

SUBJECT: Whole Authority Strategic Risk Assessment

MEETING: Cabinet

DATE: 24th March 2016

DIVISIONS/WARDS AFFECTED: All

1 PURPOSE

- 1.1 To provide Cabinet with an overview of the current strategic risks facing the authority.
- 1.2 To seek Cabinet approval of the whole authority risk assessment.

2 RECOMMENDATIONS

- 2.1 That Cabinet members approve the risk assessment shown at appendix 1 as a realistic and evidenced appraisal of the strategic risks facing the authority over the next three years.

3. KEY ISSUES

- 3.1 The 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 risk assessment has been prepared by drawing on a wide range of evidence including service plans, performance measures, regulatory reports, progress on the previous risk assessment and the views of select committees.
- 3.3 It has also been prepared in line with changes to the council's risk management policy that were approved by Cabinet in March 2015. These include:
 - The inclusion of pre-mitigation and post-mitigation risk scores, this was also a key recommendation from scrutiny of the 2014 risk assessment
 - Ensuring greater clarity to the phrasing of risk so that each statement includes an event, cause and effect.
- 3.4 The risk assessment covers high and medium level risks. Lower level operational risks are not registered unless they are projected to escalate within the three years covered. These are managed and monitored through teams' service plans which are available for members to view on The Hub. The pre and post mitigation risk levels are presented separately. In most cases mitigating actions result in a change to the likelihood of the risk rather

than the consequences as our actions are generally aimed at reducing the chance of a negative event occurring rather than lessening it's impact. Clearly there will be exceptions.

- 3.5 Select Committees have already considered and helped shape the content of the risk assessment at meetings between December 2015 and February 2016.
- 3.6 The risk log needs to be a living document and will be updated over the course of the year as new information comes to light. This is reflected in the circular diagram given in appendix 2 which shows some of the information that informs the authority's knowledge of risks at different points of the year.
- 3.7 An up-to-date risk log will be accessible to members on The Hub. This will ensure that select committees are able to re-visit the information at any point in the year to re-prioritise their work plan as appropriate.
- 3.8 Once approved, the new risk assessment will be subject to continuous review as part of the authority's performance management framework.

4. REASONS

To ensure that:

- 4.1 Strategic risks are identified and assessed robustly by the authority and that risk controls are put in place that are appropriate and proportionate and supported by effective operational activity to ensure risk reduction / risk management.
- 4.2 Responsibility for strategic risk management is taken on board and that:
 - Senior managers are accountable for systematically reviewing and addressing strategic risks facing the authority
 - Cabinet as the executive takes responsibility to oversee the risk management function and ensure that decision making takes all identified risks into account
 - Audit Committee takes responsibility to scrutinise that a risk management culture and effective risk management arrangements are applied across the authority
 - Select Committees challenge officers and members responsible for the risks as an intrinsic part of holding them to account for risk management / mitigation
- 4.3 An articulate and documented strategic risk management approach is implemented so that the council is not exposed to the potential of poor regulatory assessment. This also takes on board the related issues of:

- protecting the council's assets, resources and staff
- improving business planning and performance and informing calculated risks
- avoiding unnecessary liabilities and costs
- avoiding poor reputation and loss of confidence in the council

5. RESOURCE IMPLICATIONS

- 5.1 Resource implications are associated with some risks and in implementing actions to manage them. There are no additional resource implications as a result of implementing the strategic risk management process.

6. WELLBEING OF FUTURE GENERATIONS IMPLICATIONS (INCORPORATING EQUALITIES, SUSTAINABILITY, SAFEGUARDING AND CORPORATE PARENTING)

- 6.1 The purpose of the whole authority strategic risk assessment is to identify and assess risks robustly and ensure risk controls are put in place that are appropriate and proportionate. Any specific mitigating actions that have policy implications would need to be subject a separate decision and a full impact assessment complete at that time. The report specifically references risks around safeguarding but does not propose any change to the substantive arrangements in place.

7. CONSULTEES:

Senior Leadership Team
Select Committees

Views have been sought throughout the process and have been used to inform the development of the paper before Cabinet today.

