Major</p> <p>Major</p> <p>Major</p>	<p>Medium</p> <p>Medium</p> <p>Medium</p>	<p>Ensure that services deliver within budget, deliver savings targets and continue to identify, review and challenge pressures.</p> <p>All services to model savings for 2020/21 and continue a longer-term programme that aligns with the medium Term Financial Plan and corporate plan.</p>	<p>Chief Officer Resources March 2020</p> <p>Chief Officer Resources March 2020</p>	<p>Overall the net revenue forecast at Month 7 2019/20 is a £3.99million deficit. 85% of savings are forecast to be achieved. This outturn forecast presents a significant and increased overspend. Limited opportunity has been identified for in year recovery action, one off adjustments have been identified that are designed to return a balanced position.</p> <p>The budget proposals for 2020/21 see a continuation of our preparedness to challenge all services to sustain themselves rather than to see the closure of services that matter to citizens and consider supporting commitments set out in the Corporate Plan. The significant in-year over spend, whilst being managed via a recovery plan, sees significant pressures carried through into 20/21 and with this already challenging backdrop has made the budget challenge even more acute.</p>	<p>2019/20</p> <p>2020/21</p> <p>2021/22</p>	<p>Unlikely</p> <p>Unlikely</p> <p>Unlikely</p>	<p>Major</p> <p>Major</p> <p>Major</p>	<p>Low</p> <p>Low</p> <p>Low</p>	<p>Peter Davies and Cllr Phil Murphy</p>	<p>Select Committee: All</p> <p>Objectives: All</p>

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		<p>In overall terms there are some £9.742 million of new unavoidable pressures that need to be accommodated as part of the 2020/21 budget. The 2020/21 budget shortfall was £1.178 million (December 2019), if all the savings proposals reported to cabinet are approved.</p> <p>Pressures on the budget have been increasing in terms of demographic growth, demand on services and expectations and pay and pension increases.</p> <p>Overall the net revenue forecast at Month 7 2019/20 is a £3.99million deficit.</p> <p>Earmarked reserve usage over the MTFP period is projected to decrease the balance on earmarked reserves from £5.48 million in 2019/20 to £5.28 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 £4.5 million.</p> <p>Along with the rest of the organisation, schools are facing a challenging financial settlement. School balances have been declining over a number of years and for the year end 2018-19, balances were in a collective deficit. This forecast deficit has increased in the current financial year. By the end of the financial year 2019/20, it is anticipated 16 schools will be in a deficit reserve</p>						<p>The draft revenue budget proposals 2020/21 were presented to cabinet in December 2019 and are open for a period of consultation via various methods until 31st January 2020. The 2020/21 budget shortfall was £1.178 million (December 2019), if all the savings proposals reported to cabinet are approved. The provisional Welsh Government financial settlement has since indicated a 3% increase in funding, the impact of this will be modelled and factored into the budget, with confirmation of the final settlement anticipated in March 2020.</p> <p>Work continues to develop ideas and proposals such that they can be brought into the budget once they are sufficiently progressed. The mid-term review of the Corporate Plan being presented to Council in the New Year will also need to consider any policy changes needing to be considered to put services on a more sustainable footing for the future.</p> <p>Final budget proposals following consultation and receipt of the final settlement will go to a special Cabinet on 19th Feb 2020 and approval of Council Tax and final budget proposals will then take place at Full council on 5th March 2020.</p>							
							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-						

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		position. This position is a concern to the Local Authority, if the deficit balances for schools continue to increase this could over time have an impact on the overall reserves for MCC						<p>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.</p> <p>The council has acquired two commercial investments to generate income to support Council services. Any further investments will be considered by the Investment Committee. In 2020/21 on commercial income, Newport Leisure Park is outperforming the £400k saving target by £48k. However, Castlegate is reporting a shortfall against budget income of £56k as a result of vacant units. However, this should be seen as part of a balance portfolio that is already contributing in excess of £600k of net income to the Authority.</p>							
						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 Enterprise and Community Animation Timescales as per strategy	A new Procurement strategy was approved in July 2018. In order to deliver the aspirations set out within the procurement strategy, the Council has commissioned an independent company to undertake a health check of the procurement function. The primary purpose is to establish whether there are any opportunities to reduce our external costs, as well as to examine our current level of capacity to deliver against stretching targets identified within the procurement strategy. The results of this piece of work are due later in the year.							

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							Strengthen medium to long term strategic financial planning as part of the Medium term financial plan.	Chief Officer Resources, March 2021	Work will continue to be progressed, as part of Medium term financial plan, on strengthening medium to long term strategic financial planning, this will build on work from the draft financial strategy developed. This will be impacted by the lack of multi-year indicative financial settlements from Welsh Government.						
							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. Including, considering the offer of providing loans to schools.	Finance Manager – Children & Young People Ongoing	15 schools started 2019/20 year in deficit. Indications are 16 schools will end the year in deficit based on month 7 forecasts. The deficit position remains particularly acute for the 4 secondary schools. Schools are working closely with the Local Authority to minimise any overspends and agree recovery plans, monitoring of these plans continues to ensure they are met. To help manage this situation Cabinet is considering the offer of a loan to schools as part of the draft budget proposals for 2020-21. Should it be approved there will be strict criteria around the offer, including the criteria that schools who take a loan cannot enter a deficit position and must be able to manage the repayments from the funding delegated to the school.						
4b.	Potential Risk that: The authority is unable to deliver its political priorities or maintain key infrastructure and meet other identified pressures due to insufficient capital funding availability.	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 coming to a successful conclusion. Officers	2019/20	Possible	Major	Medium	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. It provides a framework through which our resources, and those matched with key partners, are allocated to help meet strategic priorities.	2019/20	Possible	Major	Medium	Deb Hill-Howells, Peter Davies & Cllr Phil Murphy	Select Committees: Economy and Development & Strong Communities Objectives: All
		2020/21	Possible	Major	Medium	2020/21				Possible	Major	Medium			
		2021/22	Likely	Major	High	2021/22				Possible	Major	Medium			

