



Delivering our vision for the Vale of Glamorgan



Strong Communities  
with a Bright  
Future

# VALE of GLAMORGAN COUNCIL SERVICE PLAN

2018-2022

<b>Service Area</b>	<b>Legal Services</b>
<b>Head of Service</b>	Debbie Marles
<b>Director</b>	Rob Thomas
<b>Cabinet Member</b>	Clr. Hunter Jarvie Deputy Leader and Cabinet Member for Regulatory and Legal Services
<b>Scrutiny Committee</b>	Corporate Performance & Resources

## 1. Introduction

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Legal Services forms part of the Resources Directorate. It undertakes a wide range of statutory duties, together with providing a high quality legal advice and support service to the Council and its directorates, to enable effective/informed decisions to be made to meet the Council's priorities as set out in the Corporate Plan. The Service is also responsible for overseeing and managing the Electoral Registration Service.

The Head of Legal Services provides a professional steer to the Information Manager and is the Council's Returning Officer and Electoral Registration Officer. Additional statutory roles of the Head of Legal Services include that of Monitoring Officer, Proper Officer for Access to Information, Proper Officer for Freedom of Information Act appeals and the Senior Responsible Officer for the regulation of investigatory powers.

### 1.1 About our Service – Legal Services

Legal Services undertakes a number of key roles for the Council, providing an efficient and effective legal service to internal client departments and providing cost-effective, timely and accurate legal advice to Members and Officers in order to support their decision making whilst ensuring effective representation in legal proceedings. Legal Services is accredited by the Law Society's Lexcel legal practice quality mark for excellence in legal practice management and excellence in client care. Its management framework ensures consistent operational efficiencies, client services, effective management of risk, reduction in costs and increase in profitability. Annual inspection is undertaken by the Solicitors Regulation Authority. The quality assurance system is in place to ensure that the Team delivers high quality standards and excellent levels of service at all times.

Forming part of Legal Services, the Electoral Registration Team is responsible for ensuring that the Register of Electors is maintained, and co-ordinates all elections within the Vale of Glamorgan.

Legal Services broad functions are:

- Updating the Register of Electors including the maintenance of an Absent Voters and Overseas and Special Category Electors lists as well as publishing the revised Register of Electors annually;
- Undertaking an annual canvass of properties in the Vale of Glamorgan including house visits to increase registration;
- Overseeing/administration of UK Parliamentary elections, Welsh Assembly elections, Police and Crime Commissioner elections, European elections, County/Local Government elections, Town/Community elections, referendums, community polls and NNDR postal ballot bids;
- Undertaking polling district, place and station reviews;
- Undertaking the Returning Officer and Electoral Registration Officer statutory duties;
- Undertaking the Monitoring Officer and designated Proper Officer roles including Proper Officer for Access to Information and Freedom of Information Act;
- Providing guidance to Members regarding the Members' Code of Conduct and advising both Members and Officers on the Council's Constitution;
- Supporting the Standards Committee in undertaking its statutory functions;
- Overseeing the strategic provision of an efficient comprehensive legal service that is responsive to client's needs and proactive in protecting the Council's legal position and supporting corporate policy making;

- Providing legal advice in respect of all community services and education matters including adult community services, childcare and mental health;
- Conducting both claimant and defendant litigation on behalf of the Council across various civil and criminal jurisdictions, providing planning and highways advice, including representation at planning, highways and compulsory purchase order inquiries, criminal prosecutions and civil proceedings brought by the Council including conducting regulatory prosecutions on behalf of the Council within the context of the regulatory services collaboration and defending challenges brought against the Council by way of Judicial Review.;
- Providing generic advice and Monitoring Officer Support to the Shared Regulatory Services as host authority, advising and assisting the Licensing Committee (Public Protection, Statutory and Sub-Committee) and the Shared Regulatory Services Joint Committee:
- Providing employment law advice in respect of Council policy including advice for the appeals committee, representing the Council in respect of employment claims and delivering administrative support to the Legal Services Team, including the production and management of client billing reports;
- Providing legal advice in respect of the implementation of new legislation in protecting the Council's legal position, supporting corporate policy making; and providing legal advice in relation to partnership working;
- Undertaking the Council's conveyancing, landlord and tenant work and the negotiation and drafting of contracts for goods and services including an advice service in relation to contract and property law generally, and in relation to local government law, charities, contracts, land issues, compulsory purchase, landlord and tenant, housing matters and town and village green applications and legal advice and professional steer on the City Deal project;
- Providing advice on Council, Cabinet, and Committee reports and determining whether such reports contain exempt information for the purposes of the Local Government Act 1972; and
- Business Partnering in the context of Reshaping, Commercial Conveyancing Projects, and Gateway meetings (Children and Young People's Services).

## 1.2 The Purpose of Our Service Plan

This plan identifies how we will contribute towards achieving the Council's vision – **'Strong Communities with a bright future'**.

Our service plan outlines our key priorities for the next four years and how we will manage our resources to deliver these. The plan gives an overview of our service, what we aim to achieve, why this is important, how we will achieve it, how we will monitor progress and what success will look like.

It is important that as a Council we have shared values and our service is committed to delivering its priorities within the context of the Council's core values:

- **Ambitious:** Forward thinking, embracing new styles of working and investing in our future.
- **Open:** Open to different ideas and being accountable for the decisions we take.
- **Together:** Working together as a team that engages with our customers and partners, respects diversity and is committed to quality services.
- **Proud:** Proud of the Vale of Glamorgan: proud to service our communities and to be part of the Vale of Glamorgan Council.

Our Council's priorities are contained in the Corporate Plan 2016-20 and are expressed as well-being outcomes and objectives. These have been decided upon following consultation with key

stakeholders including citizens of the Vale of Glamorgan. Our well-being outcomes and objectives are:

<b>Well-Being Outcome</b>	<b>An Inclusive and Safe Vale</b>	<b>An Environmentally Responsible and Prosperous Vale</b>	<b>An Aspirational and Culturally Vibrant Vale</b>	<b>An Active and Healthy Vale</b>
<b>Well-Being Objective</b>	Reducing poverty and social exclusion	Promoting regeneration, economic growth and employment.	Raising overall standards of achievement.	Encouraging and promoting active and healthy lifestyles.
<b>Well-Being Objective</b>	Providing decent homes and safe communities	Promoting sustainable development and protecting our environment.	Valuing culture and diversity	Safeguarding those who are vulnerable and promoting independent living.

The well-being objectives illustrate the contribution Council services will make to achieving the Well-being Goals for Wales. The Well-being Goals have been established to ensure all relevant bodies in Wales are working towards the same vision as part of the Well-Being of Future Generations (Wales) Act 2015. The Act is about improving the social, economic, environmental and cultural well-being of Wales. The Act is intended to make public bodies think more about the long-term, work better with people and communities and each other, look to prevent problems and take a more joined-up approach. The contribution our service will make to the well-being goals is highlighted throughout our service plan.