8. BACKGROUND PAPERS:

Monmouthshire's Risk Management Policy and Guidance

9. AUTHOR:

Matthew Gatehouse, Policy and Performance Manager

10. CONTACT DETAILS:

E-mail: Matthewgatehouse@monmouthshire.gov.uk
Telephone: 01633 644397

Whole Authority Strategic Risk Assessment 2015/16

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigation already undertaken	Future Actions and timescales	Risk Level (Post – mitigation)				Service & Risk Owner	Cabinet Member	Select Committee
			Year	Likelihood	Impact	Risk Level			Year	Likelihood	Impact	Risk Level			
1 new	The authority is unable to deliver its political priorities in the future because it does not yet have clarity on its future business model or longer term financial plan.	<p>While work is continuing on the need to address the longer term issue of a reducing resource base as part of the MTFP, these are often only looking 2-3 years ahead which will mean the authority does not have a longer term financial plan and its current business model could become unsustainable in the long term.</p> <p>The Council's partnership administration continuance agreement sets clear priorities and performance expectation in line with these resource priorities, this only extends to 2017.</p> <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>Lack of understanding of the future model of the organisation means it is difficult to develop consistent workforce planning, preparing a workforce plan for the authority is a proposal for improvement from Wales Audit Office Annual Improvement report 2014/15.</p>	2015/16	Unlikely	Major	Low	<p>The Budget setting process has set a number of guiding principles to help focus the process of developing budget savings.</p> <p>Following consultation with Members, the public and community groups on budget proposals, in January 2016 Council approved (subject to Final Settlement from WG) the budget for 2016/17. Work is continuing on the need to address the longer term issue of a reducing resource base, with further work ongoing on proposals to address the savings in the latter years of the MTFP.</p>	<p>To develop and specify the business model for the authority in the long term.</p> <p>Ensure the Council's key delivery strategies Improvement Plan, MTFP, People Strategy, Asset Management Plan and iCounty Strategy all align to this model.</p> <p>Extend planning timelines for council's key strategic documents to ten years.</p>	2015/16	Unlikely	Major	Low	Paul Matthews	Peter Fox	All
			2016/17	Possible	Major	Medium			2016/17	Unlikely	Major	Low			
			2017/18	Possible	Major	Medium			2017/18	Unlikely	Major	Low			

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigation already undertaken	Future Actions and timescales	Risk Level (Post – mitigation)				Service & Risk Owner	Cabinet Member	Select Committee
			Year	Likelihood	Impact	Risk Level			Year	Likelihood	Impact	Risk Level			
2	Some services may become financially unsustainable in the short to medium term as a result of reducing budgets and increasing demand	<ul style="list-style-type: none"> - Work has continued to refine the modelling assumptions and outline the income generation or savings proposals that will need to be considered as part of the MTFP. The effect of the roll forward of the model, revised assumptions and pressures, a revised gap of £14 million over the period of the plan from 2017/18 for the next 4 years - Feb 2016 - This is after several years of reducing budgets (over £22 million in last 5 years) resulting in achieving further savings becoming increasingly more challenging. - At Month 9 of the 2015/16 budget the bottom line situation is a £162k potential overspend. In January 2016 the MTFP had modelled budgetary pressures up to 2019/20 of £7.9million. - A range of services have identified demand for services is increasing including planning, housing and public protection. - A range of services have identified the risk of not complying with legislative changes for example Welsh Language Standards. - An ageing population and complexity of demand in children's services will place increased pressure on services. - Children's services is forecast to overspend by £1.1M 	2015/16	Unlikely	Major	Low	Work has continued to develop new ideas and revise the existing savings in light of further engagement and analysis on the budget. In January 2016 Council approved (subject to Final Settlement from WG) the budget for 2016/17. This included New mandates developed for 2016/17 and mandates that were already in the MTFP.	<ul style="list-style-type: none"> - Ensure that services deliver within the budgets and savings targets set for the current financial year (2015/16) and deliver on the recovery plan agreed by Cabinet in December 2015 - Monitor progress against existing mandates that are part of the MTFP and report progress to Cabinet and Select Committee quarterly. - Continue to develop Budget Mandates to deliver savings for April 2016/17 onwards. - Continue to develop and engage on medium term financial proposals taking into account the need to match the expected performance targets with adequate resources. - Consider how best to use capacity fund and any external funding sources to supplement the change programme required - Ensure that the detailed business cases that will deliver the MTFP are fully costed, stress-tested and managed - Review contractual arrangements to balance stability, value for money & risk - Implement a three year service and financial plan in children's services to ensure the service is able to deliver a balanced budget and continue to develop workforce practice. 	2015/16	Unlikely	Major	Low	Joy Robson	Phil Murphy	All
			2016/17	Possible	Major	Medium			2016/17	Unlikely	Major	Low			
			2017/18	Possible	Major	Medium			2017/18	Unlikely	Major	Low			

