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| Meeting of:   | <b>Cabinet</b>  |
| Date of Meeting:  | <b>Monday, 08 February 2021</b>   |
| Relevant Scrutiny Committee:  | Corporate Performance and Resources   |
| Report Title:   | Corporate Risk Register Quarter 2 Update  |
| Purpose of Report:  | To update Cabinet on the quarter 2 position of Corporate Risks for April 2020 - September 2020 contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report. |
| Report Owner:   | Executive Leader and Cabinet Member for Performance and Resources   |
| Responsible Officer:  | Rob Thomas, Managing Director   |
| Elected Member and Officer Consultation:  | Consultation has been undertaken with designated Corporate Risk Owners and the Strategic Leadership Team.   |
| Policy Framework:   | The proposals are within the Council's Policy Framework.  |
| <p><b>Executive Summary:</b></p> <ul style="list-style-type: none"> <li>This report provides Cabinet Members with an overview of the Corporate Risk Register for Quarter 2 (April 2020-September 2020). A risk analysis is incorporated within the Corporate Risk Summary Report (Annex A). This enables officers and Members to identify and assess trends and the cross-cutting nature of risk with the ability to drill down to the detail of risks as and when required.</li> </ul> |   |

## Recommendations

1. It is recommended that Cabinet note the Quarter 2 position of corporate risks for the period April 2020-September 2020 as outlined in Annex A and the reference received from Audit Committee.
2. It is recommended that Cabinet consider and endorse the Corporate Risk Register for Q2 and the associated Corporate Risk Summary Report.

## Reasons for Recommendations

1. To ensure Cabinet identify the quarter 2 position of the corporate across the Council and the reference from following Audit Committee's consideration.
2. To ensure effective oversight of the corporate risks and enable Cabinet to examine key emerging issues and actions to be taken as outlined in Annex A.

## 1. Background

- 1.1 Corporate Risk is managed via the Corporate Risk Register. To supplement this, a risk analysis in the form of a Corporate Risk Summary Report (Annex A) provides a concise way of identifying the headline issues and risk considerations. In presenting the information in this way, it enables officers and Members to be able to have a good overview of the status of risks across the Register as well as the emerging issues whilst giving them the ability to drill down to the detail if required.

## 2. Key Issues for Consideration

- 2.1 The Corporate Risk Summary Report (Annex A) is split into the following sections:
- 2.2 **Corporate Risk Executive Summary:** This provides an overview of the whole risk report that highlights the key issues to note in relation to the status of risks, direction of travel, forecast direction of travel and progress against the Risk Management Plans.
- 2.3 **Section 1 Risk Descriptions:** This section details each risk listed on the Register along with a brief description of the risk in terms of its scope. More detailed descriptions of the multiple facets of each risk relative to each of the risk categories (of Political & Legislative, Resources, Service Delivery & Well-being and Reputation) are provided in the Register itself. Within Section 1 of the report officers and Members can drill down to the detail of individual risks in the Register quickly and easily by using the document link to the relevant Appendices in the report.
- 2.4 **Section 2 Corporate Risk Register Summary:** provides an overview of all the corporate risks in the Register in terms of their inherent risk score, effectiveness of control score and residual risk score and provides an outline of the direction of travel for both current and forecast.