### 1.3 Developing Our Plan

Our service plan is set for one financial year and is informed by and reflects the environment within which our service operates. As well as contributing to the well-being outcomes and objectives from our Corporate Plan, our service has taken the following into consideration when drafting our plan:

- The Annual Service Self-Assessment which provides an overall position statement for the year based on specific issues relating to performance, customer experience, and the use of resources (workforce, financial, ICT and assets);
- Our budget including planned service savings and efficiencies and the implementation of the Council's Reshaping Services Change Programme;
- Taking into account implications for the service arising from new legislative developments such as: the Well-being of Future Generations (Wales) Act 2015, Social Services and Wellbeing (Wales) Act 2014, Renting Homes (Wales) Act 2016, the Regulation and Inspection of Social Care (Wales) Act 2016, the Additional Learning Needs and Education Tribunal (Wales) Act 2018 and the proposed Local Government Bill.
- Taking into account the new Corporate Safeguarding Policy.

### 1.4 How We Work - Sustainable Development

The Well-being of Future Generations (Wales) Act puts in place a 'sustainable development principle' which tells organisations how to go about meeting their duty under the Act:

*“You must act in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs, by taking account of the sustainable development principle”.*

The sustainable development principle means considering how actions are taken to support continuous improvement by:

- Looking to the **long term** – for us this means planning for the future and taking a strategic approach to ensure services are sustainable and that we understand the future need and demand for services.
- Taking an **integrated** approach – for us this means thinking about the needs of our customers and working with our partners.
- **Involving** the population in decisions – for us this means engaging with our residents and customers, including the business community and ensuring that we are listening to a wide range of views to inform our thinking.
- Working in a **collaborative** way – for us this means recognising we can achieve more and deliver better services by working as part of a team, for example by working with the Third Sector, Town and Community Councils and neighbouring authorities.
- Understanding the root causes of issues and **preventing** them – for us this means being proactive in our thinking and understanding the need to tackle problems at source for example by undertaking needs assessments to inform our priorities.

In response our Corporate Plan 2016-20 has reflected on the ways of working ensuring that it is consistent with our approach to planning for the future. These considerations are also reflected in the actions we will take as a service to deliver the Council’s priorities.

## 2. Our Corporate Plan Priorities for 2018-22

### 2.1 Corporate Plan Priorities

Given the nature of Legal Services, comprehensive support is provided to enable the Council to deliver its Corporate Plan actions in line with associated Project Plans. The key areas we contribute towards are shown below. We will support these projects by:

- Providing legal advice, guidance and support on legal matters that have implications for the whole Council.

Well-being Outcome /Scrutiny Committee	Well-being Objective	Ref	Action
WBO2 : An Environmentally Responsible and Prosperous Vale (E&R)	O3: Promoting regeneration, economic growth and employment	ER01	Maximise economic growth, inward investment and employment opportunities through the Capital region and Cardiff Airport and St Athan Enterprise Zone. (2019/20)
WBO2 : An Environmentally Responsible and Prosperous Vale (E&R)	O3: Promoting regeneration, economic growth and employment	ER03	Implement a comprehensive programme of regeneration across the Vale including: <ul style="list-style-type: none"> <li>• The Rural Local Development Strategy</li> <li>• Town Centres Framework</li> <li>• Penarth Esplanade</li> <li>• Barry Waterfront including the Barry Island Link Road</li> <li>• Links between Penarth Haven and the Town Centre (2019/20).</li> </ul>
WBO2 : An Environmentally Responsible and Prosperous Vale (E&R)	O3: Promoting regeneration, economic growth and employment	ER04	Deliver transport improvement schemes associated with the Cardiff Capital Region Metro including bus prioritisation measures at Port Road and Cardiff Road (2018/19).
WBO2 : An Environmentally Responsible and Prosperous Vale	O4: Promoting sustainable development and protecting our environment	ER10	Work with Welsh Government to deliver improvements to Five Mile Lane (2018/19).
WBO2 : An Environmentally Responsible and Prosperous Vale (E&R)	O4: Promoting sustainable development and protecting our environment	ER14	Work with partners to continue the regeneration of Barry Island and promote the development of land at Nells Point for tourism and leisure purposes (2018/19).
WBO3: An Aspirational and Culturally Vibrant Vale (L&C)	O5: Raising overall standards of achievement	AC08	Progress the school modernisation programme by completing the new Llantwit Major Learning Community and the development of proposals for secondary school provision in Barry (2017/18).

Well-being Outcome /Scrutiny Committee	Well-being Objective	Ref	Action
WO3: An Aspirational and Culturally Vibrant Vale (L&C)	O6: Valuing culture and diversity	AC12	Implementing the Welsh Language Standards to improve access to services and information. (2019/20)
WO4: Active and Healthy Vale (HL&SC)	O8: Safeguarding those who are vulnerable and promoting independent living	AH7	Implement new ways of working in light of the Social Services Well-being (Wales) Act with a particular focus on the priority work streams of: <ul style="list-style-type: none"> <li>- Provision of information</li> <li>- Advice and assistance services</li> <li>- Eligibility/assessment of need</li> <li>- Planning and promotion of preventative services</li> <li>- Workforce</li> <li>- Performance measures</li> </ul> (2016/17)

## 2.2. Integrated Planning Priorities

Our service is committed to maximising the use of resources so that we can deliver sustainable and cost effective services that best meet people's needs. In order to achieve this, we have identified a series of priorities 'enabling actions' that will support us in delivering the key outcomes identified in our Corporate Plan. The key areas of focus for our service over the next four years will be:

Ref	Action
<b>CP1</b>	Deliver the Council's transformational change programme, Reshaping Services to enable it to meet the future needs of citizens of the Vale of Glamorgan within the context of unprecedented financial challenges (2019/20).
<b>CP2</b>	Align the workforce plan to the Reshaping Services strategy ensuring staff have the necessary skills and training to adapt to the changes in how services are planned and delivered (2017/18).

### 3. The Year Ahead (2018/19)

#### 3.1. Our Annual Service Priorities for 2018-19

During 2018-19 our service will undertake the actions outlined below to contribute to Year 3 of the Corporate Plan Well-being Outcomes and Objectives.

Well-being Outcome/ Scrutiny Committee	Well-being Objective	Ref	Action	During 2018/19 we will:
WBO2: An Environmentally Responsible and Prosperous Vale. (E&R)	O3: Promoting regeneration, economic growth and employment.	ER01	Maximise economic growth, inward investment and employment opportunities through the Capital region and Cardiff Airport and St Athan Enterprise Zone. (2019/20)	Provide legal advice, guidance and support on legal matters in relation to the Capital region (Cardiff City Deal).  Provide legal advice, guidance and support on legal matters in relation to Cardiff Airport and St Athan Enterprise Zone.
WBO2: An Environmentally Responsible and Prosperous Vale. (E&R)	O3: Promoting regeneration, economic growth and employment.	ER03	Implement a comprehensive programme of regeneration across the Vale including: <ul style="list-style-type: none"> <li>• The Rural Local Development Strategy</li> <li>• Town Centres Framework</li> <li>• Penarth Esplanade</li> <li>• Barry Waterfront including the Barry Island Link Road</li> <li>• Links between Penarth Haven and the Town Centre (2019/20).</li> </ul>	Provide legal advice, guidance and support on legal matters in relation to the Council's major regeneration projects.
WBO2: An Environmentally Responsible and Prosperous Vale. (E&R)	O4: Promoting sustainable development and protecting our environment.	ER10	Work with Welsh Government to deliver improvements to Five Mile Lane (2018/19).	Provide legal advice, guidance and support on legal matters in relation to Five Mile Lane.
WBO2: An Environmentally Responsible and Prosperous Vale. (E&R)	O4: Promoting sustainable development and protecting our environment	ER14	Work with partners to continue the regeneration of Barry Island and promote the development of land at Nells Point for tourism and leisure purposes (2018/19).	Provide legal advice, guidance and support on legal matters in relation to regeneration of Barry Island.

