



PWYLLGOR ARCHWILIO

2.00 PM - DYDD MERCHER, 19 MEDI 2018

**CANOLFAN DDINESIG PORT TALBOT
YSTAFELL PWYLLGOR 1/2**

RHAN 1

1. Datganiadau o gysylltiadau
2. Cofnodion y Cyfarfod Blaenorol (Tudalennau 5-6) (*Tudalennau 5 - 6*)

Adroddiad gan Swyddfa Archwilio Cymru

3. Adroddiad Archwilio Diweddaraf (Tudalennau 7-18) (*Tudalennau 7 - 18*)

Adroddiad y Pennaeth Cyllid

4. Adroddiad cynnydd hyd at 31 Awst 2018 (Tudalennau 19-32) (*Tudalennau 19 - 32*)

Adroddiad y Cyfarwyddwr Cyllid a Gwasanaethau Corfforaethol

5. Trefniadau Rheoli Risgiau (Tudalennau 33-118) (*Tudalennau 33 - 118*)
6. Eitemau brys
Unrhyw eitemau brys yn ôl disgrisiwn y Cadeirydd yn unol ag Adran 100B(4)(b) Deddf Llywodraeth Leol 1972.
7. Mynediad i gyfarfodydd
Yn unol ag Adran 100A(4) a (5) Deddf Llywodraeth Leol 1972,

gwaherddir y cyhoedd o'r eitemau busnes canlynol sy'n debygol o ddatgelu gwybodaeth eithriedig fel a nodwyd ym Mharagraff 12 ac 15 Adran 4 Atodlen 12A y Ddeddf uchod.

RHAN 2

Adroddiad Preifat gan y Pennaeth Cyllid

8. Archwilio Mewnol - Ymchwiliadau Arbennig (Tudalennau 119 - 124)
(*Tudalennau 119 - 124*)

S.Phillips
Prif Weithredwr

Canolfan Ddinesig
Port Talbot

Dydd iau, 13 Medi 2018

Aelodaeth y Pwyllgor:

Cadeirydd: J.D.Morgan

Is-gadeirydd: L.M.Purcell

Aelodau: Councillors H.C.Clarke, A.R.Aubrey,
S.E.Freeguard, J.Miller, S.H.Reynolds,
A.J.Richards, R.W.Wood, S. ap Dafydd,
O.S.Davies a/ac L.Jones

**Mae pleidleisio
aelod lleyg:** Mrs.J.Jenkins

Mae'r dudalen hon yn fwriadol wag

AUDIT COMMITTEE**(Port Talbot Civic Centre, Committee Rooms 1/2)****Members Present:****25 July 2018****Chairperson: Councillor J.D.Morgan****Vice Chairperson: Councillor L.M.Purcell****Councillors:** A.R.Aubrey, H.C.Clarke, S. ap Dafydd,
O.S.Davies, L.Jones, J.Miller, A.J.Richards and
R.W.Wood**Officers In Attendance** D.Rees, H.Jones, A.O'Donnell, J.North,
R.Livingstone and N.Headon**Representing the Wales Audit Office:** G. J.Gillett**Voting Lay Member:** J.Jenkins**1. AUDIT OF FINANCIAL STATEMENTS REPORT 2017/2018**

Members received an update on the Audit of Financial Statements Report 2017-2018.

RESOLVED: that the report be noted.

2. STATEMENT OF ACCOUNTS 2017/2018

Members received an overview of Statement of Accounts 2017/18, following the completion of the external Audit.

The Head of Financial Services thanked Officers and WAO, for the hard work put in to preparing the accounts and for enabling early closure. Also, Members thanked all Officers involved for the work that had gone into meeting these deadlines and thanked Wales Audit Office for their continued support.

The Chairperson signed the letter of Representations regarding the 2017-18 financial statements, this will be sent to the Auditor General for Wales.

RESOLVED: that the report be noted, also:

Letter of Representation, included as Addendum 1 of the circulated report, be approved.

The final 2017/18 Statement of Accounts, as included in Addendum 2 of the circulated report, be approved;

The Chair of the Audit Committee signed the Letter of Representation and the Statement of Accounts;

Officers tasked to continue to work with WAO to improve arrangements for future years both locally and to inform the wider roll out of the early closure pilots.

3. **RISK MANAGEMENT**

Members received an overview and presentation on Risk Management.

It was highlighted that Risk Registers would go back to Cabinet every six months, Members raised concern and suggested that it should be every three months. The Head of Financial Services will take this back to the Director of Finance and Corporate Services and update Members at the next meeting.

It was noted that the form of dates shown on the register should be changed into a different format.

It was also noted that a full copy of both risk registers will be brought back to the next Audit Committee, hard copies will be sent out two weeks before next Committee date.

CHAIRPERSON

Tudalen6



WALES AUDIT OFFICE
SWYDDFA ARCHWILIO CYMRU

Audit Committee Update – Neath Port Talbot County Borough Council

Audit year: 2018

Date issued: September 2018

Document reference: APS092018

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Eitem yr Agenda 3

This document has been prepared as part of work performed in accordance with statutory functions.

In the event of receiving a request for information to which this document may be relevant, attention is drawn to the Code of Practice issued under section 45 of the Freedom of Information Act 2000. The section 45 code sets out the practice in the handling of requests that is expected of public authorities, including consultation with relevant third parties. In relation to this document, the Auditor General for Wales and the Wales Audit Office are relevant third parties. Any enquiries regarding disclosure or re-use of this document should be sent to the Wales Audit Office at info.officer@audit.wales.

We welcome correspondence and telephone calls in Welsh and English. Corresponding in Welsh will not lead to delay. Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg. Ni fydd gohebu yn Gymraeg yn arwain at oedi.

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Audit committee update

About this document

- 1 This document provides the Audit Committee of Neath Port Talbot County Borough Council (the Council) with an update on current and planned Wales Audit Office work. It covers financial and performance audit work together with information on the Auditor General's programme of local government related studies.

Audit plan

The dates we presented our audit plans for 2017 and 2018 are set out in Exhibit 1.

Exhibit 1: audit plan.

Area of work	Current status
Audit Plan 2017	Issued to Council April 2017 Presented to Audit Committee 28 June 2017
Audit Plan 2018	Presented to Audit Committee 5 April 2018

Financial audit update

- 3 Our financial audit work included in our 2017 audit plan is complete. Exhibit 2 provides members of the Audit Committee with a brief overview of progress against the planned financial audit key outputs and milestones set out in our 2018 audit plan.

Exhibit 2: financial audit update

Planned output	Scope	Current status
Financial Statements 2017-18	Audit of the Council's 2017-18 financial statements.	Opinion issued 30 July 2018.
Whole of Government Accounts 2017-18	Audit of the Councils 2017-18 whole of government accounts	Audit not required – below threshold. Return submitted September 2018.
Margam Crematorium Joint Committee Annual Return 2017-18	Audit of the Committees 2017-18 Annual Return	Opinion issued 30 July 2018
Welsh Church Act Trust Fund 2017-18	Independent examination of the Trust Fund 2017-18 financial statements	Planned for December 2018
Certification of Grants 2017-18	Certification of grants and returns 2017-18	Work on the Councils 2017-18 grant claims is in progress. Completion planned for December 2018
Annual Audit Letter	Report summarising our 2017-18 financial audit work.	Planned for December 2018.

Performance audit update

- 4 Exhibit 3 summarises the progress of the performance audit work set out in the 2017 audit plan which is still in progress and provides a brief overview of progress against the planned performance outputs and milestones set out in our 2018 audit plan.

Exhibit 3: performance audit update

Topic	Scope	Status	Timescale
Performance audit work - 2017 audit plan			
Overview and Scrutiny – Fit for the Future?	This review examined the impact of the WFG Act on the work of scrutiny committees including PSB scrutiny, facilitating improvement and sharing of good practice.	Complete - final report published 16th July 2018	
Digital Risk	Short diagnostic project as part of the ongoing assurance and risk assessment work.	This work will be undertaken as part of the ongoing assurance and risk work.	No written output
Audit Committee support	Workshop to be held with the Audit Committee	Workshop with the Audit Committee to be held 19 September 2018.	Workshop in September 2018.
Corporate risk register review	To review the Council's revised approach to risk management	This work will be undertaken in as part of the ongoing assurance and risk work.	No written output
Service User Perspective Review	This project will test the service-user interface at all authorities. The review will evaluate what it feels like (as a member of the public) to deal with council services, involving a selection of services and scenarios. In Neath Port Talbot	Fieldwork with the Council complete. Service user element to be designed and agreed with the Council.	September – December 2018

Topic	Scope	Status	Timescale
	CBC we will be looking at the Council's Digital Strategy and specifically at the Council's approach to 'channel shift' (moving services online)		
Annual Improvement Report (AIR)	Annual report summarising the audit work undertaken in the last year which also includes a summary of the key findings from reports issued by 'relevant regulators'.	Complete – Final report issued 4 th September 2018	Annual Improvement Report going to Council 26 th September 2018
Performance audit work - 2018 audit plan			
Improvement audit and assessment work including improvement planning and reporting audit	Audit of discharge of duty to publish an improvement plan, and to publish an assessment of performance.	Work planned to be undertaken May (improvement plan) to December (assessment of performance) 2018.	Improvement Plan Certificate issued May 2018. Assessment of Performance Certificate to be issued December 2018.
Assurance and Risk Assessment	Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources.	Work planned to be undertaken throughout the audit year to inform the 2019-2020 audit programme.	No written output.
Well-being of Future Generations Act (Wales) 2015 (WFG Act) examinations	Examination of the extent to which the Council has acted in accordance with the sustainable development principle when taking steps to meet one or more of its wellbeing objectives.	Work planned to be undertaken September 2018 – February 2019.	By March 2019.

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Topic	Scope	Status	Timescale
	Discussion has taken place with the Council about which 'step' will be considered. This will be confirmed September 2018.		
Thematic Review - Environmental Health	Review of the arrangements the Council has put in place to deliver environmental health services, building on the study previously undertaken by the Auditor General as part of the 'delivering with less' themed studies.	Dates to be agreed with the Council.	By March 2019.
Thematic Review - Corporate Safeguarding Arrangements	Review of the effectiveness of corporate safeguarding arrangements, building on the study previously undertaken by the Auditor General in this area.	Dates to be agreed with the Council.	By March 2019.
Thematic Review - Leisure Services	Review of the arrangements the Council has put in place to deliver leisure services building on the 'study previously undertaken by the Auditor General as part of the 'delivering with less' themed studies.	Dates to be agreed with the Council.	By March 2019.
Annual improvement Report	Annual report summarising the audit work undertaken in the last year, which also includes a summary of the key findings from reports issued by 'relevant regulators'.	Work planned to be undertaken April 2018 – May 2019.	By August 2019.

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WAO local government improvement studies

- 5 The Wales Audit Office also undertakes a programme of local government studies funded from the Welsh Consolidated Fund, which lead to national reports rather than local reports. Exhibit 4 summarises the present position on the programme of studies currently underway.