- 2.5 Section 3 Overall Risk Heat Map:** uses a risk matrix to plot the residual risk scores in terms of likelihood and impact for each corporate risk in order to illustrate the distribution of corporate risks on the heat map. This section flags any key trends or issues in relation to the distribution of risk on the matrix.
- 2.6 Section 4 Thematic Heat Map:** uses a similar risk matrix to plot the residual risk scores for each corporate risk by risk category. This provides a more holistic illustration of the distribution of risk by the different risk categories enabling a better understanding of the inter-relationship between risk themes. This also enables officers and Members to view risk in a more cross-cutting/strategic light to identify if there is any need to address facets of risk through council-wide mitigating activity.
- 2.7 Section 5 Risk Management Plan:** Provides an overview of the progress made against the Risk Management Plans for each Corporate Risk. There is a Risk Management Plan aligned to each Corporate Risk that contain a series of actions to help mitigate and/or manage the risk. By monitoring the status of these Risk Management Plans, and, in particular the RAG status of the mitigating actions, we are able to identify areas where progress against actions are having a positive effect on the risk or in some cases is having little effect. Equally the Risk Management Plan enables officers and Members to flag risks where progress against actions has been slow/which may warrant further investigation.
- 2.8 Section 6 Risk Action Exceptions:** This section provides reporting by exception (i.e. mitigating actions aligned to each corporate risk that have been assigned a red status for their progress). This enables officers and Members to quickly identify and interrogate actions reporting a red status in relation to each risk. It lists each corporate risk and any corresponding actions that have a red RAG status and provides the corresponding commentary relating to that quarter.
- 2.9 Section 7 Risk Scoring Definitions:** This section explains the risk scoring definitions in terms of what is meant by an inherent, residual and effectiveness of control risk score. It also outlines the risk scoring matrix that is used to score residual risk and a risk scoring mechanism for scoring the effectiveness of our controls.
- 2.10** There are 16 corporate risks on the Register. Whilst this report provides an update on the corporate risks during the quarter 2 period, it is important to note that some risks on the Register are in a constant state of flux. For example, the fast-moving nature of both the COVID-19 and Brexit risks means that the position regarding these two are constantly evolving. Cabinet are requested to consider and endorse the quarter 2 position of the Risk Register, whilst noting the reference from Audit Committee and the following developments. These developments are accurate as at 19<sup>th</sup> January 2021.
- 2.11 COVID-19-** Since the end of the quarter 2 period (September), a series of new restrictions have been implemented to control the rising rates of coronavirus infections. During October, a two week 'Firebreak' was put in place, that saw a return of lockdown scenarios (similar to that experienced in March) across the whole of Wales. Initially the 17-day fire break had shown some success in reducing the number of coronavirus infections. However, in the lead up to the

Christmas period the rates began to accelerate again and with the emergence of a new more highly infectious variant, the Welsh Government reintroduced level 4 lockdown measures from the 20<sup>th</sup> December 2020. Once again this saw the closure of all non-essential retail, hospitality and close-contact services such as hairdressers, gyms and leisure centres. On this occasion no time frame was set for the reopening of such services and will be subject to three weekly review. In addition to this, the Welsh Government took the decision to revise the rules over Christmas period which allowed for just a single household to mix with one other household for one day (Christmas Day).

- 2.12** During this period, the Council has once again adapted to managing its response to the pandemic and associated restrictions. Throughout this period, the Council has continued to ensure a high degree of business continuity in relation to its services, as many services had already adapted in response to the initial lockdown restrictions in March and in the subsequent months with changing regulations.
- 2.13** Despite the restrictions, the rate of Covid-19 in the Vale of Glamorgan has remained very high. By the start of the New Year the rate of new cases in the Vale of Glamorgan was 498.6 per 100,000 of the population (for the 7-day period between 28<sup>th</sup> December and 3<sup>rd</sup> January), which placed us higher than our neighbouring Cardiff<sup>1</sup>. Initially it had been intended that primary and secondary children would undertake a phased return to school by 11<sup>th</sup> January. However, due to rising concerns associated with the new variant and the high rate of infections and admissions to hospital, the Welsh Government took the decision to delay the return of school and revert to a blended learning approach until the 18<sup>th</sup> January at the earliest<sup>2</sup>.
- 2.14** Although, there are signs that the case rate in the Vale of Glamorgan has reduced to 327.1 per 100,000 of the population (between 8<sup>th</sup> and 14<sup>th</sup> January) with a positivity rate of 19.1%, there are still significant pressures on both our health service and social care sector<sup>3</sup>. Although hospital admissions for Covid-19 are stable they remain very high. Daily admissions have been 50% above the peak seen in the first wave and Covid-19 bed occupancy rates are 66% higher than the peak of the first wave.
- 2.15** The approval of three vaccines (Pfizer, Oxford and Moderna) has been met positively, but both Ministers and the scientific community have warned a difficult winter still lies ahead. The Welsh Government commenced the roll out of the Pfizer-BioNtech Vaccine on 8<sup>th</sup> December<sup>4</sup> following its regulatory approval on 2<sup>nd</sup> December<sup>5</sup>. On the 30<sup>th</sup> December, the Medicines and Health Care products Regulatory Agency (MHRA) authorised the Oxford/Astra Zeneca Vaccine for use and roll out of this vaccine commenced on 4th January 2021. Since then,

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<sup>1</sup> [Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area](#), Accessed on 19<sup>th</sup> January 2021.

<sup>2</sup> [Covid: Schools in Wales to stay shut until 18 January](#). BBC News article published on 4<sup>th</sup> January 2021.