Well-being Outcome/ Scrutiny Committee	Well-being Objective	Ref	Action	During 2018/19 we will:
WBO3: An Aspirational and Culturally Vibrant Vale. (L&C)	O5: Raising overall standards of achievement.	AC08	Progress the school modernisation programme by completing the new Llantwit Major Learning Community and the development of proposals for secondary school provision in Barry. (2017/18)	Provide legal advice, guidance and support on legal matters in relation to secondary school provision in Barry and the 21 <sup>st</sup> century schools project.
WO3: An Aspirational and Culturally Vibrant Vale. (L&C)	O6: Valuing culture and diversity.	AC10	Improve our knowledge of the diverse needs of the community, so that groups of people protected under the Equality Act 2010 can better access Council services. (2019/20)	Improve equality monitoring data to enable more informed decisions about service delivery.
WO3: An Aspirational and Culturally Vibrant Vale. (L&C)	O6: Valuing culture and diversity.	AC12	Implementing the Welsh Language Standards to improve access to services and information. (2019/20)	Ensure service delivery complies with Welsh language standards.  Promote and provide opportunities for staff to access Welsh language courses.
WO4: Active and Healthy Vale. (HL&SC)	O8: Safeguarding those who are vulnerable and promoting independent living.	AH07	Implement new ways of working in light of the Social Services Well-being (Wales) Act with a particular focus on the priority work streams of: <ul style="list-style-type: none"> <li>- Provision of information</li> <li>- Advice and assistance service</li> <li>- Eligibility/assessment of need</li> <li>- Planning and promotion of preventative services</li> <li>- Workforce</li> <li>- Performance measures</li> </ul> (2016/17)	Provide legal advice and support on legal matters in relation to implementing new ways of working arising from the Social Services Well-being (Wales) Act with a particular focus on the priority work streams of:  <ul style="list-style-type: none"> <li>- Provision of information</li> <li>- Advice and assistance service</li> <li>- Eligibility/assessment of need</li> <li>- Planning and promotion of preventative services</li> <li>- Workforce</li> <li>- Performance</li> </ul>

Well-being Outcome/ Scrutiny Committee	Well-being Objective	Ref	Action	During 2018/19 we will:
				measures - Charging (debt recovery) - Direct Payments provision – WG regulations awaited - Pooled Funds.

### Integrated Planning actions

Ref	Action	During 2018/19 we will:
CP1	Deliver the Council's transformational change programme, Reshaping Services to enable it to meet the future needs of citizens of the Vale of Glamorgan within the context of unprecedented financial challenges (2019/20).	Contribute to achieving £700k savings from the Resources Directorate in 2018/2019.  Provide legal support to enable the Council's Reshaping Services Programme timetable and associated Project Plans to be adhered to.
CP2	Align the workforce plan to the Reshaping Services strategy ensuring staff have the necessary skills and training to adapt to the changes in how services are planned and delivered (2017/18).	Review and strengthen the performance management and support arrangements in relation to sickness absence within the service.  Deliver our key workforce development priorities for the coming year as outlined in Appendix B.

**Appendix A** contains the detailed plan which outlines the actions we will undertake in the coming year to deliver our Year 3 (2018/19) priorities for the Corporate Plan.

**Appendix B** outlines the 'enabling' actions we will undertake to maximise the use of our resources to enable us to deliver our priorities for the same year.

### 3.2. Managing Our Resources to Deliver Our Priorities

The following sets out how we will manage our resources to achieve the actions in our Service Plan and support our service.

#### Integrated Planning

We are committed to maximising the use of our resources so that we can deliver sustainable and cost effective services that best meet people's needs. For 2018-19, we have identified a series of 'enabling actions' that will support us to deliver our priorities for Year 3 of the Corporate Plan and contribute towards the Corporate Plan Well-being Outcomes.

This section provides a summary of these actions, outlining how we will use our resources (including our workforce, ICT, finance, assets and customer insight) and manage identified risks in order to deliver planned improvement.

#### Workforce Development

Key Service Statistics (2016/17)						
Average headcount 2016/17	FTE 2016/17	Average days sick		Average days sickness per FTE	Turnover (no of leavers)	#itsaboutme completion rate (%)
		Long term	Short term			
31	28.73	0.21	1.58	1.79	2 (6.45%)	100

During 2017/18 100% of staff appraisals for the service have been completed mirroring our performance last year.

Managing sickness absence rates continues to be an area of focus within the service area however, based on current data at Q2, 2017, just 1.04 days per FTE have been lost to sickness absence which is an improvement when compared to the same period last year (2.46 FTE). This figure exceeds the directorate target of 5.8 FTE and is also better than the Council's target of 8.9 FTE.

The Legal Services workforce has remained fairly static, with low levels of turnover. As at September 2017, the service had an establishment of 30 FTEs compared to 29 FTEs at the same time period in 2016. Through continuing to focus our efforts on succession planning and encouraging the cross-skilling across teams we can continue to ensure there is resilience within the workforce.

As at September 2017 the age profile of the service was as follows: [0% (65+); 28% (55-64); 34% (45-54); 24% (35-44); 14% (25-34) and 0% (16-24)]. In order to address this disparity in part Legal Services has had a programme which has been in place for 10+ years for appointing trainee solicitors and for the last 6 years this has been funded from the income generated within Legal Services. We also recruited in January 2018 an FMA/Apprentice.

There continues to be a need to focus on developing skillsets within the division that enables us to effectively support the change management process of the Reshaping Services agenda.

It is important that we continue to maintain and develop the workforce necessary to meet future service needs both in terms of the numbers employed and the skills and competency required of those employees. It remains a priority for Legal Services to continue to support staff development and succession planning despite the pressures of budget and staffing reductions. Our key workforce development priorities for the coming year are:

## ICT

In line with corporate direction we continue to use ICT to work smarter and more flexibly through exploring new ways of working digitally and investing in new technologies. Our ICT priorities for 2018/19 outlined below reflect our continuing commitment to working smarter and more flexibly in line with the Council's Digital Strategy.