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		<p>are working through options in relation to a future Welsh Government Band B programme.</p> <p>There 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. These include property and highways infrastructure, DDA work, Public rights of way etc.</p> <p>In addition to this there are various schemes/proposals (e.g. Monlife, tranche C Future schools, climate emergency response, any enhanced DFG spending etc.) 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.</p> <p>In the event of emergency pressures, resources will have to be diverted.</p> <p>Projects, such as the CCR City Deal, require significant capital investment to realise the outcomes</p> <p>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 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.</p>						<p>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.</p> <p>The strategy better reconciles resourcing with affordability and will increasingly form the Council's capital budget deliberations going forward.</p> <p>The draft outline proposed capital budget for 2020/21 and the indicative capital budgets for the three years 2021/22 to 2023/24 was presented in to Cabinet in December 2020. Future schools and other identified schemes that need to be accommodated in the capital MTFP are being developed.</p> <p>There will still 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. These pressures are undergoing further review and risks are being assessed to determine whether there needs to be any further capital budget provision afforded to mitigate any significant risks requiring more immediate action. The results of this review will be reflected in the final capital budget proposals submitted to Cabinet in February 2020.</p>							
						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	A programme of property condition surveys are currently being undertaken by external consultants, these will be used to inform prioritisation of capital maintenance spend. A programme							

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								Placemaking, Housing, Highways and Flood	of Health and safety surveys is currently being commissioned. Independent condition assessments of key highways infrastructure are completed as required depending on condition. These inform prioritisation of available capital budget.						
							Deliver the Asset Management Plan to manage the Council's land and property portfolio	Head of Commercial and Integrated Landlord Services Timescales as per plan	The Asset Management strategy is being implemented and actions from the plan have been integrated into the relevant business plans for ongoing monitoring and progress reporting.						
							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	Head of Commercial and Integrated Landlord Services Ongoing – see Asset Management strategy	The council has acquired two commercial investments to generate income to support Council services. Any further investments will be considered by the Investment Committee. In 2020/21 on commercial income, Newport Leisure Park is outperforming the £400k saving target by £48k. However, Castlegate is reporting a shortfall against budget income of £56k as a result of vacant units. However, this should be seen as part of a balance portfolio that is already contributing in excess of £600k of net income to the Authority.						
5. Revis ed	Potential Risk that: Reduced organisational capacity, including skills and knowledge, and recruitment and retention issues will impact on our ability to deliver organisational aims and 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 11.5 days per FTE employee in the year to March 2019, which was amongst the highest of	2019 /20 2020 /21 2021 /22	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.	Head of People Services Timescales as per strategy	The People strategy continues to be implemented and activity has been embedded in the relevant service business plans. The People Strategy will be reconsidered informed by the learning from recent leadership development sessions, wider organisational learning and input. The Cadetship programme was introduced in 2018 to help support	2019 /20 2020 /21 2021 /22	Possible Possible Possible	Substantial Substantial Moderate	Medium Medium Low	Tracey Harry & Cllr Phil Murphy	Select Committee: Strong Communities Objectives: All

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		<p>welsh local authorities. The People strategy identifies that tools and guidance to manage and prevent sickness are not always used effectively.</p> <p>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.</p> <p>Some services have identified challenges with recruitment and retention in certain sectors including care support workers, home carers and engineering. Staff turnover is fairly stable at 8.73%.</p>						<p>succession planning in areas under the programme. The programme is currently undergoing a change in management structure and will be reviewed in the coming months.</p> <p>The Apprentice, Graduate and Intern (AGI) Strategy was approved in July 2019. A recruitment process has resulted in the appointment of an AGI Coordinator post to deliver on the priorities and actions within the strategy.</p>							
							<p>Previous action: Continue to implement Directorate workforce planning using HR business partnering meetings to engage and support teams in workforce planning.</p> <p>New action: embed workforce planning into team management processes to ensure the right skills, expertise and knowledge are available for future changes</p>	<p>HR lead & Training Lead Completed</p> <p>HR lead & Training Lead Ongoing</p>	<p>A workflow has been developed to enable service leaders to effectively focus on succession and workforce planning. HR attend DMTs, and other management meetings, where the workforce data is discussed, organisational insight is provided, and relevant actions undertaken where appropriate.</p> <p>A Recruitment and Selection policy has been developed, which prompts managers to think about apprenticeships, forward thinking and future planning, 3 to 5 years ahead.</p> <p>The Leaders Induction includes information for managers on knowing their people, understanding performance and identifying future plans, i.e. if someone is approaching retirement, what skills will they take when they leave? By empowering managers. It is hoped that workforce planning will be integrated into the unique and specific team/department.</p> <p>To assist managers, the current payroll and HR system is being reviewed. Supplier days have been carried out. A visioning piece has</p>						