<sup>3</sup> [Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area](#), Accessed on 19<sup>th</sup> January 2021.

<sup>4</sup> [Covid-19 vaccine roll out begins in Wales](#). Welsh Government Press Release published on 8<sup>th</sup> December 2020.

<sup>5</sup> [COVID Pfizer vaccine judged safe to use in UK from next week in UK](#). BBC News article published on 2<sup>nd</sup> December 2020.

the Moderna Vaccine has also received regulatory approval on the 8<sup>th</sup> January 2021 and is forecast to become available from the Spring. The first priority is the vaccination of care home residents and staff and frontline NHS workers, followed by those people aged over 70 and the most clinically and extremely vulnerable. It is anticipated that all care home residents and staff in the Vale of Glamorgan will be vaccinated by the end of January. The UHB vaccination programme involves vaccination of some of the most 'at risk' groups (over 80s, over 70s and those clinically most vulnerable) from December to mid-February. Work is underway currently to plan the next phase of the immunisation programme, with the focus on the over 50s and younger people with pre-existing health conditions which it is anticipated will be completed by the Spring of 2021<sup>4</sup>. According to the Cardiff and Vale University Health Board, as at 19<sup>th</sup> January a total of 26,777 vaccines had been administered amongst the priority groups of care home residents and staff, over 80s, health care staff and social care staff. Over the coming weeks it is intended that this vaccination programme will be accelerated, which in the Vale of Glamorgan will see the opening of mass vaccination centre in Barry and GP surgeries will continue to offer vaccinations to those aged over 70.

**2.16 Brexit-** Over the last 10 months, much of the Council's focus has been on co-ordinating the emergency response to the pandemic to ensure continuity of services whilst safeguarding our staff, citizens and communities. Consequently, preparatory work on Brexit was not progressed to the planned extent. However, as the end of the transition period approached, it was the opportune time to take stock of the current Brexit position and the need to review our preparatory work. Cabinet Members will be aware of an update on Brexit that was presented to Cabinet on the 30<sup>th</sup> November 2020. That report set out the current position on Brexit as at 16<sup>th</sup> November and outlined the potential implications associated with the next phase of the UK's departure from the European Union. The report also considered different trade outcome scenarios, flags new/emerging risk areas associated with Brexit and proposes preparatory actions (contained in an Action Plan) to address these identified risk areas.

Until recently, trade negotiations between the UK and EU had stalled due to a lack of agreement over key issues such as governance, fisheries and 'level play field arrangements'<sup>6</sup>. After months of negotiating, a post-Brexit trade deal was announced on 24<sup>th</sup> December 2020<sup>7</sup>. The new trade agreement will define how we live work and trade with the EU. Some key areas of the agreement to note include no tariffs associated with the import/export of goods across borders with no limitations on the volumes (known as quotas) that can be traded. However, additional checks at borders in the form of safety checks and customs checks could contribute to delays in products getting to market if paperwork is incomplete/incorrect. The EU and UK will also continue to co-operate in other areas of mutual interest including as climate change, energy, security and transport matters<sup>8</sup>.

**2.17** The impact of the COVID and Brexit trade deal developments as highlighted above, will be taken into consideration when reviewing the Risk Register for quarter 3. New mitigations identified in the Brexit Impact Assessment Action Plan will be reflected in the Brexit Risk Management Plan for the quarter 3 period.

- 2.18** Attached at **Annex A** is the **Quarter 2 Risk Summary Report**. **Annex B** provides the complete **Corporate Risk Register**.