Exhibit 4: local government improvement studies programme of work

Topic	Scope	Status	Timescale
2017-18 Local Government Improvement Studies – 2017 audit plan			
Services to rural communities	This review will assess how well public bodies are working together to assess needs, identify priorities, deliver and maintain the provision of key operational services to meet the needs of people in rural communities.	Draft report is currently in clearance. Neath Port Talbot CBC was one of 11 fieldwork sites in this study.	National report due to be published in 3 rd /4 th quarter of 2018.
How local government uses data	This review will identify how well local authorities are currently performing in collecting, analysing and using data to support decision making and the use of resources.	Data tool questionnaires were distributed to all councils in October 2017. Currently drafting report.	National report due to be published in the 3 rd /4 th quarter of 2018.
Integrated care Fund	The review will examine if the Integrated Care Fund is being used effectively to deliver sustainable services that achieve better outcomes for service users.	Currently drawing conclusions.	National report due to be published January 2019.

Topic	Scope	Status	Timescale
	Interviews will be undertaken with a selection of officers on each of the Regional Partnership Boards and Welsh Government officials.		
2018-19 Local Government Improvement Studies – 2018 audit plan			
First point of contact assessments under the Social Services and Well-being Act	The study will review the first point of contact and assessments for adult social care.	Scoping and project set up. Neath Port Talbot CBC is not a fieldwork site in this study.	National report due to be published in the 3 rd /4 th quarter of 2019.
Tackling Violence Against Women, Domestic Abuse and Sexual Violence	Our review will focus on determining whether local authorities and their partners are effectively working together to prevent gender-based violence and domestic abuse, and protecting all of the people involved.	Scoping and project set up. Neath Port Talbot CBC is not a fieldwork site in this study.	National report due to be published in 3 rd /4 th quarter of 2019.
Planning Service: Improving the Wellbeing of Wales	Our review will provide independent assurance that planning authorities are supporting sustainable development and delivering for the future long-term wellbeing of their communities and for Wales.	Scoping and project set up. Neath Port Talbot CBC is not a fieldwork site in this study.	National report due to be published in the 3 rd /4 th quarter of 2019.

WAO national studies

- 6 The Audit Committee may also be interested in the WAO national studies programme that are related to local government. Exhibit 5 provides information on our recently published national studies that have relevance to local authority organisations.

Exhibit 5: local authority related national studies

Topic	Findings	Status
Guide to Welsh Public Finances	<p>This Guide has been produced for those involved in scrutinising public services and is split into three parts:</p> <ul style="list-style-type: none"> • Part 1 sets out the main sources of funding for public services in Wales. • Part 2 describes the processes for making budget decisions across the main devolved public bodies in Wales. • Part 3 sets out the key frameworks for measuring and reporting the impacts of public spending 	<p>Published 16 July 2018</p> <p>http://www.audit.wales/publication/guide-welsh-public-finances</p>
Strategic Commissioning of Accommodation services for Adults with Learning Disabilities	<p>This review focussed on assessing if local authorities have effective approaches to commissioning accommodation for adults with learning disabilities (those aged over 16). We found that local authorities are generally meeting the accommodation needs of adults with learning disabilities, but existing commissioning arrangements are unlikely to be fit for purpose in the future.</p>	<p>Published: 24 May 2018</p> <p>http://www.audit.wales/strategic-commissioning-learning-disabilities</p>

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We welcome correspondence and telephone calls in Welsh and English.
Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg.

AUDIT COMMITTEE

19th September 2018

REPORT OF THE HEAD OF FINANCE – HUW JONES

Matter for information

Wards affected: All wards

Progress Report to 31st August 2018.

1. Purpose of the Report

The purpose of this report is to:

- Provide details of the work undertaken in the last quarter
- Provide details of Post Audit Reviews undertaken in the last quarter
- Provide an update on progress against the plan
- Advise members of any staffing issues within the team

2. Background

One of the terms of reference of this Committee is to 'monitor internal (and) external audit performance'. In order to comply with this requirement to monitor the in-house service, a progress report is given below outlining internal audit work undertaken in the last quarter. This work is then set against the original Internal Audit Plan to show what progress has been achieved.

In addition, information is provided for members on the current position regarding staff vacancies and other staffing issues within the team.

3. Audit Assignments Completed

A total of 16 formal audit reports have been issued since 31st May 2018 in line with normal distribution guidelines. Attached as appendix 1 is a schedule of the reports along with a brief summary of the findings and the risk rating applied following the audit.

The following is a list of those reports issued:

- 3 Private Items
- 5 primary schools
- Bank reconciliation

- Banking Issues at Margam Park
- Parking Services
- Settlement Agreements
- DBS Sample Checks
- Officers' Interests
- Primary School Meal Income
- Abbey View Complex Needs Service

4. Post Audit Reviews Undertaken

The following Post Audit Reviews (PARs) have been undertaken.

Audit	Date of PAR	Issues arising
Trem Y Mor Respite & Day Service	08.06.2018	A number of recommendations remain outstanding and further post audit reviews will be undertaken.
Maesmarchog Primary School	08.06.2018	None
Coed Hirwaun Primary School	19.06.2018	None
Rhos Primary School	09.07.2018	None

5. Progress against Plan

Appendix 2 gives details of the work carried out to date against the 2018/19 plan.

There are currently 4 special investigations in progress.

6. Staffing

Interviews for the vacant Assistant Auditor Posts (2) and the Fraud Auditor Post will be held week commencing 10th September 2018. A verbal update will be given at the meeting.

7. Financial Impact

There is no financial impact associated with this report.

8. Equality Impact Assessment

There are no equality impacts associated with this report.

9. Workforce Impacts

There are no workforce impacts associated with this report.

10. Legal Impacts

There are no legal impacts associated with this report.

11. Risk Management

There are no risk management impacts associated with this report

12. Consultation

There is no requirement under the Constitution for external consultation on this item.

14. Appendices

Appendix 1 – Published Reports

Appendix 2 – Audit Plan Monitoring 2018/19

Officer Contact

Huw Jones, Head of Finance

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Mae'r dudalen hon yn fwriadol wag

Appendix 1 – Published Reports

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Report Ref	Report Subject & Responsible Head of Service	Report Conclusion	Risk Category
R5	Bank Reconciliation (2nd half 2017/18) Head of Finance	Good controls were found to be in place and no recommendations were made. A risk rating of 2 was given as the impact of a systems failure would be significant.	2
R6	Private Item		2
R7	Parking Services 2018 Head of Engineering & Transport	On the whole good controls were found to be in place. Recommendations made related to making better use of the IT system available to the service.	2
R8	Settlement Agreements Chief Executive	13 settlement agreements were tested. The issues identified were in relation to documentation storage and the timing of a business case approval in relation to 1 agreement.	2
R9	Private Item		N/A
R10	Private Item		N/A
R11	St Joseph's Catholic Primary	For the sample of employees tested the school is complying with DBS guidance. This was not the case in relation to	2

Appendix 1 – Published Reports

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Report Ref	Report Subject & Responsible Head of Service	Report Conclusion	Risk Category
	School Head of Participation	Governors. Generally good controls were found to be in place in other areas.	
R12	Melin Primary School Head of Participation	The school was found to not be complying fully with DBS guidance as in one instance an emergency employment form had not been completed when an employee commenced duties (Access Managed Services employee). Generally good controls were found to be in place in other areas.	2
R13	Baglan Primary School Head of Participation	For the sample of employees tested the school is complying with DBS guidance and generally good controls were found to be in place.	2
R14	Sandfields Primary School Head of Participation	For the sample of employees tested the school is complying with DBS guidance. This was not the case in relation to Governors. Generally good controls were found to be in place in other areas.	2
R15	YGG Castell Nedd Head of Participation	For the sample of employees tested the school is complying with DBS guidance. This was not the case in relation to Governors. Generally good controls were found to be in place in other areas.	2
R16	Private Item		

Appendix 1 – Published Reports

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Report Ref	Report Subject & Responsible Head of Service	Report Conclusion	Risk Category
R17	Officers' Interests Chief Executive	A small number of returns had not been completed by the time of the audit. Other than this good controls were found to be in place and implementation of the recommendations will address any issues identified.	2
R18	Primary School Meal Income Check Head of Participation	All school meal income collected during the period 02/10/2017 – 17/11/2017 could be accounted for and was banked intact.	1
R19	Private Item		
R20	Abbey View Complex Needs Service Head of Commissioning, Support & Direct Services	Generally good controls were found to be in place and the recommendations made related to care plan monitoring and completion of driver declaration forms.	2

Risk Categories

Category 1 – testing found good controls to be in place

Appendix 1 – Published Reports

Category 2 – testing found some controls that need enhancing which will be achieved by the implementation of the recommendations

Category 3 – testing revealed a number of areas where improvements in controls are required. A verbal update will be provided

Category 4 – testing revealed areas of concern, the Head of Service will provide a written response to the audit report for consideration by Members of Audit Committee

Category 5 – testing revealed areas of significant concern. The Head of Service and/or Service Manager will attend audit committee

Monitoring Date	31st August 2018				
Audit Plan Item 2018-19	Risk Factor	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Education, Leisure and Lifelong Learning					
School Based Audits					
20 Primary Schools	M	1 school audited	5 schools audited		
3 Secondary Schools	H				
Other Education					
Parent Pay	M				
Youth Service	H		Audit in planning stage		
Education Grants	M	1 grant audited			
Leisure, Culture and Lifelong Learning					
None					

Finance and Corporate Services					
Revenue Collection					
Council Tax	L				
NNDR	L				
Sundry Debtors	L				
Cash Collection	H				
BACS	H				
Benefits Administration					
Housing Benefits	L				
Exchequer					
Payroll	M				
Creditor Payments	L				
Creditor (FIS Checks)	H	Regular monthly checks undertaken	Regular monthly checks undertaken		
Off Payroll Payments (IR 35)	H				
Accountancy					
Treasury Management	M				
Bank Reconciliation	M	Audit complete and draft report issued	Audit complete and final report issued		
VAT	M				
General					
Travel & Subsistence	M		Audit in progress		
Legal Services					
Margam Crematorium	L	Audit complete and draft report issued	Audit complete and final report issued		
Other					
Contingency	N/A				

Chief Executive's					
Members' Declarations of Interest	M		Audit in progress		
Disciplinary Processess	M				
Social Services, Health and Housing					
Housing General Fund:					
None					
Social Services					
Hillside Secure Unit	M				
Grant Certification	M				
Abbey View Complex Needs Service	M	Audit in planning stage	Audit complete and final report issued		
Complaints	M	Audit in planning stage			
Safeguarding - Children & Adult Services	H				
To be agreed with Chief Officers					

Environment					
Stores/Equipment attendance at stock takes	H				
Stores processes	H				
On call procedures	M				
Tregelles Court Workshop	M				
Cash/Income Collection	M	Audit in progress			
Car Parking	M	Audit complete and draft report issued	Audit complete and final report issued		
Cemeteries	M		Audt in planning stage		
Cross Directorate					
Special Investigations	N/A	3 in progress	4 in progress		
Advice & Guidance Requests	N/A				
Corporate Governance Arrangements	N/A				
I.T. Audit	N/A				
Contract Audit	N/A				
Officer Declarations	M	Audit in progress	Audit complete and final report issued		
Petty Cash	M		Audit in planning stage		
Risk Registers	M				
DBS Checks	H	Audit in planning stage	Audit complete and final report issued		
Purchasing Cards	H		Audit in planning stage		
Travel & Subsistence	M		Audit in progress		

Other Commitments					
Banking Administrator	N/A	Ongoing	Ongoing		
Attendance at working parties	N/A	Ongoing	Ongoing		
Servicing Audit Committee	N/A	Ongoing	Ongoing		
Vision Impaired West Glamorgan	L				
SWTRA	N/A				
FOI Requests	N/A	All which have been received have been answered	All which have been received have been answered		
Staff association/lottery	N/A	Ongoing advice being given			
National Fraud Initiative	N/A				
Contingency	N/A		School meal income audit complete and report issued. Settlement Agreements audit complete and report issued.		