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigation already undertaken	Future Actions and timescales	Risk Level (Post – mitigation)				Service & Risk Owner	Cabinet Member	Select Committee
			Year	Likelihood	Impact	Risk Level			Year	Likelihood	Impact	Risk Level			
3	A failure to meet income targets could lead to unplanned changes in other services or a call on reserves to balance the budget.	<ul style="list-style-type: none"> - An increasing number of services have stretching income targets as part of their budgets. - Some services have limited skills and experience of income generation. - Other programmes can impact on planned savings targets for example the loss of income from the swimming pool in Monmouth as a result of school rebuild. - 46.5% of the income related mandated budget savings for 2015/16 are forecast to be achieved at month 9. 	2015/16	Likely	Moderate	Medium	An income generation strategy has been agreed by Cabinet	<ul style="list-style-type: none"> - Continue to Monitor the delivery of budget proposals agreed as part of the budget. - Implement the income generation strategy. Use the ideas listed in the appendix to the income generation strategy to explore if there is any scope to increase income for the future years in the MTFP. - Deliver the Recovery plan for the 2015/16 budget agreed at Cabinet in December 2015. 	2015/16	Likely	Moderate	Medium	Joy Robson	Phil Murphy	All
			2016/17	Likely	Substantial	Medium	Roll of communications and engagement team has been broadened to include marketing.		2016/17	Possible	Substantial	Medium			
			2017/18	Likely	Substantial	Medium	Fixed term appointment of marketing officer made to support service delivering budget mandates. e.g. school meals		2017/18	Possible	Substantial	Medium			
4a	Potential that the authority is unable to deliver its new schools capital programme due to capital receipts not generating the required income	<ul style="list-style-type: none"> - There are forecast delays in capital receipts from 2015/16 to future years. At month 9, £3.4 million of the £10.2million capital receipts originally forecast to be delivered in the year (2015/16) are forecast to be achieved. - Reduction in capital budget - Ambitious 21st Century Schools programme and need to provide Welsh medium education - The core programme has been constrained in order to enable the new schools programme to be funded. - A number of significant pressures are documented that are not currently funded. - In the event of emergency pressures resources will have to be diverted due to lack of capacity in the capital budget - Highways and property surveys highlight significant capital demand which is presently unfunded. 	2015/16	Possible	Major	Medium	The Asset Management Plan was agreed by Cabinet in November 2014 providing a clear strategy and plan for the management of the council's property and land assets.	<ul style="list-style-type: none"> -Implement the Asset Management Plan as the structure to effectively manage property assets that the Council owns or occupies aligned to key corporate priorities and service needs -Ensure resource is available to maintain sale of assets -Development of the strategic use of Community Infrastructure Levy when available - Further refinement of priority assessments in the property and infrastructure budgets to ensure all pressures have been considered and ranked. 	2015/16	Possible	Major	Medium	Deb Hill-Howell	Phil Murphy	Economy and Development Strong Communities
2016/17	Possible		Major	Medium	2016/17	Possible			Major	Medium					
2017/18	Likely		Major	High	2017/18	Possible			Major	Medium					
4b	Pressure on capital budget from 21 st Century schools programme will impact on other areas requiring capital investment.														