### **3. How do proposals evidence the Five Ways of Working and contribute to our Well-being Objectives?**

- 3.1** Risk Management is an intrinsic part of corporate governance and integrated business planning which underpins the delivery of the Council's Corporate Plan and its Well-being Outcomes. Our Corporate Plan has been structured around the Well-being of Future Generations (Wales) Act 2015, through the development of four Well-being Outcomes and eight Well-being Objectives. By aligning our Well-being Outcomes in the Corporate Plan with the Well-being Goals of the Act, this will enable us to better evidence our contribution to the Goals.
- 3.2** Corporate Risks are considered in the context of the Well-being of Future Generations in terms of their potential impact on our ability to deliver /meet the Well-being Goals. The multi-faceted nature of risk means they have the potential to impact on how we deliver our priorities within the Corporate Plan and ultimately impact on our ability to meet/deliver on the Well-being Goals. A failure to identify the different facets of risk and mitigating actions using the five ways of working puts us in a more vulnerable position in terms of our ability to manage the risks and could significantly impact on our ability to evidence our contribution to meeting the Well-being Goals into the longer term. For example, the Welfare Reform risk cuts across five of the seven Well-being Goals in relation to a Prosperous Wales, A Resilient Wales, A Healthier Wales, A More Equal Wales and a Wales of Cohesive Communities with multiple aspects of risk associated with Welfare Reform that have the potential to impact on our ability to contribute to these Goals. For instance, the social impact of welfare reform could impact on tenant's health and their ability to heat their homes, live in good quality housing and feed themselves which directly impacts on the Healthier Wales and Cohesive Communities Goals. Equally there is the risk that welfare reform could have a detrimental impact on citizen's finances and their ability to sustain tenancies, access employment opportunities and pay bills. Collectively these could have an impact on our ability contribute to developing a Resilient Wales, Prosperous Wales, a More Equal Wales and Cohesive Wales Goals.
- 3.3** The five ways of working are also a key consideration in relation to our corporate risks as a key part of managing the risk involves developing a Risk Management Plan that identifies the mitigating actions that have a focus on the long term, prevention, integration, collaboration and involvement.

## **4. Resources and Legal Considerations**

### **Financial**

- 4.1** Managing and reducing risks effectively helps to prevent unnecessary expenditure for the Council, reduces the potential for insurance claims and rising premiums.

## **Employment**

- 4.2** There are no direct workforce related implications associated with this report. However, there are risks contained within the Register that if not effectively managed has the potential to impact on our staff establishment. By managing these risks effectively, we are in a stronger position to offer better protection to our staff.

## **Legal (Including Equalities)**

- 4.3** Identifying, managing and reducing any risk effectively mitigates against potential legal challenge.

## **Background Papers**

None.



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK SUMMARY REPORT

QUARTER 2 APRIL 2020- SEPTEMBER 2020





## CORPORATE RISK EXECUTIVE SUMMARY:

### Overview:

There are 16 corporate risks included on the Register (**see Section 1**). There have been no further additions to the Register this quarter.

### Risk Statuses:

- 5 risks scored medium/high, 10 risks scored medium and 1 risk scored medium/low. Although there has not been any significant movement in risk statuses during the second quarter of the year, the COVID-19 pandemic continues to have had a significant impact on all aspects of risk on the Register and in particular on our progress in relation to mitigating actions. All risks on the Register continue to reflect the influence the pandemic has had on the Register, with some COVID-specific issues that demonstrate the cross-cutting impact the pandemic has had on all aspects of risks. Although we have not yet seen a significant impact on the risk scoring this quarter we anticipate there will be some further movement in risk scores over the coming months as the impact and repercussions of COVID continue to be felt. (**See Section 2**)

### Direction of Travel:

- The majority of risks on the Register have remained static with the exception of the Information Security that has decreased during the quarter. The Information Security risk that has decreased from a score of 9 to a score of 6 on the Register, resulting in the risk dropping from a medium/high to a medium status.
- During the previous two quarters there were a number of emerging threat areas. The risk score has been amended to reflect that the mitigations to address the increased threat from cyber-attacks have been progressed during quarter 2. Advanced Threat Protection software was purchased in the form of additional modules specifically for Microsoft 365. Roll out of these additional security controls commenced in quarter 2, which has resulted in a lowering of the risk score to a medium status. The service is confident that these controls will continue to be effective at mitigating against the effects of cyber-attacks.

### Forecast Direction of Travel (See section 2):

- The forecast direction of travel for risks on the Register have predominately remained the same. The information security, waste and integrated health and social care risks are all forecast to drop, whilst environmental sustainability, welfare reform, Brexit, Reshaping Services and COVID are all anticipated to rise over time.
- **Information security**- It is anticipated that the full effect of the mitigations associated with the roll out of the Advanced Threat Protection will be realised by quarter 3.
- **Waste**- The service has continued to maintain high levels of recycling at around 70%, it is anticipated that these figures may drop slightly to reflect the COVID-19 measures that have been put in place and the associated relaxation of the two-bag rule for a short period of time. Although the pandemic has hindered some progress in rolling out our transformative waste agenda, the service has continued to maintain a high level of continuity of services. For example, the planned roll out of the new waste blueprint to Barry and Penarth in 2020, had initially been disrupted due to COVID-19. Despite initial disruption, good progress has been made during quarter 2 to prepare for the roll out of the new source segregation of waste in Barry. This became operational in October and early indications are that it has gone well. The roll out of source segregation to Penarth is dependent on the completion of the Waste Transfer station. Subject to planning permission, construction of the Water Transfer Station will commence in 2021 with an estimated completion in September/October 2021. During quarter 2, Neighbourhood Services were successful in securing three funding bids from the Welsh Government in the form of £350K to construct a reuse shop at the Atlantic Trading Estate, £250K to invest in bins to ensure flats/apartments can move over towards a more sustainable approach for a separate recycling collection service and £500K to invest in sorting equipment for the proposed Waste Transfer Station. This funding will help to ensure we can put in place the