Mae'r dudalen hon yn fwriadol wag

AUDIT COMMITTEE

19th September 2018

REPORT OF THE DIRECTOR OF FINANCE AND CORPORATE SERVICES – HYWEL JENKINS

Matter for information

Wards affected: All

Risk Management Arrangements

1. Purpose of the Report

The purpose of the report is to provide Members with details of all Strategic and Operational risks as recorded on the Council's Risk Register.

2. Background

The Council's Risk Management Policy was approved by Cabinet on 27th June 2018. As part of this policy Audit Committee is required to:

- Review the risk management arrangements.
- Make reports to the Executive on the adequacy and effectiveness of arrangements.

At the last Audit Committee meeting held on 25th July 2018 Members felt that, in order to fulfil their obligations under the policy, all Strategic and Operational Risks should be reported to the next meeting.

3. Strategic and Operational Risks

The Strategic and Operational Risk Registers are included in Appendices to this report.

4. Financial Impact

There are no specific financial implications associated with this report.

5. Equality Impact Assessment

There are no specific equality impacts associated with this report. The risks set out in the risk registers are actively managed by Cabinet, Scrutiny Committees and Officers.

6. Workforce Impacts

There are no workforce impacts associated with this report.

7. Legal Impacts

There are no legal impacts associated with this report.

8. Risk Management

Risk management arrangements are as set out in the Risk Management Policy as approved by Cabinet.

9. Consultation

There is no requirement under the Constitution for external consultation on this item.

10. Appendices

Appendix 1 – Strategic Risk Register
Appendix 2 – Operational Risk Register

11. List of background papers

Cabinet Reports of 27th June 2018 – Risk Management Policy

Officer Contact

Mr Hywel Jenkins, Director of Finance and Corporate Services

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Tel: 01639 763251

Strategic Risks

Neath Port Talbot County Borough Council



Print Date: 23-Aug-2018

SR02	Pantteg - Significant slip of the land impacting on the community in an area of historic landslips	HIGH
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Primary Category: Compliance

Responsible Officer:

Gareth Nutt

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Dave Griffiths
Nicola Pearce

Inherent

Impact	High
Likelihood	Very Likely
Risk Rating	High

Revised

Impact	Medium / High
Likelihood	Very Likely
Risk Rating	High

Existing Controls

Inherent

1. Enforcement action taken on directly affected properties. 2. Further survey work to establish further risks. 3. Community relations strategy. 4. Dialogue with Welsh Government regarding funding for the associated costs

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul style="list-style-type: none"> • Hazard & Risk Maps of the area currently being prepared. • Public meeting held Jan 18 with further meetings thereafter. • Counsel opinion being sought on extent of ongoing liability due to large area of land in private ownership and having regard to the Councils duties as outlined in the legislation relating to housing and drainage. • Monitoring & slope analysis ongoing. • Multi-agency response plan to incident in place. • Sharing of monitoring data with public. 	In Progress	31/03/2019	Dave Griffiths
<ul style="list-style-type: none"> • Land tribunal hearing held to consider householders concerns on council action 	In Progress	31/03/2019	Dave Griffiths

SR14	Loss of personal/sensitive information resulting in financial penalty (max of 4% of annual turnover under new GDPR) and loss of public confidence.	MEDIUM
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Primary Category: Financial **Responsible Officer:** Hywel Jenkins
Secondary Categories: Reputational **Secondary Responsible Officers:** Steve John

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 Targeted training; provision of encryption technology; provision of secure emails. 2. Increased preventative measures in relation to Cyber threats

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Continued targeted training; provision of encryption technology; access to secure email transmission and receipt. Continual review and testing of Perimeter base and Information security.	Ongoing	31/03/2019	Hywel Jenkins

SR06	Financial Resilience - The Council's financial position deteriorates to a point where it is no longer able to meet its statutory duties or the expectations of its communities	MEDIUM
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Primary Category: Financial

Responsible Officer:

Hywel Jenkins

Secondary Categories: Compliance
Reputational
Resource

Secondary Responsible Officers:

Dave Rees

Inherent

Impact	High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	High
Likelihood	Unlikely
Risk Rating	Medium

Existing Controls

Inherent

1. Well established financial and corporate planning cycle. 2. Experienced Financial Services Team. 3. Accurate forecasting of service pressures. 4. Good relationships with Welsh Government and others to secure good intelligence to inform estimating and forecasting. 5. Open and transparent consultation and engagement with stakeholders on proposals to bridge budget gaps. 6. Links between revenue and capital budget planning. 7. Good track record in securing alternative funding, partnering, introducing new service models, seeking out innovation

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul style="list-style-type: none"> Intensify citizen engagement with the budget challenges, securing citizen commitment to behaviours that will reduce or remove demand on Council services Introduce a more robust enforcement policy to sanction behaviours that unreasonably impact on Council resources Review the potential for capacity/release or reduction in cost from internal, shared service or through external collaboration 	In Progress	31/03/2019	Dave Rees
<ul style="list-style-type: none"> Introduce corporate approach to increasing income and ensure staff and elected Member are equipped with the skills and knowledge to implement the approach Accelerate the pace of digital innovation across the Council Improve the quality of evidence adduced to exemplify the financial resilience challenges of the Council and ensure this is understood by those involved in the decisions on local government budgets 	In Progress	31/03/2019	Karen Jones
<ul style="list-style-type: none"> Significantly increase the amount of income generated by the Council to proportionately reduce the reliance on Government funding for the delivery of statutory services 	In Progress	31/03/2019	Dave Rees

SR01	Asset Management - Failure of major infrastructure	HIGH
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Primary Category: Financial **Responsible Officer:** Gareth Nutt
Secondary Categories: Compliance **Secondary Responsible Officers:** Dave Griffiths
 Reputational Mike Roberts
 Resource Simon Brennan

Inherent

Impact	Medium / High
Likelihood	Very Likely
Risk Rating	High

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1. Highways Asset Management Plan. 2. Fleet Asset Management Plan. 3. Property Asset Management Plan. 4. Capital Programme. 5. Capital Programme Monitoring Group. 6. Treasury Management Policy. 7. Revenue budget funding. 8. Large number of smaller asset transfer activity to community groups - bowling greens, sports pitches, community centres etc. 9. Tip inspections. 10. Flood and Water Management Plan

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul style="list-style-type: none"> Relevant Heads of Service to attend the Capital Programme Steering Group. Business continuity plans. 	In Progress	31/03/2019	Simon Brennan
<ul style="list-style-type: none"> Undertake rolling programme of surveys and inspections to understand condition and identify areas that require further investigation. Prioritise programmes of work and, where possible, remove/replace/reconstruct/ refurbish the highest risk assets. Defect inspection regime for Highway pavements. Deal with alternative route for Cymmer Bridge. Improved management of unadopted structures. 	In Progress	31/03/2019	Simon Brennan

SR10	Business Continuity - Serious disruption to Council services and functions	MEDIUM
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Primary Category: Resource **Responsible Officer:** Steven Phillips
Secondary Categories: Compliance **Secondary Responsible Officers:** Sheenagh Rees
Financial
Reputational

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1. A dedicated Emergency Planning Team has been established, providing Business Continuity Planning advice and support to service managers. 2. A revised approach to Business Continuity Planning has been developed and rolled out across Council Services

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul style="list-style-type: none"> All services across the Council to ensure that they have in place an up to date Business Continuity Plan, which has been communicated to all employees within the service as appropriate, and that the plan is tested and reviewed at regular intervals Test corporate disaster recovery and business continuity plans against service plans and a range of scenarios 	In Progress	31/03/2019	Sheenagh Rees

SR12	Welfare Reform - Increased numbers of local people experience financial hardship	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Karen Jones

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Nita Sparkes

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1. Partnership activity established and championed by the Public Services Board/elected Members. 2. Effective partnership relationships enabling people affected by welfare reform change to be identified and subject to targeted, preventative action. 3. Range of support services identified to support those claimants who may be adversely affected by the changes. 4. Training of officers and elected Members to ensure there is an understanding of the impact and implications of change. 5. Good and effective information sharing arrangements in place to support vulnerable people. 6. Core funding provided to key third sector organisation to sustain support services. 7. Council Tax Reduction Scheme supporting financially disadvantaged to help them pay their council tax

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Establish monthly briefing sessions internally to intensify monitoring of Universal Credit (UC) roll out and any new actions	Completed	31/05/2018	Karen Jones
Establish quarterly round table sessions with senior partners to gauge impact of Universal Credit (UC) and identify risks and required actions			
Undertake research to develop a clear understanding of those people who are facing greatest financial hardship	In Progress	31/12/2018	Karen Jones

SR05	Safeguarding - Failure to manage the safeguarding regime safely	MEDIUM
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Primary Category: Compliance **Responsible Officer:** Andrew Jarrett

Secondary Categories: Financial
Reputational
Resource **Secondary Responsible Officers:** Aled Evans
Chris Millis
Keri Warren

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Unlikely
Risk Rating	Medium

Existing Controls

Inherent

1. Corporate safeguarding group ensures there is clear allocation of roles and responsibilities internally within the Council and to share learning. 2. Experienced Head of Children Services recruited, and Head of Adult Services to follow. 3. Significant corporate support and investment in place to address weaknesses in Children and Young People Services and to sustain/build upon the work which removed the Council from the CSSiW Serious Concerns Protocol. 4. Focused improvement work taking place in adult services as a result of the new framework introduced by the SSWB Act. 5. Regional Safeguarding Boards for Western Bay led by suitably qualified personnel. 6. Ongoing investment in training to continuously improve safeguarding practice. 7. Schools robustly held to account by ELLL for safeguarding practice. 8. Investment in support for high risk victims of domestic abuse via the VAWDASV Leadership Group. 9. Investment in Channel Panel support to discharge safeguarding responsibilities for people vulnerable to being drawn into terrorism/extremism. 10. Seminar convened by Community Safety Partnership to highlight risks related to modern slavery, terrorism/extremism, serious and organised crime and hate crime. 11. Partnership groups established to provide oversight of issues related to the people resettled under the Syrian Vulnerable Persons Scheme

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul style="list-style-type: none"> Bring together safeguarding arrangements for adult and children's social services under a single line manager Consider whether there is scope to integrate other safeguarding practices across the Council into a shared corporate service Developing practice to better identify priority risks when supporting vulnerable people. Developing a Social Services Single Point of Contact to promote more robust and consistent decision making at the "front-door". 	In Progress	31/03/2019	Keri Warren
<ul style="list-style-type: none"> Develop a 'Progression Team' to support vulnerable young people into adulthood. Fully embed a Social Services 'Quality Assurance Framework', to regularly monitor safeguarding arrangements within the Directorate. To Strengthen and develop accommodation for care leavers. 	In Progress	31/03/2019	Keri Warren