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								<p>also been conducted across the organisation to determine what is required from a HR/Payroll system. This has resulted in a system specification and a decision is pending on next steps.</p>							
						<p>Embed the attendance and wellbeing policy.</p> <p>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.</p>	<p>Head of People Services</p> <p>Ongoing</p>	<p>The revised attendance and wellbeing policy was approved by Cabinet in June 2017. It will be reviewed, as a recent internal audit identified a lack of compliance in some areas. The average number of working days lost to sickness absence per employee in 2018/19 was 11.5 days, above the Councils targeted rate of 10.5, although it does appear to be plateauing.</p> <p>Training is ongoing; there has been greater focus on the use of Department Management Teams to challenge where work is not being undertaken to promote accountability.</p> <p>It is hoped that new payroll and HR system will help by enabling prompts, e.g. absence is recorded so prompts are provided throughout the duration of the absence to ensure all steps of the process are adhered to.</p> <p>The Staff Handbook, which has been designed by colleagues, is now available to all. Currently, it is handed out at Induction and placed in staff access venues.</p> <p>The Go To Group is proving to be successful amongst staff; feedback has identified that employees appreciate the informal nature of the group. Attendee numbers are deliberately not recorded but volunteers report that the service is being used by the workforce. It is</p>							

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								<p>now being promoted at Induction and Leadership sessions.</p> <p>A Counselling service is available for employees to access via HR or management referral. This is a service funded by the council and offers up to six sessions.</p> <p>In additional to the counselling service, a self-referral system is available via DWP. This is an external source of support, but is being advertised to all.</p>							
						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	<p>A recording module was developed that allowed managers to record the completed CICO directly into the HR system. This had varying degrees of success due to a number of factors. To enable managers to complete the reviews in a way that suits them and their teams, all managers have been instructed to input the completed CICO numbers into their quarterly business plan updates.</p> <p>Information has been provided via service business plan update guidance to support managers to utilise the plans to record rates of completed CICOs. Further advice continues to be provided to managers. When the Q4 (outturn) service plans are produced and PI data for annual staff appraisals provided, a further QA process will be undertaken by HR colleagues to validate and confirm the robustness and accuracy of information provided.</p> <p>The new HR/payroll system will consider performance appraisal in its list of requirements.</p>							

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							Continue with perpetual recruitment and advertising for Social Care staff and implement the We Care campaign.	Transformation Lead Social Care & Health & Chief Officer Social Care & Health September 2020	Work is underway to raise the profile of care work as part of a national programme called “We Care”, which aims to recruit 20,000 care workers across Wales by 2030. We have been using a coordinated approach to ensure we attract people to consider this very valuable role. This will be an on-going process.						
6. revised	Potential risk of: Significant harm to vulnerable children or adults due to failure of arrangements or factors outside the Council’s control	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. 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. 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. Progress has been made in addressing these; there remains further work to fully address them. Internal audit have issued a reasonable level of assurance in an organisational report on	2019/20 2020/21 2021/22	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 2018/19, 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 embedding and sustaining the highest standards of safeguarding is a continuous endeavour. This evaluation report forms an integral part of the improvement of safeguarding practice across the Council, and drives the work of the Whole Authority Safeguarding Group. A safeguarding ‘self-assessment’ is undertaken every other year on a directorate basis via the Safeguarding Assessment Framework for Evaluation (SAFE). This is currently underway and will be completed over the next 6 months. The key development this year, has seen directorates sharing the outcomes of their SAFEs through a work-shop approach, using real case studies from their service areas to demonstrate safeguarding in action.	2019/20 2020/21 2021/22	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

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		<p>volunteering, issued in November 2019.</p> <p>The continued upward trend in demand within both children’s and adult’s services puts services under pressure.</p> <p>There has been a significant increase in adult safeguarding concerns being referred to the Adult safeguarding team and an increased Safeguarding function with the demands of the Gwent Adult Safeguarding Board, and Corporate Safeguarding. This has impacted the timescales in which the safeguarding process can be completed.</p>					<p>Drive the strategic agenda and the associated programme of activities for safeguarding through the Whole Authority Safeguarding Group (WASG).</p>	<p>Chief Officer, Social Care, Health & Safeguarding Ongoing</p>	<p>The Corporate Safeguarding Policy was reviewed and updated in January 2019 to include a clearer link to Data Protection issues and Whistleblowing.</p> <p>The Whole Authority Safeguarding Group meets 6-weekly, chaired by the Statutory Director (Chief Officer) and minutes are retained. Every directorate is represented. The WASG continues to provide leadership, direction, oversight, support and challenge to strengthen safeguarding activity in the Council.</p>						
							<p>Ensure that robust systems are in place within the authority to respond to any concerns regarding child protection and protection of adults at risk.</p>	<p>Chief Officer, Social Care, Health & Safeguarding Ongoing</p>	<p>There is a comprehensive range of mechanisms across children and adult services that allow for a robust approach to quality assurance.</p> <p>The continued upward trend in demand within both children’s and adult’s services puts services under pressure.</p> <p>Monmouthshire has also had an active role in the new All Wales Child and Adult Protection Procedures consultation processes, and is ensuring that there is good awareness across the Council of these new All Wales Child and Adult Protection Procedures</p>						
							<p>As a statutory partner of the regional safeguarding boards, 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</p>	<p>Chief Officer, Social Care, Health & Safeguarding Ongoing</p>	<p>There continues to be full representation at all levels of the work of the regional safeguarding board and VAWDSV board. There is strong engagement in regional approaches to Multi-Agency Sexual Exploitation meeting (MASE) Child Sex Exploitation (CSE), Violence Against Women Domestic Abuse and Sexual Violence (VAWDASV)</p>						