- To continue to review and reduce printing in line with the Corporate Print Strategy;
- Continue to review AIM software (contract expires May 2018) with other software being considered including that used by other Authorities;
- Develop the Legal Portal in liaison with the Courts regarding use of electronic court bundles;
- Implementation of new electoral registration software commencing in May 2018;
- Rolling out replacement laptops and upgrade to Windows 10 across Legal Services.

## Finance

The estimated budget for Legal Services (including Electoral Registration) for 2018/19 is £1.159m (excluding overheads) and the planned improvement activities for 2018/19 focus on delivering the in-year savings identified for the service. However, over the following two years, we are also required to deliver further savings which are outlined below.

Scheme	2018/19 (£000)	2019/20 (£000)	Total (£000)
<i>Review of Resources Directorate</i>	700	0	700
<b>Total</b>	<b>700</b>	<b>0</b>	<b>700</b>

*Italicised figures indicate savings targets that have been set for the whole directorate in which this service area is based.*

In addition, the Legal Service will also be contributing to the delivery of general policy and council-wide savings. For 2018/19 these are:

- Review of the Procurement (Reshaping Tranche 3)- £1m
- Income and Commercial Opportunities (Reshaping Tranche 3)- £550k
- Digital Strategy (Reshaping Tranche 3) – £250k
- Establishment Review (Reshaping Tranche 3) – £250k
- Minimum Revenue Provision – £1.5m

## Assets

In line with the Corporate Strategy, we are focussing on ensuring the suitability and sufficiency of our assets to meet service and corporate objectives by targeting any underperforming assets; reducing the amount of accommodation used to deliver services; and identifying opportunities to provide multiple service delivery from an asset (co-location). Our key areas of focus for 2018/19 are:

- Review and reduce use of printers in line with the digital strategy; and
- Roll out replacement laptops and upgrade to Windows 10.

## Procurement

In line with corporate guidance we are committed to promoting effective procurement using innovative, sustainable and modern practices to deliver value for money and contribute to the achievement of corporate well-being outcomes. Our significant projects for 2018/19 are:

- Procurement associated with purchasing software in respect of the court bundling (if necessary) and electoral registration software.

## Consultation and Engagement

We support the respective Directorates in ensuring that they are engaging with key stakeholders in accordance with legal requirements.

Consultation activity planned for 2018/19	Brief description of the purpose of the consultation
Quarterly review meetings with Heads of Service.	Identify satisfaction with services provided and areas of service development.

## Collaboration and Partnerships

We proactively engage with our key stakeholders with a particular focus on our key partners, residents and internal client departments. Highlighted below are our planned activities for the coming year.

Activity Planned 2018/19	Brief Description of the Purpose and intended outcomes from the Partnership/ Collaborative Activity	Governance Arrangements and Details of Partners
Continued membership of the South East Wales Legal Consortium.	To explore further opportunities for collaborative working to aid an effective and cost efficient legal service.	10 Unitary authorities in South East Wales.
Continued legal advice work for Cardiff Legal Services in respect of their childcare work.	Community service team continue to undertake legal advice work for Cardiff Legal Service in respect of Childcare work as and when required.	Cardiff Council and Vale of Glamorgan Council agreement.
Employment law advice provision under the shared services agreement to regional Councils.	Provision of Employment law advice to Neath Port Talbot Council under the shared services agreement.	Vale of Glamorgan and Neath Port Talbot Councils shared services agreement.
Explore shared service opportunities and income generation with other local authorities.	To explore further opportunities for collaborative working to aid an effective and cost efficient legal service.	10 Unitary authorities in South East Wales.
'Out of hours' legal service on behalf of Cardiff Council.	Provision out of hours service on behalf of Cardiff Council.	Cardiff Council and Vale of Glamorgan Council agreement.

## Risk Evaluation

Highlighted below are our key risks as a service over the coming year. In addition to our service specific risks, there are a number of corporate level risks which impact on our service and these are identified below. In identifying these risks we have also shown how we are managing them.

Risk Description	Residual Risk		Mitigating controls	Forecast direction of travel
	Likelihood	Impact		
<b>CR1: Reshaping Services</b>				
<p><b>Political &amp; Legislative:</b> Political and legislative repercussions of failing to provide priority/statutory services.</p>	2	2	<p>Effective challenge is in place to identify project work with a mixed economy model approach to Reshaping approved.</p> <p>Tranche 3 projects of a corporate nature lessen the impact on front line services.</p> <p>Risk management processes are embedded into project management to identify and mitigate the impacts on service users.</p>	
<p><b>Resources:</b> Failure to maximise and mobilise our existing resources in terms of skillsets, technology and assets to deliver the Reshaping Programme and make financial savings.</p>	1	2	<p>Management Development Programme and Competency Framework aligned with the requirements of the Reshaping Programme. An Organisational Development Work stream is in place to support the programme.</p> <p>Programme Board and Manager in places with project team resources considered for each project.</p> <p>Business cases developed for all projects and guidance in place.</p> <p>Management Development Programme and Competency Framework aligned with the requirements of the programme and an</p>	

Risk Description	Residual Risk		Mitigating controls	Forecast direction of travel
	Likelihood	Impact		
			organisational work stream is in place to support the programme.	
<b>Service Delivery &amp; Wellbeing:</b> Failure to effectively engage and communicate with our partners and service user to identify new ways of working and maximise opportunities to deliver alternative service models that best meet the diverse needs of the local community.	2	2	Business cases consider non-financial implications of any proposed changes.  Equality Impact Assessments embedded within the overall programme's management approach.  Communications and engagement activities inform project development.	
<b>Reputation:</b> Reputational damage as a result of failing to deliver the Reshaping programme's aims and objectives and the negative criticism this could attract from both residents and our external regulators.	2	2	Risk management contained within project documentation. Regular updates to Cabinet and Programme Board on status of the programme.  Consultation on the Council's budget annually includes questions relating to the approach being taken on Reshaping Services.  Programme Board includes representatives of partners.	
<b>CR6: Workforce</b>				
<b>Political &amp; Legislative:</b> Political and legislative repercussions of failing to implement the Council's Workforce Plan and the ability to ensure our workforce needs are met in the future.	2	2	CMT/Cabinet receive regular reports on a range of HR issues and developments across service areas.  Robust performance management arrangements in place across the service.	
<b>Resources:</b> Inability to anticipate and plan future workforce needs and to recruit and retain suitably qualified staff and leaders with the appropriate skills in the right areas to deliver services effectively.	2	2	Management Development Programme and Competency Framework is supporting our managers to up skill and enhance succession planning.  Developed a Staff	