SR13	Risk that regional collaboration dilutes the quality of services to local people and weaken governance	MEDIUM
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Primary Category: Reputational

Responsible Officer:

Steven Phillips

Secondary Categories: Compliance

Secondary Responsible Officers:

Caryn Furlow
Nita Sparkes

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Unlikely
Risk Rating	Medium

Existing Controls

Inherent

1. Each regional collaborative arrangement is explicitly agreed by elected Members. 2. Scrutiny of each regional collaborative arrangement is vested in the relevant scrutiny committee. 3. The nature and form of each significant collaborative arrangement is included in the Corporate Plan

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Area plan for the western bay collaboration on health and social care to be considered at Council	Completed	31/03/2018	Andrew Jarrett
City Deal - external legal support to ensure completion of Joint Committee Agreement and each council will sign off relevant project business cases that impacts on any financial commitment	In Progress	30/09/2018	Steven Phillips
Legislative proposals for further mandatory regional collaboration to be subject of full assessment and report to Council	Completed	30/09/2018	Steven Phillips
Review Council's ongoing participation in ERW arrangements	Not Started	31/03/2019	Steven Phillips
Review Council's ongoing participation in Western bay arrangements	Not Started	31/03/2019	Steven Phillips

SR03	Governance - Break down in internal controls and/or governance arrangements as a result of significant and continuing service change, complex service models and the loss of experienced staff	MEDIUM
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Primary Category: Resource **Responsible Officer:** Karen Jones
Secondary Categories: Compliance **Secondary Responsible Officers:** Nita Sparkes
Financial
Reputational

Inherent

Impact	Medium / High
Likelihood	Unlikely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Unlikely
Risk Rating	Medium

Existing Controls

Inherent

1. Corporate Governance Statement regularly reviewed internally by the Governance Group and annually approved externally by Wales Audit Office. It describes current controls and improvement actions with process of regular review. 2. Corporate Governance Group exercising continuous oversight of governance arrangements, including critical incident review. 3. Open and robust relationship with external auditors and inspectors. 4. Protected investment in Internal Audit Services with risk-based audit programmes. 5. The work of internal and external audit monitored quarterly by Audit Committee. 6. Regular reporting of progress in delivering agreed improvement actions set out in AGS to elected Members including Scrutiny and Audit Committees. 7. Common template for reporting on decision items to Cabinet and Cabinet Boards, to ensure decisions are supported by relevant information. 8. Training for all managers in corporate governance delivered by Monitoring Officer and Head of Corporate Strategy and Democratic Services. 9. Range of governance modules integrated into Member Induction arrangements

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Operational procedures being established to maintain new risk management arrangements	In Progress	31/08/2018	Karen Jones
Post implementation review of CAMMS ICT system benefits	Not Started	31/12/2018	Dave Rees
Provide additional focused training for the Audit Committee to ensure the Committee can exercise effective oversight of corporate governance arrangements. Following the Audit Committee training, review the Audit Committee Terms of Reference to ensure that they enable adequate monitoring and review of governance of governance arrangements by the Audit Committee	In Progress	31/10/2018	Dave Rees
Revise risk management policy and implement more consistent approach to risk description, scoring and action planning	Completed	31/03/2019	Karen Jones
Use the CAMMS performance management ICT system to increase access to information on corporate governance arrangements and to			

improve reporting for both officers and Members			
Further revision of the corporate reporting template to reflect Well-being of Future Generations (Wales) Act 2015 requirements and feedback from Wales Audit Office with refresher training for manager			

SR08	Health and Safety - Failure to manage Health & Safety of the workforce and community	MEDIUM
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Primary Category: Resource **Responsible Officer:** Steven Phillips

Secondary Categories: Compliance **Secondary Responsible Officers:** Sheenagh Rees
 Financial
 Reputational

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Clear health and safety framework. 2. Dedicated Health and Safety Team for the provision of advice and guidance. 3. Access to Health and Safety Training. 4. External quality audit to check compliance. 5. Prioritised action plan, based on corporate assessment of risk, threat and harm. 6. On line reporting system

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul style="list-style-type: none"> • Actions taken by service managers to engage the workforce in health & safety matters • Service managers ensuring that health & safety risk assessments are thorough and up to date • Service managers ensuring the provision of appropriate and up to date training • Service managers ensuring the provision of appropriate and up to date Personal Protective Equipment (PPE) 	In Progress	31/03/2019	Sheenagh Rees

SR09	Community Cohesion - Community tensions increase and there is a fracturing of community cohesion	LOW
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Primary Category: Reputational

Responsible Officer:

Karen Jones

Secondary Categories: Compliance
Financial
Resource

Secondary Responsible Officers:

Nita Sparkes

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Comprehensive Strategic Equality Plan in place which prioritises action to combat hate crime, domestic abuse and to strengthen engagement with a wide range of different sections of the community. 2. Strong links to many groups who share protected characteristics. 3. Training for officers and elected members in equality duties. 4. Systematic use of equality impact assessments (which includes community cohesion). 5. Clear structure for discharging PREVENT duties with action plan in place, based on peer review and legal duties. 6. Dedicated officers and elected Members who oversee equality and PREVENT duties. 7. Regional Community Cohesion Co-ordinator brings advice on emerging trends that could affect local community relations. 8. Full participation in regional CONTEST Board. 9. Partnership plans mobilised to support job reductions in Tata Steel which included community relations aspects. 10. Effective partnership in place to support people resettled under the Syrian Vulnerable Persons Scheme. 11. BME Development Worker funded to develop stronger links with local BME communities

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Carry out programme of equality audits to check approaches are embedded across the Council	In Progress	31/03/2019	Karen Jones
Improve tension monitoring and share more widely with relevant groups			
Increase interaction with key community groups, including Faith groups to improve community intelligence			
Conclude community profiling exercise and then reassess equality plans in light of the findings			
Develop strong counter-narrative to challenge extremist views and to mitigate the impact of events outside the county borough			

SR07	Budget Control - Failure to manage activity, expenditure and income within budgets	MEDIUM
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Primary Category: Financial **Responsible Officer:** Hywel Jenkins

Secondary Categories: Compliance **Secondary Responsible Officers:** Dave Rees
 Reputational Ross Livingstone
 Resource

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Experienced financial team with designated financial officers supporting budget holders. 2. Monthly budget reports, with forecasting to year end. 3. High level monitoring of budget variances by Corporate Directors Group and elected Members to identify emerging problems early and to require corrective action. 4. Budget accountability firmly embedded across the Council at all levels. 5. Communications strategy engages staff and trade unions in the consequences of not achieving budget balance with opportunities for staff and trade unions to contribute to the formulation of budgets and savings/income generation proposals

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul style="list-style-type: none"> The prospect of an overspend by the Council will be highlighted early in the year through the budget monitoring process. Actions will then be agreed and put in place by senior officers and Members to limit/prevent an overspend by the year end. 	In Progress	31/03/2019	Dave Rees

SR04	Workforce - Failure to adequately undertake workforce planning could lead to the Council not having the right numbers of the right people, in the right place, at the right time, doing the right things	LOW
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Primary Category: Resource **Responsible Officer:** Sheenagh Rees

Secondary Categories: Compliance **Secondary Responsible Officers:** Charlotte Jane Morgan
Financial
Reputational

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Workforce information post established within Human Resources Department. 2. Workforce information improvement work enabled by the development of the employee portal. 3. Sickness Task and Finish Group has developed a detailed insight into the reasons for absence and the profile of the people who are experiencing ill-health. 4. Workforce planning developed within Children and Young People Services. 5. Workforce surveys in place for some service areas – Social Services, Corporate Strategy and Democratic Services. 6. Clear and effective strategy in place to support employees who wish to depart the organisation under ER/VR. 7. Specific reserve established to fund ER/VR programme. 8. Insight into levels of digital literacy in the non-schools workforce conducted and some plans in place to address the findings of the research. 9. The engagement of apprentices

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul style="list-style-type: none"> A Strategic Workforce Plan for the Council will be published in April 2018 setting out 5 clear themes for the Council's workforce with agreed actions to support each theme – this will help service management teams focus on key areas of workforce planning such as succession planning, learning, training and development plans, employee engagement etc 	In Progress	31/03/2019	Sheenagh Rees
<ul style="list-style-type: none"> Further development of the Employee Portal and roll out across the whole workforce will improve both the information the Council has about each employee as well as communication with the workforce Publication of the gender pay gap and action plan as required by legislation will help the Council understand the gender profile and actions necessary to reduce the gender pay gap 	In Progress	31/03/2019	Sheenagh Rees
Strategic workforce plan is to be presented to elected members at committee for approval.	In Progress	27/07/2018	Sheenagh Rees

SR11	Delivery of Corporate Plan - Failure to deliver the Corporate Plan due to inadequate capacity	LOW
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Primary Category: Compliance

Responsible Officer:

Karen Jones

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Nita Sparkes

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Medium
Likelihood	Very unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Corporate Strategy Team has clear understanding of legal frameworks that need to be adhered to. 2. Experienced cadre of directors and heads of service who have participated in developing the programmes of work identified to deliver the political priorities of the Council. 3. Alignment of the budget and corporate planning process. 4. Range of mechanisms in place to obtain community and partner feedback on priorities and programmes of work. 5. Regular review of Plan progress undertaken by Corporate Directors Group and elected Members. 6. Strategic Schools Improvement Programme (SSIP) is being delivered but has been a significant pressure on the diminishing specialist functions – project management; communications; HR and ICT. 7. Effective relationship management with funders to ensure there is early notice of funding opportunities and consequently early identification of new projects and programmes that can be put forward for funding opportunities or time to wind up programmes

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
<ul style="list-style-type: none"> Benchmarking of approaches adopted by other organisations to be undertaken to identify other potential strategies that can assist in delivering the Council's priorities 	In Progress	31/03/2019	Karen Jones
<ul style="list-style-type: none"> Fine tuning of actions and performance objectives required to clarify deliverables Additional engagement and communication with management cadre to ensure full corporate ownership of the cross-cutting elements of the Plan, backed up by suitable training and development activities Further testing of objectives required as the budget scenarios for future years becomes firmer with Plan adjustment to be made as affordability issues are identified 	In Progress	31/03/2019	Karen Jones

SR15	The Council is unable to comply with the compliance notice for Welsh Language Standards	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Karen Jones

Secondary Categories: Reputational

Secondary Responsible Officers:

Caryn Furlow
Nita Sparkes

Inherent

Impact	Medium
Likelihood	Very Likely
Risk Rating	Medium

Revised

Existing Controls

Inherent

1. Comprehensive assessment of ability to comply was undertaken. 2. 55 standards were challenged by the Council and a number of changes were agreed with the Commissioner to resolve concerns. 3. Menter Iaith engaged to help develop the Welsh language Promotion Strategy. The Strategy is based on existing or new initiatives where resources have been identified. 4. Complaints are being monitored - lessons learned and remedial actions are identified and implemented. Additionally, the Council will seek further modification of the compliance notice if, in the course of implementation further barriers to compliance are identified. 5. Operationally the Welsh Language Officer Group is working to secure implementation of the standards. 6. Additional corporate budget has been allocated. 7. Scrutiny and monitoring arrangements at Cabinet and non-executive levels is in place