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigation already undertaken	Future Actions and timescales	Risk Level (Post – mitigation)				Service & Risk Owner	Cabinet Member	Select Committee
			Year	Likelihood	Impact	Risk Level			Year	Likelihood	Impact	Risk Level			
5	Potential that the Council does not make sufficient progress in areas of weakness identified by regulators leading to underperformance	<p>- Following a positive performance trajectory over the past three years it will be challenging to deliver further improvements against key performance indicators.</p> <p>- Latest published WAO Annual Improvement Report highlighted "...that it is uncertain whether Monmouthshire will comply with the requirements of the Local Government Measure during 2015-16" a significant factor in this conclusion was that the Council's education services for children and young people still require special measures.</p>	2015/16	Unlikely	Substantial	low	<p>Worked With the Ministerial Recovery Board to address recommendations in the 2013 Estyn Report and we have seen marked improvements in performance from Foundation Phase to Key Stage 4.</p> <p>We have strengthened our performance management processes and introduced further self-evaluation arrangements</p>	<p>- Manage our actions in response to Estyn, CSSIW and WAO via existing mechanisms.</p> <p>- Report Proposals for improvement and overview of performance arrangements to audit committee.</p> <p>- Complete a review of our self-evaluation procedure and implement any changes to the process to ensure that performance is evaluated and any problems are identified and acted upon.</p>	2015/16	unlikely	Substantial	Low	Sarah Mc-Guinness & Will McLean	Peter Fox	CYP
			2016/17	Possible	Substantial	Medium			2016/17	Unlikely	Substantial	Low		Geoff Burrows	
			2017/18	Possible	Substantial	Medium			2017/18	Unlikely	Substantial	Low		Liz Hackett-Pain	
6a	Potential for significant harm to vulnerable children or adults due to factors outside our control.	<p>- The likelihood of this occurring in a given year is low. However the significant harm that can occur due to factors that are outside our control mean that this will always be a risk.</p> <p>- In 2013, Estyn made safeguarding one of six recommendations. However, as a result of the recent monitoring visit Safeguarding was judged by Estyn to be "Good" and the authority has been removed from Special Measures.</p>	2015/16	Possible	Major	Medium	<p>We have strengthened our safeguarding arrangements in both Adults and Children's Services.</p> <p>We commissioned Ellis Williams to produce a report on our Safeguarding arrangements and are addressing his findings via the corporate coordinating group along with responding to performance issues in line with the WAO generic safeguarding study.</p>	<p>- Continually monitor and evaluate process and practice and review accountability for safeguarding</p> <p>- Deliver actions set in service plans for POVA and Safeguarding</p> <p>- Ensure that robust systems are in place within the authority to respond to any concerns arising from allegations or organised abuse</p> <p>- Implement second phase of the SAFE process</p>	2015/16	Possible	Major	Medium	Tracy Jelfs/ Julie Boothroyd	Liz Hackett Pain	CYP Adults
			2016/17	Possible	Major	Medium			2016/17	Possible	Major	Medium		Geoff Burrows	
		<p>- Volunteering is increasingly part of meeting community needs and it is important to have consistency across the LA in the use of volunteers particularly in respect of HR practices and training.</p>	2017/18	Possible	Major	Medium	<p>We have raised awareness of safeguarding across the authority and its partners.</p> <p>The authority has given a clear strategic accountability for safeguarding to the chief officer for SC&H by incorporating the responsibility for safeguarding.</p>	<p>- Drive the strategic agenda and the associated programme of activities for safeguarding through the Corporate Coordinating Group including undertaking a second review of safeguarding policy and continuing to promote and</p>	2017/18	Possible	Major	Medium			
6b	Potential for significant harm to vulnerable children or adults due to failure of services and/or partners to act accountably for safeguarding														

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigation already undertaken	Future Actions and timescales	Risk Level (Post – mitigation)				Service & Risk Owner	Cabinet Member	Select Committee
			Year	Likelihood	Impact	Risk Level			Year	Likelihood	Impact	Risk Level			
							Similarly safeguarding has been added to the role title of the Cabinet member. We have Implemented a quality assurance framework (SAFE - Self-assessment framework for evaluation)	review safe recruitment practices. - Ensure safeguarding is reflected in all council service improvement plans and in roles / responsibilities as appropriate.							
7	Failure to meet the needs of individual learners may result in them not achieving their full potential.	- Gap in attainment between ‘all pupils’ and those eligible for Free School Meals has narrowed in some key stages but remains a concern. - Variation in standards across schools - Poor leadership, management, capacity and performance in some schools - Unsustainable provision to meet the demand for Welsh Medium education provision and Estyn noted that performance in Welsh first language in the authority’s two Welsh medium primary schools is generally weak. - Not achieving the number of A* and A grades amongst the cohort of more able and talented pupils Estyn identified: - Evaluation of progress and actions to be taken by the school and EAS are generally not clear enough to record school progress - Notes of monthly meetings do not provide enough detail about the quality of support and challenge in individual schools or identify specific actions for follow up to identify the key areas of	2015 /16	Possible	Major	Medium	Following the Monitoring visit in November 2015, Estyn has judged that Monmouthshire County Council’s education services for children and young people has made strong progress in addressing two of the six recommendations arising from the inspection of November 2012, and satisfactory progress in addressing the other four and concluded that the authority is no longer in need of special measures The review of Additional Learning Needs strategy and policy continues. . We have defined our working relationship with the EAS to ensure:	-Ensure a continued focus on the issues referenced in the Estyn monitoring visit letter in January 2016 -Improve the quality of self-evaluation in the CYP directorate. - Ensure that the Additional Learning Needs review delivers a sustainable, adequate and appropriate support to pupils with Additional Learning Needs - Ensure the commissioned arrangements with the EAS address the authority’s concerns in challenging and supporting schools - Deliver the Welsh Education Strategic Plan in collaboration with neighbouring authorities	2015 /16	Unlikely	Major	Low	Sarah Mc-Guinness	Liz Hackett Pain	CYP
			2016 /17	Possible	Major	Medium			2016 /17	Unlikely	Major	Low			
			2017 /18	Possible	Major	Medium			2017 /18	Unlikely	Major	Low			