Risk Description	Residual Risk		Mitigating controls	Forecast direction of travel
	Likelihood	Impact		
			<p>Engagement Strategy and launched an effective staff engagement programme.</p> <p>Managers are supported through the management of change through training and ongoing advice from HR Officers.</p> <p>Improvements made to workforce planning processes.</p> <p>Leadership Café established to support succession planning and leadership development across the Council.</p> <p>Workforce Planning delivered with a focus on alternative service delivery and workforce implications.</p>	
<p><b>Service Delivery &amp; Wellbeing:</b> Inability to anticipate and plan for workforce needs and manage and support organisational change in order to deliver sustainable services both now and in the future.</p>	1	1	<p>Workforce planning is delivered with a focus on alternative service delivery and workforce implications.</p>	
<p><b>Reputation:</b> Negative perception of the Council amongst citizens as an employer impacting on our recruitment and retention rates across the service.</p>	2	2	<p>New Staff Charter has been launched.</p> <p>Development of the Staff Engagement Strategy and launched an effective staff engagement programme.</p> <p>Recruitment adverts promote the Council as an equal opportunities employer.</p>	
<b>CP7: Information Security</b>				
<p><b>Political &amp; Legislative:</b> Political and legislative</p>	2	2	<p>DPA/ICT Code of Conduct in place together with Access</p>	

Risk Description	Residual Risk		Mitigating controls	Forecast direction of travel
	Likelihood	Impact		
repercussions as a result of failing to put in place effective information security safeguards.			<p>to Information Procedures that is signed for by all staff and Members.</p> <p>Online training made available to staff on DPA and an introduction to their information security responsibilities.</p> <p>A project plan has been developed to prepare for compliance with the General Data Protection Regulation (GDPR).</p> <p>Rolling out training in Legal Services with regards to GDPR.</p>	
<b>Resource:</b> Failure to implement adequate ICT management systems and the financial cost associated with data breaches and/or cyber-attacks.	2	2	<p>Implementation of new security software (Veronis and Clear Swift) to give us improved data security.</p> <p>Secure e-mail solution in place.</p> <p>Use of encrypted laptops.</p> <p>Nominated systems administrators and system audit trails/admin logs maintained.</p> <p>Regular penetration testing of systems.</p>	
<b>Service Delivery &amp; Wellbeing:</b> Loss of data impacting on the delivery of key services and the impact of a data breach on our service users and their ability to access our services readily.	2	2	<p>Robust Information Security and Governance Framework is in place.</p> <p>Information Sharing Protocols in place with our key partners.</p>	
<b>Reputation:</b> Loss of confidence and trust by the public as a result of	2	2	We always gain consent for recording and sharing information. We publish and	

Risk Description	Residual Risk		Mitigating controls	Forecast direction of travel
	Likelihood	Impact		
data breaches and the lack of credibility and criticism from our external regulators and the Information Commissioner this would attract.			highlight through our fair data processing statements how personal information/data we collect on individuals is used, stored and shared.	
<b>CR11: Safeguarding</b>				
<b>Political &amp; Legislative:</b> Political and legislative repercussions of failing to meet our statutory responsibilities where people are at risk of neglect/abuse and as a consequence our safeguarding procedures are deemed insufficient and ineffective	1	1	<p>The Council has a Corporate Safeguarding Policy in Place.</p> <p>Mandatory safeguarding, child protection and Safer Recruitment training provided to staff as well as training on the Council's Corporate Safeguarding Policy.</p> <p>Work with the Council's Corporate Safeguarding Steering Group.</p>	
<b>Resources:</b> Failure to comply with the corporate safeguarding requirements especially in relation to recruitment and staff training.	1	1	<p>Safer Recruitment Policy requires checks on staff working with children and young people are carried out.</p> <p>Referral of Safeguarding Concerns procedure in place.</p> <p>Staff Supervision Policy in place with regular monitoring of quality and practice of those staff.</p> <p>We have a Local Authority Designated Officer who is accountable for safeguarding and the protection of children and young people and adults in accordance with safeguarding requirements.</p>	

Risk Description	Residual Risk		Mitigating controls	Forecast direction of travel
	Likelihood	Impact		
<b>Service Delivery &amp; Wellbeing:</b> Failure to put in place appropriate safeguards for children and young people and adults resulting in potential harm/injury.	1	2	Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely and appropriate action.  Information Sharing protocols are in place and used appropriately.	
<b>Reputation:</b> Erosion of public confidence and trust in the Council as a result of a Safeguarding incident that would damage its reputation and attract negative criticism from our regulators.	1	4	Information Sharing protocols are in place and used appropriately.	
<b>CR14: Contract Management</b>				
<b>Political &amp; Legislative:</b> Political and legislative repercussions for breaching the Council's procurement procedures and/or EU Tendering thresholds which puts the service/Council at risk of challenge.	1	2	Situation with regard to the finalisation of contracts reported to CMT on monthly basis.  Updates regarding contract monitoring and management are considered by Audit Committee.  Commissioning arm within Resource Management and Safeguarding provides clear and consistent advice and support on contract management.	
<b>Resources:</b> Failure to challenge poor contractual performance and the impact this has on the ability to deliver cost-effective services that meet service user/customer need.	1	2	Situation with regard to the finalisation of contracts reported to CMT on monthly basis.  Successfully utilise the Provider Performance Protocol to enable us to address areas of poor performance with providers and taking corrective action where required.	

Risk Description	Residual Risk		Mitigating controls	Forecast direction of travel
	Likelihood	Impact		
			<p>Commissioning arm within Resource Management and Safeguarding provides clear and consistent advice and support on contract management.</p> <p>Revised Procurement Code of Practice published on StaffNet.</p> <p>Procurement pages on the StaffNet updated with key processes highlighted for all staff.</p> <p>More detailed training and discussions taken place in services where staff undertake more procurement activity.</p> <p>Training in relation to Procurement and Contract Management delivered to staff in March 2017 Procurement Code of Practice updated, reviewed via Insight Board and CMT.</p>	
<p><b>Service Delivery &amp; Wellbeing:</b> Failure of service arrangement due to poor management/lapse of contract impacts on the ability of the Council to continue to provide priority services.</p>	1	2	<p>Service performance requirements included in contract documentation. Successfully utilise the Provider Performance Protocol to enable us to address areas of poor performance with providers and taking corrective action where required.</p>	
<p><b>Reputation:</b> Reputational damage due to poor management/lapse of contact arrangement.</p>	1	4	<p>Service performance requirements included in contract documentation.</p>	

Risk Description	Residual Risk		Mitigating controls	Forecast direction of travel
	Likelihood	Impact		
<b>Service Based Risks</b>				
Failure to support the Council's services in responding to the implications of new and emerging legislation.	2	3	<p>Direct involvement in Task and Finish Group - Social Services - implementation of the Social Services and Well-being (Wales) Act 2014.</p> <p>Regular attendance at meetings, delivery of legal advice on implication of parts of the Social Services Act relating to Adults and Children; including a significant amount of work undertaken by the Adult lawyer in relation to the Council's charging policy, pooled budgets, direct payments provision, advice regarding the legal implications of decisions made by the original Partnership Board, establishment of a joint training team (Cardiff and Vale).</p> <p>On-going advice on the legal implications of emerging and new legislation (primary and secondary) across a number of areas of law affecting services being delivered across the Council, including Planning, ALN, Procurement, Housing to assist and support officers.</p>	
Loss of experienced staff and their knowledge base as a result of reduced staffing levels.	3	3	<p>Strategic approach taken to managing budget reductions to ensure that the necessary organisational change is supported and achieved. Implementation of the Workforce Plan.</p> <p>Transfer of skills via and shadowing</p>	