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Consulting on Welsh language Promotion Strategy to ensure relevance and deliverability	In Progress	01/07/2018	Karen Jones
Testing the process for appealing the Commissioner's ruling on an individual complaint (e.g. car parking machines)	In Progress	31/08/2018	Karen Jones

Mae'r dudalen hon yn fwriadol wag

Operational Risks

Neath Port Talbot County Borough Council



Print Date: 23-Aug-2018

CS24	Late receipt of instructions or missing information- reports to Cabinet/Committees or final terms and conditions of transactions/commercial arrangements are often only available for review shortly before deadlines or indeed not at all and is therefore difficult to give anything other than basic advice or to provide an input into any processes.	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Craig Griffiths

Secondary Categories:

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	High
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1. Review of the format of reports now draws attention to the requirement of legal comment. 2. On-going dialogue with client departments to address issues prior to final outcome being reached

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Encouraging clients to seek legal advice at early stage, prior to report writing or finalising commercial arrangements/transactions. Ensure on-going dialogue with client departments to address issues prior to mitigate risks on legal non-compliance	Ongoing	31/03/2019	Craig Griffiths

CS25	Combination of factors will lead to a reduction in experienced staff in the Registry Office during the year which will have an effect on service delivery.	MEDIUM
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Primary Category: Resource

Responsible Officer:

Craig Griffiths

Secondary Categories:

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	Medium
Likelihood	Certainty
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Certainty
Risk Rating	Medium

Existing Controls

Inherent

1. Recruitment and training of new staff

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Recruitment of casual staff to provide operational resilience	In Progress	31/03/2019	Craig Griffiths

SSH13	The Directorate does not manage safeguarding issues effectively, potentially leading to the avoidable harm to Children, Young People, Adults and Carers.	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Keri Warren

Secondary Categories: Reputational

Secondary Responsible Officers:

Leighton Jones
Rebecca Shepherd

Inherent

Impact	High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	High
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1. All staff continue to be trained in managing risk with clear systems in place to ensure that policies are followed and clear support and direction is given by managers.

EDLL3	Failure to provide NPT's most vulnerable pupils with specialist educational support and ensure sufficient appropriate specialist planned placements	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Andrew Thomas

Secondary Categories: Financial
Reputational

Secondary Responsible Officers:

Debora Holder-Phillips

Inherent

Impact	High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1. Recruit and retain enough suitably qualified and experienced staff with the skill set to support all vulnerable learners both in terms of assessment and provision

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Prioritise directorate budgets to ensure the vision for supporting vulnerable learners is primary	In Progress	31/03/2019	Andrew Thomas
Recruit and retain enough suitably qualified and experienced staff with the skill set to support all vulnerable learners both in terms of assessment and provision	Ongoing	31/12/2018	Andrew Thomas

CS19A	Service quality and availability in Legal Services may be compromised due to the reduction in financial resources.	MEDIUM
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Primary Category: Resource

Responsible Officer:

Craig Griffiths

Secondary Categories:

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	Medium
Likelihood	Very Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Very Likely
Risk Rating	Medium

Existing Controls

Inherent

1 FFPs identified savings are in process or being achieved - Management of Change process to be used

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Services and workload delivered within budget but with a reduced capacity during financial year. Income generation ideas will be reviewed and built upon and attempts made to find innovation in working practices to negate any service pressures.	Ongoing	31/03/2019	Craig Griffiths
On-going management to take place following further reduction in budget and capacity. Resources will be prioritised and appropriate staff training and supervision given to address shortfalls. In the event of unavoidable staff avoidance, liaise with staff to determine whether any individuals can act to cover matters on an interim basis or consider use of agency staff in the event of urgent need, subject to financial approval being given	Ongoing	31/03/2019	Craig Griffiths

EDLL1	Failure to safeguard NPT's most vulnerable children and young people in schools	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Chris Millis

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Debora Holder-Phillips

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 Policies and Procedures in place, updated, and reviewed regularly. 2. Peer Reviews. 3. Internal Audit. 4. Safeguarding Training Programme. 5. Designated Directorate Safeguarding Officer in post. 6. Schools robustly held to account by ELL over their safeguarding practices. 7. Duties under section 175 of the Education Act require Local Authorities and governing bodies of maintained schools to have in place arrangement to safeguard and promote the welfare of children

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Bi-annual peer reviews in all schools. Where there are concerns, schools follow NPT and all wales child protection procedures which have been endorsed by the local safeguarding children board	In Progress	31/03/2019	Chris Millis
Ensure appropriate policies and procedures are updated, and training updated with any changes. Ensure the Designated Safeguarding Officer keeps up to date with any changes and updates the training programme to reflect the changes are disseminated. Follow up on any internal and external recommendation through reviews and visits.	In Progress	31/03/2019	Chris Millis
Review of policies and Procedures Peer Reviews Safeguarding part of Internal Audit arrangements. Safeguarding Training Programme in place. Designated ELLL Directorate Safeguarding Officer to provide specialist advice. Schools robustly held to account by ELLL over their safeguarding practices	Ongoing	31/12/2018	Chris Millis

EDLL2	Failure for schools to adhere to relevant H&S legislation which has potential to cause harm to the pupils, general public and employees (including Environmental Health issues)	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Chris Millis

Secondary Categories: Financial
Reputational

Secondary Responsible Officers:

Debora Holder-Phillips

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 H&S Policies and procedures. 2. Training programme. 3. H&S audits. 4. Alternative cleaning regime for implementing sanitisation procedure

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Ensure H&S changes are updated in ELLL policies and procedures across the Directorate Ensure staff and trained as soon as possible on any changes/updates	Ongoing	31/03/2019	Chris Millis
1.H&S Policies and procedures 2.Training programme 3.H&S audits 4.Contamination procedures in place for breakouts or emergencies	Ongoing	31/12/2018	Chris Millis

ENV06	Adopted bridges/retaining structures - substantial Revenue and Capital funding required to meet maintenance needs. Potential failure resulting in closure, weight and/or highways restrictions - negative impact on residents, communities, transport connectivity and businesses.	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Dave Griffiths

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Allison Headon

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 General inspections in accordance with BD/63 - every two years. Principal inspections every six years. 465 bridges in current portfolio. 1,812 retaining structures.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
A robust inspection regime to be maintained. Identify prospective projects for improvement and inclusion in HAMP and Forward Capital Programme CPSG.	Ongoing	31/03/2019	Dave Griffiths
<p>Progress Comments: The Bridges Section is carrying out 230 General Inspections and 10 Principal Inspections every year to discharge the Authority's legal requirement.</p> <p>The Bridges Section carry out 5 bridges and retaining walls strengthening schemes each year to maintain traffic flow on the Authority's highway network</p>			

ENV26	Management of Mines and Quarries - There are 33 Council owned sites within the County Borough. Revenue funding is required for the inspection regime and Capital/ Revenue funding is likely to be required to manage hazards identified. There are a significant number of privately owned mines and quarries and officers are writing to all owners to obtain their records of inspections.	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Dave Griffiths

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Simon Brennan

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 Limited historic records available. Significant number of mines and quarries present in County Borough, both publicly and privately owned. Unknown extents of hazards

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
The Coal Authority has been commissioned to carry out the inspection of all NPT owned sites. A programme of inspections has been commenced; projects to mitigate hazards will be flagged in the asset/ liability management plan for funding pressures in future years. The Engineering section are writing to all privately owned sites for copies of their inspection/ management regime.	Ongoing	31/03/2019	Dave Griffiths
<p>Progress Comments: The Coal Authority has inspected 12 NPT sites and will inspect 12 this year. None of the sites inspected have been downgraded in terms of their risk.</p> <p>NPT has sent letters to all the private land owners found so far and we have had replies from half of them. NRW own/are responsible for 60 sites, which they are monitoring with the help of the Coal Authority.</p>			

CS26	Loss of key staff within ICT Division due to diminishing budget and/or staff leaving due to increased workloads/responsibilities leading to job dissatisfaction which could mean a decline in or total loss of ICT service	MEDIUM
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Primary Category: Resource

Responsible Officer:

Steve John

Secondary Categories: Financial

Secondary Responsible Officers:

Ian John
Ross Livingstone

Inherent

Impact	High
Likelihood	Unlikely
Risk Rating	Medium

Revised

Impact	High
Likelihood	Unlikely
Risk Rating	Medium

Existing Controls

Inherent

1 Combination of better job satisfaction through System Reviews, Employee Development Review process and reduction of dependency on key individuals by sharing expert knowledge across other staff. 2 Rigorously pursue income opportunities to relieve budget pressures.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Combination of better job satisfaction through System Reviews, Employee Development Review process and reduction of dependency on key individuals by sharing expert knowledge across other staff; rigorously pursue income opportunities to relieve budget pressures.	In Progress	31/03/2019	Steve John

EDLL5	Failure of data protection legislation including loss of personal/sensitive information resulting in financial penalty and loss of public confidence	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Andrew Thomas

Secondary Categories: Financial
Reputational

Secondary Responsible Officers:

Debora Holder-Phillips

Inherent

Impact	High
Likelihood	Unlikely
Risk Rating	Medium

Revised

Impact	High
Likelihood	Unlikely
Risk Rating	Medium

Existing Controls

Inherent

1 Information Security policies. 2 Proper disposal of confidential waste. 3 User training. 4 Checks in place to ensure data security. 5 Access to secure email transmission and receipt. 6 Provision of encryption technology

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Ensure employees are aware of their responsibilities in relation to information security. Continue to disseminate any changes and update policies accordingly	Ongoing	31/03/2019	Andrew Thomas
Update and review Information Security policies and provide update training for staff Correct disposal of confidential waste Checks in place to ensure data security Access to secure email transmission and receipt Provision of encryption technology	Ongoing	31/12/2018	Andrew Thomas

HR COH&S 1	Corporate Manslaughter - Failure to effectively demonstrate and adhere to safe methods of working, resulting in individual and/or corporate manslaughter.	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Sheenagh Rees

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Charlotte Jane Morgan

Inherent

Impact	High
Likelihood	Unlikely
Risk Rating	Medium

Revised

Impact	High
Likelihood	Unlikely
Risk Rating	Medium

Existing Controls

Inherent

1 Through application of statutory duties as detailed within regulations, HSE guidance etc. Management of the above and the ability of Heads of Service and Directors to accept their responsibilities in relation to health and safety and engage the workforce by example. Policy alone will not mitigate the risk.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
BSi audit re registration to OHSAS 18001 - ISO 45001 translational arrangements - 3 year lead.	In Progress	31/03/2019	Sheenagh Rees
Health and safety policy, Health and safety training, Compliance with regulations, Occupational Health Policy, Implementation and monitoring of HSE reports and recommendations. Risk assessments undertaken by Directorates.	In Progress	31/03/2019	Sheenagh Rees
OHSAS 18001 was awarded in 2007. External 3rd party audit every 4 months. Internal audit process in place. H&S corporate procedures reviewed on an annual basis.	In Progress	31/03/2019	Sheenagh Rees

SSHH17	Future Direction Of Travel (Report Approved by Members 3.7.17). Progress is not made at a sufficient rate in the uptake of Direct Payments and/or Asset Based Approach.	MEDIUM
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Primary Category: Financial

Responsible Officer:

Angela Thomas

Secondary Categories:

Secondary Responsible Officers:

Leighton Jones
Rebecca Shepherd

Inherent

Impact	High
Likelihood	Unlikely
Risk Rating	Medium

Revised

Impact	High
Likelihood	Unlikely
Risk Rating	Medium

Existing Controls

Inherent

1 SSHH Strategic Business Plan sets out high level actions to transform service delivery and realise FFP savings. Detailed delivery plans to be developed and implemented. FFP group developed to monitor progress of the savings on a regular basis.