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							<p>learning from any Domestic Homicide review, adult practice review or child practice review that is undertaken under the safeguarding board.</p>		<p>and Contest (PREVENT anti radicalisation).</p> <p>There continues to be a strong Monmouthshire engagement with regional safeguarding boards and involvement in the Strategic and Operational Safeguarding groups. Across Gwent Monmouthshire is leading in terms of the development of Exploitation and Modern Day Slavery processes and training, including Criminal Exploitation and “County Lines” Drug supply.</p>						
							<p>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</p>	<p>HR Manager & Communities and Partnership Development Team Timescale as implementation plan</p>	<p>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 Leading Volunteering training is delivered to staff that support volunteers.</p> <p>A Volunteer Kinetic digital management system is in place. This means we have a live central record of volunteer safe recruitment information and activity. The system is structured so dependent on the role the proportionate amount of safe recruitment checks are carried out and logged on the volunteers’ profile, also training is logged on the system for example Safeguarding Level 1. This data is checked and reported on a quarterly basis. We have resource to support the implementation and training for our colleagues using the system.</p> <p>Service area champions have also been introduced to ensure that all current and new volunteers are</p>						

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								recruited through the appropriate channels. In June 2019, the first Volunteering Conference was held to put volunteering at the forefront of council planning for the future.							
							To implement the Action Plan established in response to the Wales Audit Office led review of children’s safeguarding.	Chief Officer, Social Care, Health & Safeguarding 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. The WAO conducted a follow up ‘light touch’ inspection on this in September 2019, the final report has not yet been issued. Our evaluation of progress shows progress has been made in addressing a number of proposals. There remains further work to fully address some of the proposals including central recording and monitoring employee data regarding safeguarding training and rolling out across further service areas the matrix for self-assessment of Minimum Standards for Safeguarding Across Commissioned Services.						
							Identify and implement proposals to address capacity issues specifically for adult protection	Chief Officer, Social Care, Health & Safeguarding January 2020	A Review of Adult Safeguarding team performance and structure has demonstrated the significant increase in safeguarding concerns being referred to the department and an increased Safeguarding function with the demands of the Gwent Adult Safeguarding Board, and Corporate Safeguarding. This has impacted the timescales in which the safeguarding process can be completed and has led to recommendations in relation to structure, capacity and workload in order to meet current demand and prepare for the Wales Adult						

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								Safeguarding Procedures to be launched in November 2019.							
7.	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.	<p>The number of children on the child protection register increased substantially from 73 to 116 at the end of 2018/19. The increase during 2018/19 meant the rate per 10,000 child population exceeded the Wales rate at the same point in time. At the end of September 2019 there were 108 children on the register.</p> <p>The number of looked after children has increased from 173 at the end of 2018/19 to 190 at the end of September 2019 continuing the upward trend.</p> <p>The 2019/20 net budget for Children Services is £11.9m, over half of which relates to looked after children, in particular, placements for looked after children. At month 7 2019/20 Children's Services are forecasting a £2.774M overspend, experiencing significant demands placing pressure on the placement budget, plus the knock on effect in the associated legal and transport provision to support care packages and the need to cover internal staff shortages</p>	2019/20	Possible	Major	Medium	<p>Continue to review and evaluate performance of Early Help and Family Support service.</p> <p>Continue to review and embed MyST, a Multi-disciplinary Intensive Therapeutic Fostering Service and assess impact on placement activity with children with complex needs.</p> <p>Continue to implement the fostering strategy on the recruitment, retention and skills development of in house fostering.</p>	Head of Children's services March 2021	<p>There has been a real focus in the last year in Children's Services to implement a co-ordinated approach to early intervention and prevention. Early help and support services are developing well. The service has continued to respond to the demand pressure, expanding and developing services particularly through the family support offer so that the right help is provided at the right level of intensity. Early evaluation of our family support services indicates clear and positive outcomes for families (for example our Achieving Change team is currently working with 50 plus children on the 'edge of care' to enable them to remain living safely with their parents).</p> <p>We have collaborated with Blaenau Gwent and implemented the MYST service, a Multi-disciplinary Intensive Therapeutic Fostering Service for Looked After Children and Young People, which will help to support children with complex needs within a foster care setting.</p> <p>Monmouthshire is aiming to attract more foster carers to offer placements to looked after children. Active campaigns are being run to increase the rates of in house foster carers. During 2018/19, the overall number of foster carers increased from 51 to 65 By September 2019 there was an increase to 71 foster carers which includes kinship carers (friends or relative caring for a specific child). Although this is a positive increase, the increasing number of looked after children</p>	2019/20	Possible	Major	Medium	Julie Boothroyd & Cllr Penny Jones	<p>Select Committee: Children & Young people</p> <p>Objective: The best possible start in life</p>

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								means that demand remains high and therefore recruitment campaigns are continuing. It is hoped that the 20 for 20 reasons to foster will create an additional boost and impetus.							
							Implement next phase of children's services development programme focused on achieving the best outcomes for children and families.	Head of Children's services April 2021	Children Services have completed a 3 year improvement programme (2016-2019) which concentrated on, securing stability in the workforce, developing a delivery model of practice, commissioning and service critical issues, the service is now moving onto a further 2 year programme (2019-2021). The focus will be on practice development and will shape the way we work with families over the next number of years. The importance of relationships and how we work with families to support their strengths, manage risks and achieve good enough outcomes will be key indicators of success.						
							Deliver the action plan in response to findings of an Internal Audit report on children's services placements	Service Manager – Children's services Completed	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						
							Review and monitor the Looked after Children population rises in line with Welsh Government expectations	Head of Children's services As per plan provided to WG.	The number of looked after children has increased from 173 at the end of 2018/19 to 190 at the end of September 2019 continuing the upward trend in recent years. Whilst we develop interventions to address early identification, and manage appropriately pre- and post-statutory intervention with families, the growing numbers mean that services are under pressure. Work is underway to maximise the opportunities to reduce the current trends, Welsh Government recently carried out a						