infrastructure to support the delivery of the national waste agenda. This will be further complemented by a 10- year Waste Strategy that is currently under development. As the momentum rolling out the waste blueprint gains pace, we are likely to see a further decrease in the risk to more acceptable levels. However, the service area anticipates that we are unlikely to see any shift change in the risk score until the Waste Transfer Station is fully operational and the benefits of moving to this new Waste Blueprint can be fully realised.

- **Integrated Health and Social Care Risk-** Although this risk continues to be well controlled through existing mitigations, the pandemic has caused some disruption to the projects associated with this agenda. Initially one of the areas of concern was the sustainability of projects due to the volatility of funding. This was further compounded by COVID, whereby transformation monies were redirected by the Welsh Government to focus on COVID-specific recovery efforts. The transformation monies were due to cease in March 2021 which raised concern over the viability and progress of project work that is reliant on these monies. However, we anticipate this aspect of risk will diminish over time, as it is understood the Welsh Government intend to extend the grant funding stream until 2022 to enable projects to come to fruition. The Council is awaiting further clarity on this from the Welsh Government before it can confirm its future plans for project delivery.
- **Environmental Sustainability-** This risk has maintained its upward trajectory to reflect that despite the pandemic having some initial impact on reducing journeys to and from work/meetings, it is not anticipated that these benefits will continue into the longer term. We anticipate that the pressures of climate change will continue to escalate over time. Work is underway to develop a climate change action plan in response to the Council's declaration of a climate emergency by the Council in June 2019 and an update reported to Cabinet in November 2020. A number of engagement sessions have been held with colleagues from across the organisation to help develop the action plan, with updates taken to Cabinet on the progress of the Action Plan. Public Engagement to inform the development of the Action Plan will be undertaken over the next few months with the aim to publish and consult on the Action Plan in the new year.
- **Welfare Reform –** This risk is forecast to rise as a result of the risks associated with financial and social impact of the welfare reform changes.
- **Brexit-** This is forecast to escalate as the UK Government rapidly approaches the end of the transition period for trade negotiations (31<sup>st</sup> December 2020).
- **COVID-19-** This risk continues to maintain its forecast upward trajectory reflecting the volatile nature of this risk. We anticipate that the direction of travel is likely to escalate over the winter period, as COVID infections are likely to be more prevalent in the winter months. There are concerns, amongst health professionals, that a further wave of infections during the peak flu season, could further exacerbate existing winter pressures in hospitals. This combined effect could put the NHS under additional strain, stretching the capacity of hospitals to meet the demand for any rise in hospital admissions and intensive care beds. This in turn could compromise the Health Service's ability to undertake elective procedures/operations and to continue to provide ongoing care/treatment for other conditions. In order to protect the NHS so that it does not become overwhelmed, the reintroduction of a variety of measures/restrictions throughout the winter months to ensure that the R value<sup>1</sup> and growth rate<sup>2</sup> of COVID is kept as low as possible are highly likely (and have been confirmed in quarter 3).
- **Reshaping Services-**This risk is forecast to rise in relation to the resource and service delivery and well-being aspects of this risk. It is forecast that the service delivery and well-being aspect of this risk will rise in response to the impact the pandemic has had on our communities and increased demand it has placed on our services. We also anticipate that the resources aspect of this risk will also increase to reflect how our resources have been increasingly squeezed in response to the pandemic and looking towards the future we anticipate this cost pressure on

<sup>1</sup> R Value is the reproduction value of an infection. It provides an indication of the average number of secondary infections produced by a single infected person.