CS21	Demands on Legal Services will rise due to unforeseen internal and external events.	MEDIUM
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Primary Category: Resource

Responsible Officer:

Craig Griffiths

Secondary Categories:

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	Medium
Likelihood	Very Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 Keep all of legal services staff fully briefed about developing issues

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Efforts will be made to mitigate this by developing greater efficiency and early identification of new developments. Staff will need to review extensive documentation at very short notice. Additional capacity being sought.	In Progress	31/03/2019	Craig Griffiths

CS47	Risk of reputational damage to the Council if there is inadequate approach to corporate community relations	MEDIUM
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Primary Category: Reputational **Responsible Officer:** Karen Jones
Secondary Categories: **Secondary Responsible Officers:** Nita Sparkes

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1. Draft Corporate Communications strategy is being developed. 2. Role of Corporate Communications team has been clarified and agreed with Corporate Management Group. 3. Temporary additional resource has been made available to deal with peaks of work related to Pantteg and the Council's capital programme. 4. Media protocol setting out the role of Members/Political spoke persons is in place. 5. Media training and social media training has been provided as part of the May 2017 Local government election induction programme

Risk Controls

Finalise corporate communications strategy - completed and approved							
Control Title:		Finalise corporate communications strategy - completed and approved					
Control Owner:		Karen Jones					
Solution	Responsible Officer	Department	Start Date	End Date	Reporting Frequency	Action Status	% Completed
Risk Directorate:		CHIEF EXECUTIVES					
Risk Business Unit:		THE DEPARTMENT OF THE ASSISTANT CHIEF EXECUTIVE AND CHIEF DIGITAL OFFICER					
Risk Rating:		Medium					
Realign workforce arrangements to deliver strategy - completed							
Control Title:		Realign workforce arrangements to deliver strategy - completed					
Control Owner:		Karen Jones					
Solution	Responsible Officer	Department	Start Date	End Date	Reporting Frequency	Action Status	% Completed
Risk Directorate:		CHIEF EXECUTIVES					
Risk Business Unit:		THE DEPARTMENT OF THE ASSISTANT CHIEF EXECUTIVE AND CHIEF DIGITAL OFFICER					
Risk Rating:		Medium					

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Finalise corporate communications strategy - completed and approved	Completed	31/07/2018	Karen Jones
New approach to employee engagement being developed	In Progress	31/12/2018	Karen Jones
The roles of people in the corporate communication team have been revised and Management of Change has been applied to support people into new roles	Completed	31/07/2018	Karen Jones
Corporate branding and overarching work programme in development	In Progress	30/09/2018	Karen Jones
Realign workforce arrangements to deliver strategy - completed	Completed	31/07/2018	Karen Jones
Business partners to develop forward work programmes with the departments they are responsible for	In Progress	31/08/2018	Karen Jones
New approach to community engagement being developed	In Progress	30/09/2018	Karen Jones

ENV07	Immediate inability to operate large goods vehicles, e.g. refuse trucks, gritter, community buses due to loss of Authority's Operators Licence	MEDIUM
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Primary Category: Compliance **Responsible Officer:** Dave Griffiths
Secondary Categories: Financial **Secondary Responsible Officers:** Mike Roberts
Reputational

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 Grey Fleet Policy to be updated following Gallagher Bassett Insurance Audit

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Driver and vehicle risk management policy in place, coupled with robust maintenance systems and training regime. Update Sept 16 - Grey fleet policy work to be in place. Update March 18 (revised target date) - Draft policy completed. Consultation with Trade Unions ongoing. Update March 18 - Draft Grey Fleet Policy developed which will be incorporated into the current Driving at Work Policy. It should be noted there is no impact to the Authority's 'O' license, with regard to Grey Fleet.	In Progress	10/10/2018	Dave Griffiths
Progress Comments: Document awaiting agreement from TU's.			

ENV08	Increase in road casualties on County Highway network due to reducing resources	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Dave Griffiths

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Allison Headon

Inherent

Impact	Medium / High
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1. Address rising road casualties through adoption of Road Safety Strategy 2015-2020

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Maintain current resources to target identified vulnerable road user groups through education, training and publicity using resources available. Update June 18 - Annual accident statistical data shows a downward trend across all vulnerable user groups	Ongoing	31/03/2019	Dave Griffiths
Progress Comments: annual WG published statistical data for Sept 2017 - shows a downward trend across all vulnerable user groups			

ENV19	Planning permission is not implemented in accordance with the approved planning permission for the continuation and extension of the East Pit opencast coal site and / or due to the reduction in coal prices, the operator ceases to make regular payments to the restoration bond. This will lead to the retention of an unrestored and insufficiently bonded opencast coal site which could fill with water in an uncontrolled manner to the detriment of the health and safety of local communities	MEDIUM
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Primary Category: Financial
Responsible Officer: Nicola Pearce
Secondary Categories: Compliance
 Reputational
 Resource
Secondary Responsible Officers: Jonathan Tucker

Inherent

Impact	Medium
Likelihood	Very Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 Regular monitoring of the site is undertaken in accordance with the approved plans and associated conditions and bond payments are secured in accordance with the payment plan.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Whilst the bond is now fully paid up it remains essential that we ensure that regular and constant monitoring of the site is undertaken to secure compliance with the approved plans.	Not Started	31/03/2019	Nicola Pearce
Hold regular meetings with the operator with regard to the financial liabilities associated with delivering completion of coaling and restoration of this site. Take a cautious approach to paying back bond monies until absolute certainty is reached with regard to completion of the tasks associated with the restoration of the site.	Not Started	31/03/2019	Nicola Pearce

ENV20	Failure of the owners / former operators of the Margam opencast coal site to complete an acceptable restoration of the site which is essential to protect the health and safety of surrounding communities which would otherwise be at risk of flooding from the void. The failure to restore will also result in the retention of a scarred landscape which has an unacceptable visual impact upon the character and appearance of the surrounding countryside.	MEDIUM
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Primary Category: Financial

Responsible Officer:

Nicola Pearce

Secondary Categories: Compliance
Reputational
Resource

Secondary Responsible Officers:

Jonathan Tucker

Inherent

Impact	Medium
Likelihood	Very Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 The site is regularly monitored by both the Coal Authority and the Council's Minerals Enforcement Officer for compliance against the approved plans and associated conditions. The site is being restored in accordance with agreed timescales and restoration should be complete by the summer of 2018 at which time it will go into aftercare.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Work is ahead of projections and should be completed by the summer of 2018 at which point aftercare will commence. This site is monitored regularly by the coal authority and by the Council's minerals enforcement officer.	Ongoing	23/01/2022	Nicola Pearce

EDLL4	Internal budget reductions will result in some services no longer being viable	MEDIUM
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Primary Category: Financial **Responsible Officer:** Andrew Thomas
Secondary Categories: Compliance **Secondary Responsible Officers:** Debora Holder-Phillips
Reputational

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 Monthly budget monitoring reports. 2. Adverse variances are reported to SMT as soon as identified and appropriate mitigation action implemented

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
1 Monthly budget monitoring reports 2 Adverse variances are reported to SMT as soon as identified and appropriate mitigation action implemented	Ongoing	31/12/2018	Andrew Thomas
Continue to monitor the financial position of the Directorate on a monthly basis	Ongoing	31/03/2019	Andrew Thomas

ENV11	Inadequate revenue and capital funding to meet building maintenance needs leading to service delivery issues and potential health & safety concerns	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Simon Brennan

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Jonathan Tucker

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 Reducing number of 'C' and 'D' Conditional Grade Buildings

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
"On-going programme of reducing the number of maintained buildings Update March 17 (score reduced from 20 to 16) "	Ongoing	31/03/2019	Simon Brennan
Ongoing Reduction in number of 'C' and 'D' Conditional Grade Buildings	Ongoing	18/01/2022	Simon Brennan

ENV15	<p>Improve air quality within the Port Talbot Air Quality Management Area (AQMA) where there is a potential to breach maximum European limits. This could result in infraction proceedings being taken by the European Union.</p>	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Nicola Pearce

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Jonathan Tucker

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 Existing approved air quality monitoring station to continue operating. Results to be monitored and acted upon when necessary.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Continued monitoring of air quality within the area to the point where it can be demonstrated that continuous improvement has been achieved and the AQMA is undeclared	Ongoing	31/03/2019	Nicola Pearce

ENV17	Failure to reduce nickel emissions to be within the European targets within Pontardawe and Neath could result in infraction proceedings being taken by the European Union with associated fines	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Nicola Pearce

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Jonathan Tucker

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

Inherent

1 Working with the industrial operators who are generating the emissions to secure the use of Best Available Techniques (BAT) as required under the regulations; continuous monitoring of nickel levels within and outside the buildings in question

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Continue to work with partners both in the industry, NRW, and Welsh Government to reduce emissions of nickel to air and continue to outline this issue within our air quality management plans.	In Progress	30/04/2019	Nicola Pearce

HR 3	The failure of the HR Division to deliver critical services, as a result of reductions in staff numbers linked to the FFP.	MEDIUM
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Primary Category: Financial

Responsible Officer:

Sheenagh Rees

Secondary Categories:

Secondary Responsible Officers:

Charlotte Jane Morgan

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Existing Controls

1 Managing the service via the HR Business Plan and Performance Management System. Reviewing capacity and processes.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
2017-2018 - same as above. Piloting robotic process automation -RPA on behalf of NPTCBC.	In Progress	31/03/2019	Sheenagh Rees
The Division has linked Business Plan priorities to service score cards, team priorities and personal objectives set out in Performance Appraisals, to ensure every member of staff understands priorities and what to deliver. March 17: Services and workload delivered in 2016/17 within budget and on target.	Completed	31/03/2018	Sheenagh Rees
The Division has identified ways of delivering some services in more innovative ways at lower costs in line with the Corporate Improvement Plan Objective 6 – Better Simpler Cheaper, including digitalising some services from 1st April 2016. The Division has prioritised the services which it can continue to deliver in discussion with Corporate Directors, and has agreed, where necessary, to set aside non priority services.	Completed	31/03/2018	Sheenagh Rees

HR 1	The risk of legal challenge to workforce related strategies outlined in the Forward Financial Plan and the Corporate Improvement Plan	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Sheenagh Rees