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigation already undertaken	Future Actions and timescales	Risk Level (Post – mitigation)				Service & Risk Owner	Cabinet Member	Select Committee
			Year	Likelihood	Impact	Risk Level			Year	Likelihood	Impact	Risk Level			
		strength and priorities for improvement in each school.					<p>understanding of individual pupils potential.</p> <ul style="list-style-type: none"> Improving categorisation of schools in line with the national model resulting in more appropriate challenge and support to schools to drive up standards in leadership and performance 								
8a	Potential that council services, including schools do not have the necessary ICT infrastructure meaning they are unable to maximise their offer to service users or learners needs.	<p>- The SRS review has identified scope for improvement and greater realisation of opportunities for its partner bodies.</p> <p>- Schools and the EAS depend on reliable equipment and support from the SRS to implement systems for pupil tracking and to meet curriculum needs.</p> <p>- The Wales Audit Office Annual Improvement report 2014/15 identified the Council is developing its Information Technology arrangements in order to support its strategic vision but more work needs to be done.</p>	2015/16	Likely	Substantial	Medium	<p>Officers have now completed the SRS review, and it has been scrutinised by MCC's Economy and Development Select and Audit Committees.</p> <p>Member organisations now agree an annual commissioning document with the SRS, detailing the individual services to be bought in from the SRS.</p> <p>Linked to the Council's Asset Management plan a whole authority review has been undertaken of network infrastructure and will be updated alongside the acquisition or disposal of buildings</p> <p>The council has approved a business case for £885,000 of investment in schools ICT infrastructure, bringing it up to a common standard and platform commensurate with the 21st century schools programme and WG aspirations for connectivity.</p> <p>Agreement has now been reached with all but three schools signing up to the SRS Service Level Agreement (SLA), and a</p>	<p>-Work with the SRS Board to implement the findings of the review specifically around: finance and the core service, governance and cultural and identity</p> <p>Following the approval of the SRS strategy in November 2015, develop a strong business plan, aligning with the strategy and MCC's direction of travel.</p> <p>Work with the SRS to further strengthen business continuity arrangements within the SRS. The review date is January 2016</p> <p>Implement phase 1 of the ICT in schools improvements, upgrading equipment and infrastructure as well as implementing SIMS in the classroom. This first phase is due for completion in July 2016. Phase 2 will see the migration of school based server infrastructure up to the SRS over an 18 month period. The revised SLA will become operational in April 2016 and is independent of the other two phases.</p>	2015/16	Likely	Substantial	Medium	Peter Davies	Phil Murphy	Economy and Development
			2016/17	Likely	Substantial	Medium									
			2017/18	Likely	Substantial	Medium									