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									<p>Looked after Children's review across Wales. As part of this we have submitted plans to reduce the numbers of children being looked after. This relies heavily on all parts of the system being geared to support the plans for reduction.</p> <p>Over the next year as well as continuing to embed preventative services, we are expanding our offer to ensure that children are equally supported to leave care safely.</p>						
8. revised	<p>Potential Risk of:</p> <p>Failing to meet the needs of learners, including vulnerable learners, and failing to promote pupil well-being within Monmouthshire's schools, which may result in children and young people not achieving their full potential.</p> <p>Failing to adapt to changes in the new curriculum and examination requirements.</p>	<p>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.</p> <p>There is variation in standards across schools, with some schools judged by Estyn to be only adequate or unsatisfactory, and some schools remain in amber support categories.</p> <p>Poor leadership, management, capacity and performance has been identified in some schools.</p> <p>There are challenges in meeting the demand for Welsh Medium education provision in the future.</p> <p>There is an increasing demand for additional support for children with additional learning needs.</p> <p>The Monmouthshire PSB well-being plan recognises the importance of greater support for the well-being of children and young people. Students' responses to the 2017/18 School</p>	<p>2019/20</p> <p>2020/21</p> <p>2021/22</p>	<p>Possible</p> <p>Possible</p> <p>Possible</p>	<p>Major</p> <p>Major</p> <p>Major</p>	<p>Medium</p> <p>Medium</p> <p>Medium</p>	<p>Ensure the commissioned arrangements with the Education Achievement Service (EAS) address the authority's concerns in challenging and supporting schools</p>	<p>EAS & MCC Ongoing</p>	<p>EAS continue to provide ongoing challenge, monitoring and evaluation work in schools with a continued focus on vulnerable learners.</p> <p>The EAS work with schools to track individual pupil performance over time. This supports us in gauging where schools are progressing well or where they may need additional support.</p> <p>From our agreed work with the EAS, we will: Strengthen leadership and teaching and learning capacity in identified schools to ensure that all pupils make appropriate progress from their starting points. Improve the outcomes for all vulnerable learners, particularly those eFSM, at the secondary stages (key stages 3 and 4) and at the higher levels. Reduce variance in outcomes between schools and departments particularly at key stage 4. Work with all stakeholders to develop effective mechanisms to help reduce the amount of exclusions.</p>	<p>2019/20</p> <p>2020/21</p> <p>2021/22</p>	<p>Possible</p> <p>Possible</p> <p>Unlikely</p>	<p>Major</p> <p>Major</p> <p>Major</p>	<p>Medium</p> <p>Medium</p> <p>Low</p>	<p>Will Mclean & Cllr Richard John</p>	<p>Select Committees: CYP</p> <p>Objective: The best possible start in life</p>

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		Health Research Network Student Health and Wellbeing Survey shows there are areas where students' well-being can be further supported.					<p>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.</p> <p>Work closely with our secondary schools to ensure they are meet the needs for the full range of learners.</p>	EAS & MCC Ongoing	MCC and EAS to continue to work with schools in ensuring that they are preparing for the new curriculum and meeting the needs of students. EAS continue to monitor where schools progress and where they may need additional support.						
							Continue to improve the quality of self-evaluation in the CYP directorate.	Chief Officer Children & Young People Ongoing	The Chief Officer Report for Children and Young People was presented to Council in May 2019. The report informed Council of the progress that the education system made in the previous twelve months since the last report. This is an ongoing annual report. Estyn Local Authority Link Inspection visits continue and the authority will be inspected in February 2020.						
							Deliver the Welsh Education Strategic Plan in collaboration with neighbouring authorities	Head of Achievement and Attainment Timescales as per WESP	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.						
							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 2020	The statutory consultation process on a proposed new model for the delivery of ALN and Inclusion Services was completed. In December 2018, Cabinet agreed to the implementation of a number of regulated alternations from 29th						

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								<p>April 2019. These included changes to the type and capacity of provision to Special Need Resource Bases in specified schools.</p> <p>As a part of the December 2018 Cabinet decision, the extended 'in-reach' services by the Pupil Referral Unit have been implemented and the staff recruited. From September 2019, this will provide significant additional resource to challenging behaviour in schools, supporting vulnerable learners and will form a key part of the graduated response to behaviour in our schools.</p> <p>Following consultation on the closure of Mounton House Special School, a report was presented to Cabinet in September 2019 and the decision was made to publish notices for the closure of the school.</p> <p>In January 2020, a report was presented to Cabinet to conclude the statutory process relating to the proposed closure of Mounton House Special School. Following the publication of statutory notices, members were presented with the details of any statutory objections received and agreed to the closure of Mounton House with effect from 31st August 2020.</p>							