Risk Description	Residual Risk		Mitigating controls	Forecast direction of travel
	Likelihood	Impact		
			documentation of processes and procedures.	
Risk of not having the skill base to deliver the Reshaping Services agenda.	2	3	<p>Effective programme and project management with realistic goals, including sharing of learning with other officers, use of briefing sessions to achieve full involvement across teams, to address any gaps in knowledge as the advice covers more diverse areas of the law. The need to develop a particular skillset at all levels to support and provide advice in a flexible way.</p> <p>Any gaps in knowledge will be addressed through greater emphasis on self-assessment analysis in the context of continuing competence. Work with external support where the skill base is not available and ensure that there is effective knowledge transfer to equip staff.</p> <p>Consideration of skill sets when recruiting into skilled/technical posts. Implementation of corporate and other staff development initiatives e.g. Leadership Café, Management Competency Framework, CPD.</p>	
Inability to recruit and retain suitably qualified staff in key areas.	3	3	Development and implementation of the Workforce Plan. Greater emphasis on recruitment of multi-disciplinary staff i.e. graduates/ trainees who have a wide range of skills to meet the evolving needs of	

Risk Description	Residual Risk		Mitigating controls	Forecast direction of travel
	Likelihood	Impact		
			the Council. Different approach to methods of recruitment, including a move away from traditional means of advertising.	
Inability to deliver the Welsh Language Standards and associated fines and reputational damage for non-achievement.	2	2	Continue to raise awareness amongst staff and Members around the requirements of the Welsh Language Standards.  Welsh language requirements considered as standard for all services including all publications and information provision. Continue to contribute to the corporate action plan in order to ensure compliance with standards.	

**Appendix C** details the risk evaluation scores for our service specific risks and those corporate level risks which impact on the service.

**Well-being Outcome 2: An Environmentally Responsible and Prosperous Wales**

**Objective 3 Promoting regeneration, economic growth and employment**

<b>Well-being Goals</b>	<b>A Resilient Wales</b>	<b>A Healthier Wales</b>	A More Equal Wales	<b>A Wales of Cohesive Communities</b>	A Wales of Vibrant Culture & Thriving Welsh Language	<b>A Prosperous Wales</b>	<b>A Globally Responsible Wales</b>
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<b>Our ways of working</b>	<b>Long term</b>	<b>Integrated</b>	<b>Involving</b>	<b>Collaborative</b>	<b>Preventing</b>
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Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
ER1 LS/A013	Provide legal advice, guidance and support on legal matters in relation to the Capital region (Cardiff City Deal).	Delivery of Projects in line with approved Business Plan.	N/A	Debbie Marles	01.04.2018	31.03.2019	In-house legal support and if necessary due to capacity or lack of in-house expertise external legal support from the private or public sector
ER1 LS/A003	Provide legal advice, guidance and support on legal matters in relation to Cardiff Airport and St Athan Enterprise Zone.	Greater interest in the Enterprise Zone, with greater prospects of new and improved job creation.	N/A	Debbie Marles	01.04.2018	31.03.2019	In-house legal support and if necessary due to capacity or lack of in-house expertise external legal support from the private or public sector

Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
ER3 LS/A004	Provide legal advice, guidance and support on legal matters in relation to the Council's major regeneration projects.	Legal advice and support facilitates progress in relation to key Council regeneration projects.	N/A	Debbie Marles	01.04.2018	31.03.2019	In-house legal support and if necessary due to capacity or lack of in-house expertise external legal support from the private or public sector

**Well-being Outcome 2: An Environmentally Responsible and Prosperous Wales**

**Objective 4: Promoting sustainable development and protecting our environment**

<b>Well-being Goals</b>	<b>A Resilient Wales</b>	<b>A Healthier Wales</b>	A More Equal Wales	<b>A Wales of Cohesive Communities</b>	A Wales of Vibrant Culture & Thriving Welsh Language	<b>A Prosperous Wales</b>	<b>A Globally Responsible Wales</b>
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<b>Our ways of working</b>	<b>Long term</b>	<b>Integrated</b>	<b>Involving</b>	<b>Collaborative</b>	<b>Preventing</b>
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Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
ER10 LS/A006	Provide legal advice, guidance and support on legal matters in relation to Five Mile Lane.	Contract progressed. Works	N/A	Victoria Davidson	01.04.2018	31.03.2019	In-house legal support and if necessary due to capacity or lack of in-house expertise external legal support from the private or public sector.
ER14 LS/A007	Provide legal advice, guidance and support on legal matters in relation to regeneration of Barry Island.	Co-ordinated approach to development of Barry Island resort enables maximum benefits for the Vale residents and improved tourism visits.	N/A	Debbie Marles	01.04.2018	31.03.2019	In-house legal support and if necessary due to capacity or lack of in-house expertise external legal support from the private or public sector

<b>Well-being Outcome 3: An Aspirational and Culturally Vibrant Vale</b>	<b>Objective 5: Raising overall standards of achievement</b>
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<b>Well-being goals</b>	<b>A Resilient Wales</b>	<b>A Healthier Wales</b>	<b>A More Equal Wales</b>	<b>A Wales of Cohesive Communities</b>	<b>A Wales of Vibrant Culture &amp; Thriving Welsh Language</b>	<b>A Prosperous Wales</b>	<b>A Globally Responsible Wales</b>
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<b>Our ways of working</b>	<b>Long term</b>	<b>Integrated</b>	<b>Involving</b>	<b>Collaborative</b>	<b>Preventing</b>
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Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
AC08 LS/A014	Provide legal advice, guidance and support on legal matters in relation to secondary school provision in Barry and the 21 <sup>st</sup> century schools project.	<p>School Modernisation Programme remains on track ensuring schools in the Vale meet 21st century standards and expectations.</p> <p>New schools within the Vale which are fit for purpose, in the right place, meet pupils' needs and become a resource which communities can fully utilise.</p>	N/A	Debbie Marles	01.04.2018	31.03.2019	In-house legal support and if necessary due to capacity or lack of in-house expertise external legal support from the private or public sector.

<b>Well-being Outcome 3: An Aspirational and Culturally Vibrant Vale</b>	<b>Objective 6: Valuing Culture and diversity</b>
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<b>Well-being goals</b>	<b>A Resilient Wales</b>	<b>A Healthier Wales</b>	<b>A More Equal Wales</b>	<b>A Wales of Cohesive Communities</b>	<b>A Wales of Vibrant Culture &amp; Thriving Welsh Language</b>	<b>A Prosperous Wales</b>	<b>A Globally Responsible Wales</b>
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Our ways of working	Long term	Integrated	Involving	Collaborative	Preventing
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Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
AC10 LS/A009	Improve equality monitoring data to enable more informed decisions about service delivery.	Accurate and timely data which informs proposals and decisions about service delivery.  Key milestones: - Service collects and analyses data for use in EIAs and service improvements. - More data included in EIAs to inform decisions.	N/A	Debbie Marles	01.04.2018	31.03.2019	Officer time/within existing resources.
AC12 LS/A010	Ensure service delivery complies with Welsh language standards.	Service delivery complies with the Council's Welsh language scheme.	N/A	Debbie Marles	01.04.2018	31.03.2019	Within existing resources.
AC12 LS/A011	Promote and provide opportunities for staff to access Welsh language courses.	Staff are aware of the requirements of the Council's scheme and have opportunities to learn Welsh.	N/A	Victoria Davidson	01.04.2018	31.03.2019	Within existing resources.