<sup>2</sup> The growth rate reflects how quickly the number of infections are changing on a day to day basis. It provides an approximation of the rate any epidemic is growing/speed of change.

our budgets is not going to diminish over time as the full financial impact of the pandemic is fully realised.

#### **Risk Management Plans:**

- Overall good progress has been made during quarter 2 in relation to the actions associated with the Risk Management Plans across all aspects of the Register.
- In total there are 142 mitigating actions currently being monitored via the Register, the majority of which are also aligned to a Corporate Plan activity. During quarter 2, we have been able to assign a RAG status to 141 of these mitigating actions. Where it has not been possible to note a RAG status for an action, this is noted as N/A (not applicable) against the action and an explanation provided in the relevant Risk Management Plan. (**See Section 5**)
- During quarter 2, a total of 6% actions (9) were completed, 57% (80) were on track and allocated a Green status. 11% (15) of actions were allocated an amber status for minor slippage and 26% (37) slipped and were allocated a red status. A breakdown of these individual exceptions is provided in **Section 6**.

#### **Emerging risks and issues:**

##### **COVID-19 (Coronavirus)**

- The pandemic continues to put council services under enormous pressure and has challenged how we deliver our services and fulfil our statutory roles and functions. Sustaining and improving levels of service delivery and performance whilst managing demand for services at a time when resources are stretched is likely to be an ongoing risk theme throughout this crisis. By the end of quarter 2, we had moved through the first wave of the Pandemic, and although a lot of uncertainty remains we have used it as an opportunity to learn from our experiences and plan for the challenges that will lie ahead. It has afforded us the opportunity to reflect on our learning from our emergency response to inform how we operate services in the future. For example, one of our recovery priorities is based on building on our success from our collaborative efforts with the voluntary sector (GVS) and the Vale Heroes work. We have taken stock of our position and understand the challenges and future opportunities that lie ahead. We are confident that by taking all these necessary steps we can emerge from this crisis a resilient organisation that is able to readily adapt over the coming months to the rapidly evolving situation of COVID.
- As well as ensuring we continue to respond to the ongoing challenges of the pandemic, we have also focused our efforts on planning for recovery. During quarter 2, a Recovery Strategy (and accompanying community and economic impact assessments) was approved by Cabinet, that will be act as a key driver behind supporting our transition from response to recovery. The Recovery Strategy contains 19 priorities that will complement the delivery of the Council's Annual Delivery Plan. Furthermore, a revised Annual Delivery Plan for 2021-22 is currently under development, where COVID-related recovery priorities will be a key feature of the Plan, which acknowledges the wide-ranging impact COVID has had on all aspects of the Council's functions and service delivery. A public consultation on the draft ADP will run for 4 weeks between December and January and including to Scrutiny Committees for consultation before it is ratified by Cabinet in March 2021.
- Based on the current position of COVID and our ongoing response (mitigations) to date, it is recommended that the risk maintains its medium/high (8) status. Although during the latter end of quarter 2, COVID infection rates showed signs of slowly down and hospital admissions were at their lowest point since the start of the pandemic, it is widely acknowledged that the impact continues to be felt by our services, citizens and communities. Although, Council services have begun their transition towards recovery, a number of services continue to be disrupted/affected by the ongoing COVID restrictions i.e. our frontline services where that are primarily delivered face to face. On this basis it is felt the medium/high status of this risk has remain unchanged. We are mindful that this risk has the potential to escalate over the winter months (quarters 3 and 4) as we are likely to see a resurgence in infections over this period. Therefore, we forecast that this risk is likely to escalate into the winter months.

- A review of this risk will take place at the end of quarter 3 to assess the status of the risk again and to forecast the future direction of travel.

#### **Brexit-**

- The uncertainty associated with trade negotiations and the potential implications this could have for the UK continues to be a cause of concern. Although there have not been any significant Brexit developments during quarter 2, the Council has continued to maintain a watching brief on this risk.
- Talks between the UK and EU are due to resume during October, so we anticipate to see more Brexit developments during the next quarter. In readiness for the outcome of any trade negotiations, further preparatory work will be undertaken during quarter 3 to assess the Brexit position at that point in time along with a review of the Brexit Impact Assessment Action Plan.
- Given the volatility of the situation, and the absence of any negotiated deal, we anticipate this risk will escalate the closer we get to the end of the transition period.
- Audit Committee will note the link contained in the covering report to a report considered in November 2020 on the latest position regarding Brexit and considered by Cabinet. This is provided for context given the rapidly changing circumstances.