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							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	The Monmouthshire Public Service Board has prioritised the step in its well-being plan. The Children and Young People’s Strategic Partnership is being developed to bring key partners together to lead on the delivery plan. The Council continues to work on the Public Service Board well-being plan step on Adverse Childhood Experiences (ACEs). The response to this in Monmouthshire involves an understanding of the impact of ACE’s within our communities, and coordination with a range of partners, to develop a long-term approach to prevention, taking account of the complexity of issues involved.						
9. revised	Potential risk of: Loss or corruption of data due to cyber-attack or data mismanagement which will compromise the delivery of essential council services.	<p>There are a number of high profile cases across both public and private organisations where cyber-attacks and data breaches have compromised service delivery and financial loss. This can also affect safeguarding of our vulnerable people in communities.</p> <p>Aside from physical security, there is evidence that cyber security risks are introduced via a workforce that is unaware of information management, information governance and cyber security through their personal actions.</p> <p>There is a risk of cyber security being compromised through a lack of structured governance arrangements and planning.</p> <p>There is evidence that incomplete, inaccurate and unstructured digital data will</p>	2019/20	Possible	Major	Medium	Undertake a structured and comprehensive training programme for all staff on cyber security, information management and GDPR. Incorporate specific cyber-crime training into the Data Protection Training	Cyber security service Ongoing	<p>A digital trainer is now located within the Digital Programme Office and is producing focussed e-learning modules, as well as sitting alongside teams to deliver targeted training.</p> <p>The Digital Programme Office are delivering cyber security training sessions via face to face and e-learning sessions. This training will be mandatory from April 2020</p> <p>The network of Digital Champions is regularly being upskilled in cyber threat awareness through regular Digi champion’s workshops and meetings.</p> <p>Cyber security training has been incorporated into induction and across the authority via e-learning. Specific cyber security awareness raising has been held through a ‘cyber security awareness week’.</p> <p>A cyber security service shared between Gwent Police, TCBC and MCC has been commissioned which acts as an audit function of</p>	2019/20	Possible	Major	Medium	Sian Hayward & Tracey Harry. Cllr Phil Murphy	Select Committee: Economy and Development Objective: All
			2020/21	Possible	Major	Medium				2020/21	Possible	Major	Medium		
			2021/22	Possible	Major	Medium				2021/22	Unlikely	Major	Low		
							Continuous monitoring of cyber threat and mitigation by the security team and the DPO	Digital Projects Team Ongoing							

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		inhibit accurate data analysis, compromise decision making and ultimately compromise service delivery, service efficiency and budget management.					identifying technical solutions to potential risk areas.		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.						
							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. The strategy will be reviewed in august 2020.						
							Introduce a comprehensive digital EDRMS into the authority ensuring data is categorized, tagged, and stored with appropriate retention guidelines applied.	Head of Digital March 2020	An officer has been appointed to manage the MS suite of products, starting with SharePoint online. Implementation has started in January 2020 with a programme to transfer all data and information off unmanaged network drives onto a managed and structured EDRMS that's available 24/7 to authorised personnel. An information manager has been appointed to work closely with the digital team and with the EDRMS manager to manage the data governance and standards.						
							Develop a rigorous approach to data governance policies, ensuring that our data is structured and clean in order to aid BI, RPI and AI.	Head of Digital Ongoing	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.						
							Make use of the security features within O365 licencing to protect mobile devices and information sharing		Licencing arrangements have incorporated Multi Factor Authentication for mobile devices.						

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale & responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
									New licencing being introduced in December 2020 will incorporate a seamless mobile device management solution. Licencing will also bring in enhanced security for file sharing and working with new secure communications technology via 'Teams'.						
10a. revised	<p>Potential Risk of: a lack of appropriate infrastructure, including affordable housing, in the County to meet future needs arising due to the County's changing demography and weak economic base, external changes such as removal of the Severn Bridge tolls, and as a result of the growth of the County as set out in the emerging new Local Development Plan.</p> <p>ICT infrastructure is also important to meet future needs and this has been identified as a specific related risk below (risk 10b)</p>	<p>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.</p> <p>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.</p> <p>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.</p>	2019/20	Possible	Major	Medium	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 Placemaking, Housing, Highways and Flood	Welsh Government agreed a revised Delivery Agreement for the replacement Monmouthshire Local Development Plan on 6th March 2020.	2019/20	Possible	Major	Medium	Mark Hand and Cllr Bob Greenland	<p>Select Committee: Economy and Development</p> <p>Objective: Thriving and well-connected county</p>
		2020/21	Likely	Major	High			Ongoing	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. Consultation and community engagement has been undertaken to identify the issues facing the county, set objectives to seek to address those issues, to clarify a vision for the new LDP, and to seek opinions on options for the amount and spatial distribution of growth.	2020/21	Likely	Major	High		
		2021/22	Likely	Major	High				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 address the pressing challenges and opportunities before us, such as our demography, affordability and availability of housing, economic growth and our role in the wider region. The LDP will be drafted in the light of the Council's Climate Emergency declaration, placemaking and active travel considerations, and will be	2021/22	Unlikely	Substantial	Low		