**Well-being Outcome 4: An Active and Healthy Vale**

**Objective 8: Safeguarding those who are vulnerable and promoting independent living**

<b>Well-being Goals</b>	A Resilient Wales	<b>A Healthier Wales</b>	<b>A More Equal Wales</b>	<b>A Wales of Cohesive Communities</b>	A Wales of Vibrant Culture & Thriving Welsh Language	A Prosperous Wales	A Globally Responsible Wales
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<b>Our Ways of Working</b>	<b>Long Term</b>	<b>Integrated</b>	<b>Involving</b>	<b>Collaborative</b>	<b>Preventing</b>
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Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
AH07 LS/A015	<p>Provide legal advice and support on legal matters in relation to implementing new ways of working arising from the Well-being (Wales) Act with a particular focus on the priority work streams of:</p> <ul style="list-style-type: none"> <li>- Provision of information</li> <li>- Advice and assistance services</li> <li>- Eligibility/assessment of need</li> <li>- Planning and promotion of preventative services</li> <li>- Workforce</li> <li>- Performance measures</li> <li>- Charging (debt recovery)</li> <li>- Direct Payments provision – WG regulations awaited</li> <li>- Pooled Funds.</li> </ul>	<p>Provision of legal advice, guidance and support on legal matters in line with the new ways of working and the requirements Social Services Well-being (Wales) Act, including charging (debt recovery), Direct Payments, and Pooled Funds..</p>	N/A	Victoria Davidson	01.04.2018	31.03.2019	In-house legal support and if necessary due to capacity or lack of in-house expertise external legal support from the private or public sector.

## Integrated Planning

<b>Our Ways of Working</b>	<b>Long Term</b>	<b>Integrated</b>	<b>Involving</b>	<b>Collaborative</b>	<b>Preventing</b>
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Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
CP1 LS/F025	Contribute to the preparatory work to identify £700k savings required for the Resources Directorate in 2018/2019.	Proposals for making the required levels of savings are agreed and ready for implementation.	N/A	Debbie Marles	01.04.2018	31.03.2019	Existing resources.
CP1 LS/C002	Provide legal support to enable the Council's Reshaping Services Programme timetable and associated Project Plans to be adhered to.	Legal support /advice inform decisions on reshaping projects.	N/A	Debbie Marles	01.04.2018	31.03.2019	In-house legal support and if necessary due to capacity or lack of in-house expertise external legal support from the private or public sector.
CP2 LS/W013	Review and strengthen the performance management and support arrangements in relation to sickness absence within the service.	Sickness absence managed in line with Council's Sickness Absence Policy.	N/A	Debbie Marles	01.04.2018	31.03.2019	Existing resources.

Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
W1 LS/W014	Review and implement approaches to increase role flexibility within Legal Services.	Adopt innovative approach to working. Increased resilience.  Identify key skills Review Job Descriptions and Person Specifications	N/A	Victoria Davidson	01.04.2018	31.03.2019	Existing resources.
W2 LS/W008	Review Solicitors Regulation Authority Compulsory Professional Development requirements, tying the continuing competence process in with corporate needs.	Adopt a new approach to continuing professional development ('CPD') in line with Solicitors' Regulation Authority (SRA) requirements  Reflect on practice and identification of training needs and how these might be addressed. Record and reflect on training undertaken. Examples of good practice.  Dissemination of training undertaken in line with corporate needs.  Review SRA options Consult team Implement a consistent approach Arrangements to monitor to be established.	N/A	Victoria Davidson	01.04.2018	31.03.2019	Existing resources

Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
W3 LS/W005	Increase service resilience by transferring specialist knowledge and legal skills across Legal Services teams.	To ensure resilience and a delivery of an effective legal services at a time of increasing demand. To meet the challenges faced in delivering an effective legal service in the context of the Council's Reshaping.  Identify key skillsets Identify means of transferring skills Identify posts and post holders to be skilled-up	N/A	Victoria Davidson	01.04.2018	31.03.2019	Existing resources
W6 LS/W026	Finalise the Local Dispute Resolution Procedure in respect of Members in consultation with the Standards Committee and Council.	Procedure meets the Public Services Ombudsman for Wales' expectations.  Timely resolution of complaints.	N/A	Debbie Marles	01.04.2018	01.11.2018	Officer time/existing resources
W7 LS/W027	Provide training on the Members' Code of Conduct and governance to new members including co-opted member (as and when required).	Councillors maintain the highest standards of conduct in line with the Code.	N/A	Debbie Marles	01.04.2018	31.03.2019	Officer time/existing resources

Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
R1 LS/R010	Support the Council's services in responding to the implications of new and emerging legislation.	Accurate and timely information enables informed decision making.  The Council and its services respond appropriately and comply with statutory obligations as required.	N/A	Debbie Marles	01.04.2018	31.03.2019	Existing resources
R2 LS/R028	Support the Council's services in responding to the implications of new legislation including the Well-being of Future Generations (Wales) Act 2015 and the Social Services and Well-being (Wales) Act 2014.	Accurate and timely information enables informed decision making.  The Council and its services respond appropriately and comply with statutory obligations as required.	N/A	Debbie Marles	01.04.2018	31.03.2019	Existing resources
A1 LS/AM029	Conclude review and consultation of one building at the Waterfront Barry, Cowbridge and Llanblethian. Town Council/Penllyn and St Brides Major Community Council.	Subject to consultation the potential reallocation of properties in the district/ward.	N/A	Debbie Marles	01.04.2018	01.12.2018	Existing resources
IT1 LS/IT030	Continue to review and reduce printing in line with the Corporate Print Strategy.	In line with Corporate Print Strategy	N/A	Debbie Marles	01.04.2018	31.03.2019	Existing resources

Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
IT2 LS/IT031	Continue to review of AIM software with other software being considered including that used by other Authorities.	Replacement options identified for Legal Services Software.	N/A	Victoria Davidson	01.04.2018	31.3.2019	Existing resources
IT3 LS/IT032	Develop the Legal Portal in liaison with the Courts regarding use of electronic court bundles.	In line with HM Courts requirements	N/A	Victoria Davidson	01.04.2018	31.03.2019	Grant funding to be explored alternatively existing resources
IT4 LS/IT024	Continue the review of Electoral Registration software.	Replacement options evaluated, implementation of new software, May 2018	N/A	Debbie Marles	01.04.2018	01.07.2018	Existing resources
IT5 LS/IT033	Roll out replacement laptops and upgrade to Windows 10 across legal services.	Upgrade being rolled out.	N/A	Victoria Davidson	1.04.2018	31.03.2019	Existing resources
LS/A034	Preparation for the Local Boundary Commission's review for the principal area in April 2019.	Undertake preparation for the Local Boundary Commission's review for the principal area in conjunction with Local Democracy Boundary Commission for Wales	N/A	Debbie Marles	31.12.2018	31.03.2019	Existing resources
LS/A035	Deliver the Canvass for 2018.	Accurate and up to date electoral register for households in the Vale of Glamorgan.	Electoral Commission require 100% completion of canvass including 1 visit and 2 forms per household.	Debbie Marles	01.07.2018	01.12.2018	Existing resources