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Charlotte Jane Morgan

Inherent

Impact	Medium / High
Likelihood	Unlikely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Unlikely
Risk Rating	Medium

Existing Controls

Inherent

1 The Management of Change in Partnership Policy has been reviewed in partnership with trade unions, to ensure managers have a clear legal framework to work within. The HR team will continue to support significant workforce change across the Council where it is resourced to do so and will ensure the established principles of Social partnership working with the trade unions are maintained. Additional support has been secured to support significant change and improvement programmes in SSHH.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
The Management of Change in Partnership Policy has been reviewed in partnership with trade unions, to ensure managers have a clear legal framework to work within. The HR team will continue to support significant workforce change across the Council where it is resourced to do so and will ensure the established principles of Social partnership working with the trade unions are maintained. Additional support has been secured to support significant change and improvement programmes in SSHH.	Ongoing	31/03/2019	Sheenagh Rees
Jan 18 - On-going - HR team focused on management of change. HR team support and advice in relation to management of change.	In Progress	30/03/2019	Sheenagh Rees

SSH12	An increase in LAC population will have an impact on the council's budget.	HIGH
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Primary Category: Financial

Responsible Officer:

Keri Warren

Secondary Categories:

Secondary Responsible Officers:

Leighton Jones
Rebecca Shepherd

Inherent

Impact	Medium / High
Likelihood	Very Likely
Risk Rating	High

Revised

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Ensure robust systems are in place to ensure only those children that need to be looked after are in care and that they are placed as close as possible to NPT with as many NPT carers as possible.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
New budget for 2018/19 in place, which includes on-going reduction in LAC numbers	Not Started	31/03/2019	Keri Warren

CS51	The Council's arrangements for planning, policy and performance management do not comply with duties contained within the WBFG Act	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Karen Jones

Secondary Categories: Reputational

Secondary Responsible Officers:

Caryn Furlow
Nita Sparkes

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Corporate Plan has been revised to reflect the duties related to planning. 2. Annual report is to be produced in 2 parts in 2017/18 as a transition measure. 3. Corporate report template has been amended to cater for the sustainable development principle. 4. Equality impact assessment tool has been amended and piloted. 5. Pilot training course has been delivered

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Corporate strategy officers participate in the future generations network to discuss emerging practice across Wales	In Progress	30/09/2018	Caryn Furlow
Full training programme for all relevant managers to be delivered	In Progress	30/09/2018	Caryn Furlow
Formal assessment of compliance under revised audit regime to be completed by WAO	Not Started	31/03/2019	Karen Jones
Full training programme of Integrated Impact Assessment (IIA) for all relevant managers being delivered	In Progress	31/10/2018	Rhian Headon

CS18	That the level of service provided will be affected in areas where significant staff reductions have taken place.	LOW
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Primary Category: Compliance

Responsible Officer:

Dave Rees

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Reviewing and, where appropriate, redesigning the service prior to staff being allowed to leave.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Monitoring of performance levels across all section of the Finance division	Ongoing	31/03/2020	Dave Rees

CS27	Requirements of service areas not being met due to workload exceeding the resources available due to decreasing workforce	LOW
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Primary Category: Resource

Responsible Officer:

Steve John

Secondary Categories:

Secondary Responsible Officers:

Ian John
Ross Livingstone

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Ensure that senior IT Managers are consulted for all projects that contain elements linked to ICT. Stronger ICT governance. Ensure tasks and targets published in the Business Plan are achievable by setting realistic target dates and managing resources effectively.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Liaise with the Director of F&CS to highlight issues and risks and to develop mitigations.	In Progress	31/03/2019	Steve John

CS19B	Service quality and availability impacted by change in Senior Management over the next 18 months.	LOW
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Primary Category: Compliance

Responsible Officer:

Hywel Jenkins

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	Low / Medium
Likelihood	Likely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Likely
Risk Rating	Low

Existing Controls

Inherent

1 Succession planning process being implemented

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Rigorous appointment process carried out in a timely manner to ensure a smooth transition	Part Completed	31/03/2019	Hywel Jenkins

EDLL6	Estyn places a NPT school in special measures	LOW
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Primary Category: Reputational

Responsible Officer:

Chris Millis

Secondary Categories: Compliance

Secondary Responsible Officers:

Debora Holder-Phillips

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Robust leadership programmes. 2. Challenge advisers monitoring schools 3 times per annum. 3. Initial protocol for support. 4. Director of ELLL issues a statutory warning letter to the school where appropriate. 5. Termly progress reports to Estyn. 6. Access to regional support

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
1. Robust leadership programmes 2. Challenge advisers monitoring schools 3 times per annum 3. Initial protocol for support 4. Director of ELLL issues a statutory warning letter to the school where appropriate 5. Termly progress reports to Estyn 6. Access to regional support	Ongoing	28/09/2018	Chris Millis
Ensure Challenge Advisers regularly challenge schools Ensure schools follow up on any recommendations in a timely manner	Ongoing	31/03/2019	Chris Millis
Half termly HUB meetings and weekly team meetings to discuss schools causing concern. Termly LALI visits from Estyn to NPT to discuss schools causing concern. Regional risk register	Ongoing	31/03/2019	Chris Millis

EDLL7	Strategic School Improvement Programme (SSIP) failure	LOW
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Primary Category: Financial **Responsible Officer:** Andrew Thomas
Secondary Categories: Compliance **Secondary Responsible Officers:** Debora Holder-Phillips
Resource

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Planned and measured approach to programme delivery. 2. Robust business plans to ensure programme secures WG approval and funding

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
1.Planned and measured approach to programme delivery 2.Robust business plans to ensure programme secures WG approval and funding	Ongoing	31/12/2018	Andrew Thomas
Ensure WG guidelines are adhered to Ensure sufficient capital resources Ensure effective programme planning Ensure high quality businesses cases for each project under the programme	Ongoing	31/03/2019	Andrew Thomas

EDLL10	Failure to provide adequate Home to School Transport service	LOW
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Primary Category: Compliance

Responsible Officer:

Chris Millis

Secondary Categories: Financial
Reputational

Secondary Responsible Officers:

Debora Holder-Phillips

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Relevant policies and procedures are in place. 2. Monthly team meetings to discuss issues and complex cases. 3. Review of budget spends. 4 Robust tendering procedures. 5 Case-by-case review

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Ensure regular review of complex transport issues are discussed in the cross-directorate Transport Group meetings Ensure relevant legislation and policy is applied consistently Ensure tendering arrangements are timely and in line with the Council's procurement requirements Ensure transport operators are monitored for quality of service	Ongoing	31/03/2019	Chris Millis
1.Relevant policies and procedures are in place 2.Monthly team meetings to discuss issues and complex cases 3.Review of budget spends 4.Robust tendering procedures 5.Case-by-case review	Ongoing	29/09/2018	Chris Millis

ENV18	Reduction in staff coupled with an increased workload will result in a drop in performance within the Development Management section and consequential financial penalties	LOW
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Primary Category: Financial

Responsible Officer:

Nicola Pearce

Secondary Categories: Reputational

Secondary Responsible Officers:

Jonathan Tucker

Inherent

Impact	Low / Medium
Likelihood	Likely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Likely
Risk Rating	Low

Existing Controls

Inherent

1 Retain sufficiently skilled workforce to ensure there is capacity to deal with planning submissions in accordance with welsch government deadlines.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Review and redesign the service and associated structure to address current demands whilst also working within a tight budget.	In Progress	31/12/2019	Nicola Pearce

CS32	Financial settlement insufficient to meet statutory duties	MEDIUM
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Primary Category: Financial **Responsible Officer:** Dave Rees
Secondary Categories: Compliance **Secondary Responsible Officers:** Ross Livingstone
 Reputational
 Resource

Inherent

Impact	High
Likelihood	Unlikely
Risk Rating	Medium

Revised

Impact	High
Likelihood	Very unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Budget setting process involving Directors, Heads of Service and Members.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Continue to lobby WG to provide adequate funds for local government responsibilities	Ongoing	31/03/2019	Hywel Jenkins

CS30	Total loss of all ICT Services due to significant fabric/Infrastructure loss	LOW
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Primary Category: Resource

Responsible Officer:

Steve John

Secondary Categories:

Secondary Responsible Officers:

Ian John
Ross Livingstone

Inherent

Impact	High
Likelihood	Very unlikely
Risk Rating	Low

Revised

Impact	High
Likelihood	Very unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Enhanced environmental monitoring agents coupled with more robust Business Continuity processes

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Dual site duplication being implemented Continual review and testing of existing, and any new, plans.	In Progress	31/03/2019	Steve John

CS12B	That a balanced budget for 2019/20 is not produced in time that is sufficiently robust to meet the requirements of external audit scrutiny.	LOW
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Primary Category: Financial

Responsible Officer:

Dave Rees

Secondary Categories:

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	High
Likelihood	Very unlikely
Risk Rating	Low

Revised

Impact	High
Likelihood	Very unlikely
Risk Rating	Low

Existing Controls

Inherent

1 A rigid and robust process involving a minimum of Directors, Heads of Service and Members. The process is timetabled with clear deadlines and required outcomes. The 2019/20 budget will be approved by Council in Feb 2019

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Strict adherence to budget setting process	In Progress	28/02/2019	Dave Rees

CS52	Existing CCTV service is not value for money	MEDIUM
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Primary Category: Financial **Responsible Officer:** Karen Jones
Secondary Categories: Resource **Secondary Responsible Officers:** Nita Sparkes

Inherent

Impact	Medium
Likelihood	Certainty
Risk Rating	Medium

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Up to date baseline of service costs and performance is in place. 2. Options to secure better value for money have been identified. 3. Preferred option to in-source work where there are synergies identified and external support to complete option appraisal identified

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Business Case being developed	In Progress	31/12/2018	Karen Jones
Now secured APSE support to identify services currently out-sourced that could be in-sourced to secure improved value for money	Completed	30/09/2018	Karen Jones
Secure APSE support to identify services currently out sourced that could be in-sourced to secure improved value for money	In Progress	30/09/2018	Jayne Banfield

Primary Category: Compliance **Responsible Officer:** Simon Brennan

Secondary Categories: Financial **Secondary Responsible Officers:** Jonathan Tucker
 Reputational
 Resource

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Current Compliance Systems in place which Include i) Asbestos Management; ii) Fire Precautions; iii) Legionella; iv) Safety Glazing etc.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Further Development of Property Compliance Systems and Enhanced Responsible Persons Training	Ongoing	18/01/2022	Simon Brennan
On-going capital works programme and risk awareness for building users	Ongoing	31/03/2019	Simon Brennan

HR EP1	Delivering an adequate emergency response and business continuity capability to mitigate against disruptive events, such as flooding or pandemic illness which pose significant social, economic and environmental risks to local communities and to the continued delivery of vital public services in and around Neath Port Talbot County Borough Council.	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Sheenagh Rees