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale & responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
								<p>accompanied by an Infrastructure Plan and a new Local Transport Plan</p> <p>A pragmatic approach to seek to address some of these issues in advance of the new LDP has been trialled but this is under review in the light of a clear emerging policy direction from the Welsh Government.</p>							
10b. revised	Potential Risk that: Insufficient broadband infrastructure and a lack of digital skills in the county have the potential to lead to social and economic disadvantages	<p>Although the majority of premises now have access to superfast broadband, there are pockets of digital deprivation with around 13% of premises still without sufficient broadband provision.</p> <p>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.</p>	2019/20	Likely	Substantial	Medium	Continue to collaborate with the Superfast Business Wales team to support their ICT Exploitation programme.	Head of Enterprise & Community Animation	The Council continues to be one of the three local authorities represented on the Superfast ICT Exploitation Panel.	2019/20	Likely	Substantial	Medium	Cath Fallon & Cllr Sara Jones	<p>Select Committee: Economy and Development</p> <p>Objectives: Thriving and well-connected county</p>
			2020/21	Likely	Substantial	Medium		Ongoing		2020/21	Likely	Substantial	Medium		
			2021/22	Likely	Substantial	Medium	Enable the rollout and exploitation of high-speed broadband across the County for both businesses and communities.	Head of Enterprise & Community Animation	The Council has continued to work with Welsh Government to support access to Superfast Cymru and is one of the rural local authorities represented on the newly formed Wales Digital Infrastructure Group Welsh Government have targeted 1580 premises under Superfast Cymru 2 for Monmouthshire, all to be fibre to the premise.	2021/22	Possible	Moderate	Low		
						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	Rural Programmes Manager,	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							

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			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
							successful, will be replicable in other rural areas.		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 was one of three locations benefitting from the learning associated with a £2m DCMS fund programme to trial the use of 5G technology acting as a testbed to bring world-class digital infrastructure to Monmouthshire. The project provided one village, Llanddewi Rhydderch, with gigabit speeds.						
							Draft and gain approval of the digital deprivation action plan	Head of Enterprise & Community Development Timescales as per action plan	Cabinet approved the Digital Infrastructure Action Plan in September 2019. The plan identifies opportunities to address the issue of 13% of premises not having next generation access to broadband						
11.	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 Withdrawal Agreement Bill has been enacted taking the United Kingdom out of the European Union on 31st January, the UK is in a transition period after leaving the EU until 31 December 2020. During this time, the future UK-EU relationship will be negotiated and agreed. While these negotiations continue there remains uncertainty on future arrangements. The areas where there are potential risks for the council include: Disruption to the Council's supply chain (in particular Food Supply) Threat to EU funded projects/lack of clarity over future funding streams; Financial implications on budgets due to increased costs in relation	2019 /20	Almost Certain	substantial	High	Continue to further develop understanding and coordinate preparations through the Council Brexit working group	Chief Officer Enterprise and Head of Enterprise & Community Development Ongoing	Many of the negotiations on Britain leaving the EU are outside of the council's control, given this and remaining uncertainty the post mitigation risk levels have not been assessed to change. A council Brexit working group has been established which is being led by the Chief Officer for Enterprise. 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. The group will continue to monitor any impacts and the transition. A Brexit getting ready webpage providing information for residents and businesses has been established, information has also been shared on social media.	2019 /20	Almost Certain	substantial	High	Senior Leadership Team & Cabinet	Select Committee: Economy and Development & Strong Communities Objectives: All
			2020 /21	Almost Certain	substantial	High				2020 /21	Almost Certain	substantial	High		
			2021 /22	Almost certain	substantial	High				2021 /22	Almost Certain	substantial	High		

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale & responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
		<p>to supply chain directly attributed to Brexit and continued austerity measures</p> <p>Potential rise in social conflict and hostility - social cohesion</p> <p>Medication / medical needs could be disrupted</p> <p>Impact on construction projects including 21st Century Schools projects due to availability of skilled trade and supplies</p> <p>Impact on the agricultural sector and wider rural economy which could have further consequences upon the Animal Welfare and Public Protection service</p>						<p>Service level planning has continued and business continuity mitigation strategies for services to consider/implement developed.</p> <p>Close working with and support from the WLGA has continued</p>							
							Continue to refine and update the Medium Term Financial Planning model and assumptions for future service budgets.	Chief Officer Resources, Ongoing	The Council has an established Medium Term financial plan to model financial assumptions and scenarios for planning future service budgets, which will continue to be updated.						
							Continued liaison and work with partners such as Welsh Government, WLGA and treasury advisers to understand and plan for any implications for the Council.	Senior Leadership Team Ongoing	<p>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.</p> <p>We are engaged with partners on the Gwent Local Resilience Forum Risk Group.</p> <p>£45k was awarded to LA's to assist Local Resilience Forums to monitor the impacts of Operation Yellowhammer and to undertake 'Business as Usual' activities displaced by Brexit planning.</p> <p>Welsh Government funded Community Cohesion grant has also been used to appoint a Community Cohesion Officer until 2021/22. The purpose of the role is to identify and support EU citizens living and working in Monmouthshire and to help them apply for settled status, understand their rights and also to mitigate and report any incidences of hate crime or community tension.</p>						