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigation already undertaken	Future Actions and timescales	Risk Level (Post – mitigation)				Service & Risk Owner	Cabinet Member	Select Committee
			Year	Likelihood	Impact	Risk Level			Year	Likelihood	Impact	Risk Level			
							recalculation of the SLA funding has been undertaken to ensure it is still viable. The SLA is still viable and it recommended that the programme of upgrading the ICT infrastructure proceeds. A report was presented to cabinet and council in January 2016 which was approved. Work has begun on phase 1 with the appointment of technicians who are in the early stages of implementation.								
8b	Insufficient ICT infrastructure and skills in the county have the potential to lead to social and economic disadvantages	<p>- Broadband ‘not spots’ remain in the county despite Monmouthshire being part of the roll-out of Superfast Cymru;</p> <p>-It is likely that 4-6% of our most rural areas will not be impacted by this roll out</p> <p>A significant skills issue exists in the County. 19% of households don’t have internet access and 20% (approximately 14,363) adults in Monmouthshire don’t use the internet¹.</p> <p>Monmouthshire residents have high demand for broadband services, Ofcom figures indicating a 74% adoption rate.</p> <p>Other drivers include the council needs to prepare for increased digital public service delivery, the implementation of the Online Universal Credit system, children’s learning opportunities and the provision of digital health care.</p>	2015/16	Likely	Substantial	Medium	<p>AB Internet have been awarded funding from UK Government to provide wireless broadband coverage to 1600 rural households and premises suffering from a poor broadband connection. The Council is working with AB Internet, the UK and Welsh Government to enable the delivery of the project albeit within a very tight timeframe.</p> <p>A Monmouthshire broadband mapping study identifying future opportunities was completed and presented to Cabinet in March 2015. This secured resources to ensure that the potential of Superfast Cymru and associated programmes identified are maximised for the benefit of Monmouthshire businesses and residents, Including:</p> <p>- Continued promotional activity to support the Super-connected Cities voucher Scheme. - Local promotion and maximisation of the WG ICT exploitation programme</p>	<p>-Deliver the I County digital road map which has three main areas of focus: 1) internal systems, processes, data and infrastructure 2) community, economic, business and education dimensions 3) opportunities for commercialisation</p> <p>Promote the rollout and exploitation of high speed broadband across the County for both businesses and communities.</p> <p>A funding application to the new RDP for an urban/rural skills programme.</p>	2015/16	Likely	Substantial	Medium	Peter Davies	Phil Murphy Bob Greenland	Economy and Development

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigation already undertaken	Future Actions and timescales	Risk Level (Post – mitigation)				Service & Risk Owner	Cabinet Member	Select Committee
			Year	Likelihood	Impact	Risk Level			Year	Likelihood	Impact	Risk Level			
							- Completion of a Digital Monmouthshire section on the new Monmouthshire Business and Enterprise website. By September 2015 32,900 premises in Monmouthshire have been enabled with high speed fibre broadband.								
9	Reductions in our workforce due to budgetary pressures will impact on our capacity to deliver transformational change and improve performance.	- Our people are central to the success of our council and county. Organisational culture impacts on our ability to address future challenges and make sustained improvements in areas that require it. - Continued economic constraint and local government reform can impact on staff morale and service objectives. -The number of employees has reduced in recent years, the head count at 31 st March 2015 is 3,849. - Corporate self-evaluation identified we need to do more to support staff - A range of services have identified risks to their capacity for service delivery.	2015 /16 2016 /17 2017 /18	Possible Possible Possible	Substantial Substantial Substantial	Medium Medium Medium	The people and organisational development strategy was further developed following engagement with staff and was subsequently focussed on developing people within and outside the organisation. The Monmouthshire Minds group consisting of 60 members of staff were established to enable us to “test” the meaningfulness of the strategy; helping disseminate and promote involvement and publicise the staff survey. A staff survey has been completed and the findings used to inform the action plan as part of the People and Organisation Development Strategy. Based on feedback received, the staff appraisal process, check in check out, is being reviewed and further developed.	- Continue to engage with staff on the People and Organisational Development Strategy to ensure the strategy continues to focus on addressing identified needs. -Take forward the activities in the programme plan of the strategy which brings together the many facets of people and organisational development we run to provide support and development for people whether they are inside or outside of our organisation. - Implement the updated staff appraisal process, check in check out, across the organisation.	2015 /16 2016 /17 2017 /18	Possible Possible Unlikely	Substantial Substantial Substantial	Medium Medium Low	Peter Davies	Phil Murphy	Strong Communities
10	Not having appropriate governance mechanisms does not make it easy for communities to work with us when we are co-delivering and co-	Concerns on overlapping and complicated community governance structures have led to some dissatisfaction amongst community stakeholders.	2015 /16 2016 /17	Possible Possible	Substantial Substantial	Medium Medium	A community governance review has been completed. The review was presented to Cabinet and Council to update Members on the findings of the Community Governance Review and the	The cross party Member working group on community governance will: · be responsible for developing a revised framework which	2015 /16 2016 /17	Possible Possible	Substantial Substantial	Medium Medium	Kellie Beirne / Will McLean	Phil Hobson	Strong Communities