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Charlotte Jane Morgan

Inherent

Impact	Medium
Likelihood	Likely
Risk Rating	Medium

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1. March 17: The NPT Emergency Planning Team was established in March 2017 and developed programme of work is now in place to ensure effective arrangements are in place to prepare for, respond to and recover from major emergencies. June 17 Update: Current assessment of NPTCBC's readiness to respond to a critical incident is currently being assessed by the individual Directors and collated by NPT's Emergency Planning Team.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
BSI scope has now been increased to include EPT roles and duties.	Completed	07/06/2018	Sheenagh Rees
Increase resources in terms of staff and admin	In Progress	31/03/2019	Sheenagh Rees
Seeking permanent funding for resources.	In Progress	31/03/2019	Sheenagh Rees

CS17	That the WAO cannot give assurance regarding the quality of audit work.	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Dave Rees

Secondary Categories: Reputational

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	Medium / High
Likelihood	Unlikely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Very unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Annual audit plan which is approved by audit committee and agreed by WAO. Audit work reviewed by senior auditor/audit manager, plus quality control checks carried out by Head of Financial Services

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
All internal audit work is reported to audit committee. All internal audit reports are copies to WAO.	Ongoing	31/03/2019	Dave Rees

CS50	Risk that the Council will not be able to deliver new responsibilities created by the Welsh Government in relation to electoral reform	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Karen Jones

Secondary Categories: Reputational

Secondary Responsible Officers:

Nita Sparkes

Inherent

Impact	Medium / High
Likelihood	Unlikely
Risk Rating	Medium

Revised

Impact	Medium / High
Likelihood	Very unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Electoral services manager has strong links to Welsh Government policy division and the Cabinet Office and actively contributing to the development of the proposed legislation. 2. Electoral services team has been protected from budget cuts and consequently the Council has retained a sufficient and experienced electoral capacity

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Approaches to be made to Welsh Government and the Cabinet Office to explore the possibility of a part time secondment to be explored	Not Started	30/09/2018	Karen Jones
Electoral services to develop links to Welsh Government policy division and Cabinet Office to track the development of the proposed legislation	In Progress	31/08/2018	Karen Jones
Ensure there is a full impact assessment of proposals when published and feed details of any additional resource pressures into budget cycle	Not Started	31/03/2019	Karen Jones
Ensure there is full impact assessment of proposals when published and feed details of any additional resource pressure into budget cycle	Not Started	31/03/2019	Karen Jones

CS01B	Financial pressures throughout the 2018/19 year will not allow elements of the FFP to be achieved and/or will put pressure on other budget heads (New risk)	LOW
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Primary Category: Financial

Responsible Officer:

Dave Rees

Secondary Categories:

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1 The budget monitoring process which will highlight pressures at the earliest possible stage and require managers to find solutions to those pressures and therefore retain net spending within the budget guidelines

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Actions taken by the senior management teams in response to budget monitoring reports	In Progress	31/03/2019	Dave Rees

CS49	Risk that opportunity to exploit the functionality of the replacement telephony system is not taken by customer services leading to loss of financial savings and customer satisfaction improvements	LOW
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Primary Category: Reputational

Responsible Officer:

Karen Jones

Secondary Categories: Resource

Secondary Responsible Officers:

Nita Sparkes

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Project officer in place to provide dedicated capacity to plan and introduce the replacement system. 2. 'Wish list' of system functionality developed by team leaders and communicated to the Head of ICT. 3. Visioning exercise to identify transformational opportunities created by the new technology completed and aligned with the Council's Digital by Choice agenda

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Current plan to be developed - next steps	In Progress	31/10/2018	Karen Jones
Project plan developed to identify preferred milestones linked to service capacity	In Progress	31/03/2019	Karen Jones

HR COH&S 2	Failure to demonstrate effective risk management of Occupational Hazards/injuries & Occupational Health & Well-being of employees.	LOW
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Primary Category: Compliance

Responsible Officer:

Sheenagh Rees

Secondary Categories: Financial
Reputational
Resource

Secondary Responsible Officers:

Charlotte Jane Morgan

Inherent

Impact	Low / Medium
Likelihood	Likely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1 In-house Occupational health unit. Corporate Stress procedure & associated stress risk assessment. Maximising attendance at work policy.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
External BSi audit in June.	Completed	07/06/2018	Sheenagh Rees
Review of internal OHU procedures.	In Progress	28/12/2018	Sheenagh Rees
Mental health at work strategy to be developed.	In Progress	31/03/2019	Sheenagh Rees

CS15	That there is a drop in performance in terms of the time taken to process benefits and in terms of the number of write offs required due to authority error.	LOW
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Primary Category: Financial

Responsible Officer:

Dave Rees

Secondary Categories: Reputational

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Regular training that all benefits staff received particularly in relation to changes in rules and regulations surrounding benefits

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Regular monitoring of performance, and increased training and evaluation if required	Ongoing	31/03/2020	Dave Rees
Regular training that all benefits' staff receive particularly with regard to changes in the rules and regulations surrounding benefits.	Ongoing	31/03/2020	Dave Rees

CS28	Inability to access, send and receive information from Police, DWP and other Government Agencies due to loss of Public Services Network (PSN) accreditation. This would lead to several services areas being unable to work.	LOW
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Primary Category: Compliance

Responsible Officer:

Steve John

Secondary Categories:

Secondary Responsible Officers:

Ian John
Ross Livingstone

Inherent

Impact	Medium / High
Likelihood	Very unlikely
Risk Rating	Low

Revised

Impact	Medium / High
Likelihood	Very unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Ensure that all areas of PSN Conditions of Connection are met.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Ensure that this is a standard entry on the workplan for the ICT division	In Progress	31/03/2019	Steve John

CS29	Inability to access key systems.	LOW
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Primary Category: Resource

Responsible Officer:

Steve John

Secondary Categories: Compliance
Financial
Reputational

Secondary Responsible Officers:

Ian John
Ross Livingstone

Inherent

Impact	Medium / High
Likelihood	Very unlikely
Risk Rating	Low

Revised

Impact	Medium / High
Likelihood	Very unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Provision of resilience through implementation of high availability redundant servers

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Dual site duplication being implemented	In Progress	31/03/2019	Steve John

Primary Category: Financial **Responsible Officer:** Andrew Thomas
Secondary Categories: Reputational **Secondary Responsible Officers:** Debora Holder-Phillips

Inherent

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Regular monitoring of Trust's performance and financial accounts

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
1.Regular monitoring of Trust's performance and financial accounts	Ongoing	31/03/2019	Andrew Thomas
Full assessment of procurement submission. Assessed company's credit rating, regular monitoring of the trust's performance and financial accounts.	Ongoing	31/03/2019	Chris Millis

ENV13	Poorly Planned Changes in Service Delivery resulting in Ineffective use of Maintenance Budget.	LOW
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Primary Category: Financial **Responsible Officer:** Simon Brennan
Secondary Categories: Reputational **Secondary Responsible Officers:** Jonathan Tucker

Inherent

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Operation of existing Property Asset Management Group and Property Asset Management Plan.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
"Clear visibility from services on changes in future service delivery; impact statements regarding Property management planning included in business plans for 2016/17 - Updated Sept 16 Update June 17 (score reduced from 12 to 9)	Ongoing	31/03/2019	Simon Brennan
Clear Visibility from Services on Changes in Future Service Delivery; Impact Statements regarding Property Management Planning included in Business Plans.	Ongoing	18/01/2022	Simon Brennan

SSHH10	Supporting people - anticipated significant reduction in grant funding from WG.	LOW
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Primary Category: Financial

Responsible Officer:

Angela Thomas

Secondary Categories:

Secondary Responsible Officers:

Leighton Jones
Rebecca Shepherd

Inherent

Impact	Low
Likelihood	Very Likely
Risk Rating	Low

Revised

Impact	Low
Likelihood	Very Likely
Risk Rating	Low

Existing Controls

Inherent

1. Continue to explore the impact of the changes in Supporting People grant programme; re-commissioning of services to realise savings.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Over the next 12 months to carry out re-commissioning of services to realise savings in partnership with social care and corporate colleagues	In Progress	30/03/2019	Angela Thomas

CS48	Risk that the opportunity to reduce the cost and improve the effectiveness of the Council's performance management arrangements is not exploited due to inadequate resourcing of the project	LOW
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Primary Category: Resource Responsible Officer: Karen Jones

Secondary Categories: Reputational Secondary Responsible Officers: Nita Sparkes

Inherent

Impact	Low / Medium
Likelihood	Likely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Very unlikely
Risk Rating	Low

Existing Controls

Inherent

1. Heads of Service steering group established to lead the project
 2. Project plan developed identifying resources required at each project stage
 3. Work priorities of project team members revised to prioritise CAMMS implementation
 4. Additional resource identified to deliver training component of the project

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Regular updates to Corporate Management Group to secure ongoing commitment to the project	Completed	31/03/2019	Karen Jones
Member training to be scheduled	Not Started	30/11/2018	Karen Jones
Post implementation review of the benefits of the system to be scheduled in December	Not Started	31/12/2018	Karen Jones
Business Plan pilot now completed and rolled out across the Council. Anticipating all Business Plans will be on the system by 31.08.18	In Progress	31/08/2018	Karen Jones

CS14B	That the Council Tax collection rate for 2018/19 will fall below the budgeted 97% collection rate	LOW
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Primary Category: Financial

Responsible Officer:

Dave Rees

Secondary Categories:

Secondary Responsible Officers:

Ross Livingstone

Inherent

Impact	Medium
Likelihood	Unlikely
Risk Rating	Low

Revised

Impact	Low / Medium
Likelihood	Very unlikely
Risk Rating	Low

Existing Controls

Inherent

1 Regular monitoring of the council tax collection rate; operation of the council tax recovery policy

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Immediate remedial action taken by experienced council tax staff, in terms of applying the various methods of collecting unpaid council tax	In Progress	31/03/2019	Dave Rees

ENV05	Adopted roads and non-adopted infrastructure (such as countryside bridges and dams) - Inadequate capital and revenue funding to meet maintenance needs leading to potential failure resulting in route closure, loss of / restricted access, flooding with negative impacts on residents, communities and business.	HIGH
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Primary Category: Compliance

Responsible Officer:

Mike Roberts

Secondary Categories: Financial
Reputational

Secondary Responsible Officers:

Mike Key

Inherent

Impact	Medium / High
Likelihood	Very Likely
Risk Rating	High

Revised

Existing Controls

Inherent

1 Forms part of Strategic Risk SR01 and associated controls, e.g. Highway Asset Management Planning, Highway maintenance Plan, Winter Service Plan, Highway Defect Inspection Regime, Flood Risk Plan, Monitoring of asset condition. Bids for revenue and capital funding. Works programme including initial contingency combined with the Councils overall capital programme contingency.

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Update asset and condition database for non-adopted structures. Reports to CPSG. Direct resources from contingencies and / other priorities on an emergency basis as and when required.	Ongoing		Mike Roberts

OR133	WCFG Act is used as grounds for challenging Council decisions	MEDIUM
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Primary Category: Compliance

Responsible Officer:

Karen Jones

Secondary Categories: Reputational

Secondary Responsible Officers:

Caryn Furlow
Nita Sparkes

Inherent

Impact	High
Likelihood	Likely
Risk Rating	Medium

Revised

Existing Controls

Inherent

1. IIA training being delivered

Solutions

Mitigation Plan	Action Status	End Date	Responsible Officer
Await outcome from current challenge on planning appeal and lessons learnt	In Progress		Karen Jones

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