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale & responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
12.	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	2019 /20 2020 /21 2021 /22	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 developed a list of priority services, which 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. More awareness sessions have been completed, particularly in light of Brexit. Despite this, Internal Audit have reviewed business continuity preparedness and a draft report indicates that service managers still need to develop their business continuity 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.	2019 /20 2020 /2021 2021 /22	Possible Possible Possible	Major Major Major	Medium Medium Medium	Peter Davies & Cllr Phil Murphy	Select Committee: Economy and Development & Strong Communities Objectives: All
13. New	Potential risk to: Communities and public service delivery in Monmouthshire due to Global climate changes could impact on the future social, economic, environmental and cultural well-being in the County	Tackling climate change and moving to a low carbon economy is one of the biggest challenges facing our society. Rising temperatures bring increased risks to our communities and are causing long-term and potentially irreversible damage to our planet's eco-systems, with significant local impacts such as flooding and loss of species. If we are to stand a chance of slowing the rise in the Earth's temperature we need to act now. Earlier this year, councillors in Monmouthshire were unanimous in declaring a climate emergency. We intend to play our part in tackling this issue. We will strive to reduce our own emissions and work with communities and local businesses to help them reduce their emissions. This will require engagement, community involvement and commitments	2019 /20 2020 /21 2021 /22	Almost certain Almost certain Almost certain	Major Major Major	High High High	Deliver the Monmouthshire County Council Climate Emergency Strategy	Head of Policy and Governance Timescales as per strategy	In October 2019, Council received the report to set out Monmouthshire's strategy and action plan to respond to the Climate Emergency declared by Council in May 2019. The strategy describes the objectives and actions in place to reduce the council's carbon emissions. Council approved the ten objectives within the plan, which cover the areas of activity that the council will need to focus on to achieve its goal of reducing carbon emissions to net zero by 2030. Council endorsed the action plan, agreeing that this will be an evolving document as new technologies develop and other opportunities arise. A working group comprising of members, officers and community has been created to accelerate	2019 /20 2020 /21 2021 /22	Almost certain Almost certain Almost certain	Major Major Major	High High High	Senior Leadership Team & Cllr Jane Pratt	Select Committee: Strong Communities Objectives: Maximise the potential of the natural and built environment

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale & responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective	
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level			
		<p>from third parties.</p> <p>When considering climate change, it is important to consider both how Monmouthshire is contributing to climate change, but also how resilient is the county to the likely impacts of climate change. Flooding along with other extreme weather, can cause significant impacts on infrastructure, homes and businesses along with disruption to business, community life and public services, particularly critical public services people rely on such as care services.</p>						<p>progress and take responsibility for ensuring the action plan continues to evolve and be shaped by emerging evidence and cutting-edge practice and opportunities.</p> <p>Prepare and adapt for the impact of climate change.</p>	Senior Leadership Team Ongoing	<p>There are lots of things that the council is doing to make sure that we are prepared for the impacts of climate change. In recent years, council services have thought about what the potential risks to their services are, in order to start thinking about how to adapt to these risks. The Local Development Plan has a key role to play in making sure that our communities are sustainable and resilient to the impacts of climate change.</p> <p>Much of the work to co-ordinate emergency responses is organised through the Gwent Local Resilience Forum (LRF). We will continue to work with partners on the LRF to make sure that we are prepared for severe weather events.</p>						
14. New	Potential risk that: Declining recycling rates will prevent achievement of the Welsh Government target of 70% recycling rates throughout Wales.	<p>Monmouthshire’s recycling rate peaked in 2016 at 67% and there has been a slow but steady decline in performance since then. Recycling performance for 2019 is predicted to be between 62.5% and 63.4%, placing Monmouthshire in the lower quartile in performance in Wales. We are facing potential recycling target fines of between £53,400 and £133,500.</p> <p>Monmouthshire tries to ensure that focus is given to reducing waste production wherever possible, with campaigns to reduce food waste and single use plastics, and use of returnable</p>	2019/20	Likely	Moderate	Medium	Deliver the actions identified in the Household Recycling report (part 1: kerbside provision)	Head of Neighbourhood Services As per report timescales	<p>This was presented to Cabinet in December 2019. Waste and recycling service provision must continually evolve to meet challenging targets, volatile markets and increasing costs. This report sets out measures that will be necessary to achieve national recycling targets, minimise budget increases and provide sustainable waste services going forward.</p> <p>This report sets out measures that will be necessary with regard to HWRC provision in order to achieve national recycling targets, minimise budget increases and provide sustainable waste services going forward. HWRC provision must continually evolve to meet challenging targets, volatile</p>	2019/20	Likely	Moderate	Medium	Frances O’Brien & Cllr Jane Pratt	<p>Select Committee: Strong Communities</p> <p>Objectives: Maximise the potential of the natural and built environment</p>	
			2020/21	Likely	Moderate	Medium				2020/21	Possible	Moderate	Low			
			2021/22	Likely	Moderate	Medium	Deliver the actions identified in the Household Recycling report (part 2: HWRC provision)	Head of Neighbourhood Services As per report timescales		2021/22	Possible	Moderate	Low			

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale & responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
		<p>milk bottles. However, these campaigns can have a negative impact on recycling rates. It is likely that public awareness of climate change will continue to see a reduction in the available material for recycling.</p> <p>Reduced expenditure at national and local government level on promotional campaigns that enforce and support positive recycling behaviour, coupled with increased scepticism and negative media coverage of recycling, impacts on public participation in local services.</p>						<p>markets and increasing costs. Behavioural change interventions that reduce waste and increase recycling at the household waste recycling centres are proven to be effective across Wales. Due to the high tonnage throughput at our sites compared to other local authorities these changes will have the potential to deliver a significant positive impact on recycling rates. Rationalising service provision will allow investment in the service and drive up recycling performance.</p>							

Risks removed from the strategic risk register at January 2020

Risk	Reason why identified	Mitigation undertaken and reason why removed or amended from Strategic Risk assessment
<p>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</p>	<p>The need to comply with General Data Protection Regulation (GDPR) by May 2018.</p> <p>The regulation impacts the way we process, store, protect and use personal data.</p> <p>Failure to comply could lead to adverse impacts on those whose data is affected, large fines and damage to the Council's reputation.</p> <p>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.</p>	<p>GDPR has been in place for 18 months and has been implemented throughout the organisation. Work is continuing to update systems and processes in line with the regulation but this is being managed at a local level, and is overseen by the Data Protection and Information Manager.</p>

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