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigation already undertaken	Future Actions and timescales	Risk Level (Post – mitigation)				Service & Risk Owner	Cabinet Member	Select Committee
			Year	Likelihood	Impact	Risk Level			Year	Likelihood	Impact	Risk Level			
	developing services which will impact on our shared ability to deliver sustainable and resilient communities.	<p>There is a recognised disconnect between the process and delivery frameworks set up to support community governance.</p> <p>The Council works collaboratively to deliver a variety of services and is increasingly considering alternative delivery models to sustain services. The council has already agreed an approach to involving volunteers and community organisations.</p>	2017/18	Possible	Substantial	Medium	<p>proposed recommendations to develop a more coherent and partnership approach with communities. Council agreed to establish a cross party Member working group which equally represents the four administrative areas.</p> <p>A volunteer coordinator was appointed and is leading the council's <i>A County That Serves</i> volunteering programme that aims to support and enable volunteers.</p> <p>As part of the budget setting process a budget mandate proposal to develop a 'Local Fund' across the county into which Town and Community Councils can make a contribution to sustaining the services they feel are most important to the wellbeing of their towns has been developed.</p>	<p>preserves the leadership role of elected members, supports and encourages community participation, oversees the delivery of the local Whole Place plan and consider the Local Government (Wales) Bill.</p> <p>· recommend a revised framework to County Council.</p> <p>Continue to implement the "A County That Serves volunteering programme"</p> <p>Continue to implement the volunteer tool kit to clarify information, procedures and processes on volunteering</p>	2017/18	Unlikely	Substantial	Low			
11 new	The current configuration of the recycling service becomes unviable because of legislation requirements and financial constraints.	<p>Monmouthshire does not currently collect recycling in line with the preferred Welsh Government method.</p> <p>The Welsh Government grant is being cut by 6.4%.</p> <p>An Increase in recycling costs, the potential Welsh Government grant reduction and growth in waste tonnages means the waste service has an existing £1.2 million total pressure modelled in the Medium Term Financial plan over 2016/17 and 2017/18.</p>	2015/16	Unlikely	Moderate	Low	A review of the Monmouthshire recycling service is currently being finalised. A preferred way forward has been identified, has been taken to Strong Communities Select Committee and will be reported to Cabinet in March 2016.	To complete the recycling review report to determine the Council's long term recycling strategy with cabinet approval in March 2016.	2015/16	Unlikely	Moderate	Low	Rachel Jowitt	Bryan Jones	Strong Communities
			2016/17	Likely	Substantial	Medium			2016/17	Unlikely	Substantial	low			
			2017/18	Likely	Substantial	Medium	On-going liaison with Welsh Government on the Environmental Grant funding, its importance to the service and positive impact it makes on the long term strategy. Waste pressures mandate of £1.2m has been accepted by	To continue to liaise with Welsh Government on Environmental Grant funding.	2017/18	Likely	Substantial	Medium			

Ref	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigation already undertaken	Future Actions and timescales	Risk Level (Post – mitigation)				Service & Risk Owner	Cabinet Member	Select Committee
			Year	Likelihood	Impact	Risk Level			Year	Likelihood	Impact	Risk Level			
							Cabinet/Council meaning that the waste budget should not be at risk of failure in 2016-17								

Appendix 2

The Risk Register is a living document and must be regularly reviewed and updated. It will be signed off by Cabinet on an annual basis – it can be examined by select committee at any point in time at the determination of the chair and committee members.

Our approach to risk management is informed by a range of information that flows into and within the organisation throughout the year (see diagram below). The risk log will be updated throughout the year using the latest intelligence, including reports from all regulators including CSSIW and Estyn. It will be made available on the Hub.



The Council uses a 'traffic light' system of Red/Amber/Green associated with High/Medium/Low. Generally it is clear what the assessment should be. However, there will be cases where assessment of "How much risk" is not straightforward (such as when the effect of controls and counter measures is uncertain.)

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

ⁱ Recent figures obtained from the 'Get Monmouthshire On Line'