Ref	Action	Outcome & Key milestone 2018/19	KPI (where relevant)	Officer responsible	Start date	Finish date	Resources required
LS/A036	Publicise the revised electoral register on the 1st December 2018.	Updated electoral register for households in the Vale of Glamorgan is publically available to all stakeholders.	N/A	Debbie Marles	01.12.2018	01.12.2018	Existing resources
LS/A037	Complete an Absent Voters Refresh between January and March 2019.	Accurate and up to date electoral register for households in the Vale of Glamorgan.	N/A	Debbie Marles	01.01.2019	31.03.2019	Existing resources
LS/A038	Report on the 'covert activity' undertaken by the Council pursuant to the Regulation of Investigatory Powers Act 2000.	Number of RIPA authorisations	N/A	Debbie Marles	01.04.2018	31.03.2019	Existing resources

Appendix C

Risk Evaluation Scoring

Corporate Risks

Category	Inherent Risk			Effectiveness of controls			Residual Risk		
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total
<b>CR1: Reshaping Services</b>									
Political & Legislative	3	3	9	2	2	4	2	2	4
Resources	3	3	9	3	2	6	1	2	2
Service Delivery & Well-being	3	3	9	2	2	4	2	2	4
Reputation	3	3	9	2	2	4	2	2	4
<b>Average risk score</b>	3	3	9	2	2	4	2	2	4 <b>(Medium)</b>
<b>CR6: Workforce</b>									
Political & Legislative	3	3	9	2	2	4	2	2	4
Resources	3	3	9	2	2	4	2	2	4
Service Delivery & Well-being	2	2	4	2	2	4	1	1	1
Reputation	3	3	9	2	2	4	2	2	4
<b>Average Risk Score</b>	3	3	9	2	2	4	2	2	4 <b>(Medium)</b>
<b>CR7: Information Security</b>									
Political & Legislative	4	3	12	2	2	4	2	2	4
Resources	4	3	12	2	2	4	2	2	4
Service Delivery & Well-being	4	4	16	2	2	4	2	2	4
Reputation	4	3	12	2	2	4	2	2	4
<b>Average risk score</b>	4	3	12	2	2	4	2	2	4 <b>(Medium)</b>
<b>CR11: Safeguarding</b>									
Political & Legislative	2	3	6	3	2	6	1	2	2
Resources	3	3	9	3	2	6	1	2	2
Service Delivery & Well-being	3	3	9	3	2	6	1	2	2

Category	Inherent Risk			Effectiveness of controls			Residual Risk		
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total
Reputation	2	4	8	3	1	3	1	4	4
<b>Average risk score</b>	3	3	9	3	2	6	1	3	3 <b>(Medium/Low)</b>
<b>CR14: Contract Management</b>									
Political & Legislative	3	3	9	3	2	6	1	2	2
Resources	3	3	9	3	2	6	1	2	2
Service Delivery & Well-being	2	3	6	2	2	4	1	2	2
Reputation	3	4	12	3	1	3	1	4	4
<b>Average risk score</b>	3	3	9	2	2	4	1	3	3 <b>(Medium/Low)</b>

### Service Based Risks

Risk	Inherent Risk			Residual Risk		
	Likelihood	Impact	Total	Likelihood	Impact	Total
<b>LS: SR1-</b> Failure to support the Council's services in responding to the implications of new and emerging legislation.	2	3	6	2	3	<b>6 Medium/High</b>
<b>LS: SR2-</b> Loss of experienced staff and their knowledge base as a result of reduced staffing levels.	3	3	9	3	3	<b>9 Medium/High</b>
<b>LS: SR3-</b> Risk of not having the skill base to deliver the Reshaping Services agenda.	2	3	6	2	3	<b>6 Medium</b>
<b>LS: SR4-</b> Inability to recruit and retain suitably qualified staff in key areas	3	3	9	3	3	<b>9 Medium/High</b>
<b>LS: SR5-</b> Inability to deliver the Welsh Language Standards and associated fines and reputational damage for non-achievement.	2	2	4	2	2	<b>4 Medium</b>

Scoring risks	
<b>Likelihood score</b>	Refers to how likely it is that the risk will occur, that is, the probability of the risk happening. The scoring ranges between 1 and 4, with 1 being very unlikely, 2 - possible, 3 - probable and 4 being almost certain to happen or has already happened.
<b>Impact score</b>	Refers to what the impact would be if the risk occurred. Again the scoring ranges between 1 and 4, with 1 being low, 2 - medium, 3 - high and 4 being catastrophic. Impact would include things such as financial costs, public wellbeing, environmental/ social impact, damage to reputation, health and safety etc.
<b>Inherent Risk</b>	This is the risk score in a pre-control environment
<b>Residual Risk</b>	Remaining risk score after controls have been applied. Shows impact of controls.
<b>Current controls</b>	This is a control score that provides an indication of the effectiveness of the controls at managing the risk.
<b>Forecast Direction of Travel</b>	Anticipates the future direction of travel of the risk by taking into account factors that are likely to impact on it. Risk increasing  Risk is decreasing  Risk remaining static 

### Risk Matrix

<b>Possible Impact or Magnitude of Risk</b>	<b>Catastrophic</b>	4 <b>MEDIUM</b>	8 <b>MEDIUM/HIGH</b>	12 <b>HIGH</b>	16 <b>VERY HIGH</b>
	<b>High</b>	3 <b>MEDIUM/LOW</b>	6 <b>MEDIUM</b>	9 <b>MEDIUM/HIGH</b>	12 <b>HIGH</b>
	<b>Medium</b>	2 <b>LOW</b>	4 <b>MEDIUM</b>	6 <b>MEDIUM</b>	8 <b>MEDIUM/HIGH</b>
	<b>Low</b>	1 <b>VERY LOW</b>	2 <b>LOW</b>	3 <b>MEDIUM/LOW</b>	4 <b>MEDIUM</b>
Low 1-2 Low/Medium 3 Medium 4-6 Medium/High 8-10 High 12-16		<b>Very Unlikely</b>	<b>Possible</b>	<b>Probable</b>	<b>Almost Certain</b>
<b>Likelihood/Probability of Risk Occurring</b>					

### Effectiveness of Controls Score

Score	Effectiveness of Control
0	Very Low control of the risk
1	Low control of the risk
2	Medium control of the risk
3	High control of the risk
4	Very high control of the risk