#### **School Reorganisation and Investment-**

- This is a broad-based risk that covers all aspects of funding priorities set out in the 21<sup>st</sup> Century Schools Investment Programme, but also includes the smaller scale asset renewal scheme. The risk also extends to ensuring we effectively manage school places and ensure there are also sufficient Welsh medium places to meet demand and contribute to the Welsh Government's one million Welsh speakers by 2050 ambition.
- The key risk areas are primarily focused on the failure to deliver school improvement programmes, failure to secure funds to make improvements, inability to meet demand for Welsh medium education and failure to reduce surplus places. In addition, the pandemic has the potential to impact on this risk by delaying our ability to deliver some aspects of our 21<sup>st</sup> Century School Programme in the short term if lockdown restrictions are re-imposed. To mitigate the service area maintains its own risk log to regularly monitor the risks associated with programme delivery with reference to COVID risks to the 21<sup>st</sup> Century Schools Programme.
- This risk currently scores a 4 with a medium status, which reflects that the risk is currently well controlled with existing mitigations. Our live schemes (such as Bro Morgannwg and Whitmore High School), have mainly been unaffected in terms of timescales as construction has continued throughout the pandemic. However, the implementation of additional measures to support social distancing and increased hygiene practices has resulted in increased costs and lower productivity (e.g. additional welfare space onsite to support social distancing). Despite this, these costs have been met within our project contingency.
- With regards to new schemes (such as Pencoedtre and Western Vale Primaries) we have entered contract with since the COVID-19 pandemic started we have added additional clauses within the contract to limit the Council's liability for increased cost to 50%. The clause reads *'Any delays to the progress of the works or any part of them as a direct result of Coronavirus and/or due to or connected with any exercise of power, action, or decision taken by the United Kingdom Government or the local authority due to Coronavirus shall be a compensation event. The increase in Prices for any additional costs as a direct result of Coronavirus will be limited to 50% of the actual amount of any such increase and the Contractor will provide evidence of the increase for the purposes of establishing any increase in the Prices.'* The addition of this clause we anticipate will provide some degree of protection against rising costs associated with the pandemic.
- Although as noted above we have put additional mitigations in place in response to the pandemic, there have been delays experienced in relation to some schemes as a direct result of COVID-19. For example, there has been a delay in appointing Pencoedtre contract as the service area needed to obtain additional approval due to moratorium on letting new contracts. Consequently, this scheme will be completed for December 2021 instead of mid-October 2021. Equally, the start date for Llancafán Primary School has also been delayed as the transfer of the

S106 site was delayed due to Taylor Wimpey closing down their sites initially during the first wave of the Pandemic and there was also a delay in undertaking the required site remediation work. In turn, this also delayed the Council in undertaking site testing for the SAB application.

- With regard to future schemes, a number of our education consultations were initially delayed due to the closure of schools. Although our consultations are now underway, it is anticipated that this will impact on construction timescales.
- Although the pandemic and Brexit create additional pressures and uncertainty in relation to our supply chains/workforce in delivering these schemes we are confident that the mitigations we have put in place and our monitoring of the emerging risks is robust to effectively manage the risks. Consequently, the risk has not moved from its medium position (4) and we forecast no significant changes in the risk going forward.

## SECTION 1: RISK DESCRIPTIONS

| Risk Ref | Risk   | Scope  |
|----------|--|--|
| CR1      | <b>Reshaping Services</b><br><b>Appendix 1</b>                               | Risk that the Council fails to deliver the Reshaping Services Programme and does not utilise alternative methods of service delivery and other approaches to mitigate the impact of budget reductions and demand for services which could result in further cuts to services impacting on their availability and quality.  |
| CR2      | <b>Legislative Change &amp; Local Government Reform</b><br><b>Appendix 2</b> | Inability to appropriately respond/adapt to new and emerging legislative change and reform developments across the breadth of Council services.  |
| CR3      | <b>School Reorganisation &amp; Investment</b><br><b>Appendix 3</b>           | Inability to invest in improving and developing the quality of our school buildings. This could result in schools no longer being 'fit for purpose' and not meet the Welsh Government's '21 <sup>st</sup> Century Schools' agenda.<br>Failure to effectively plan and provide sufficient school places to meet demand in relation to both English and Welsh Medium provision.  |
| CR4      | <b>Waste</b><br><b>Appendix 4</b>  | Failure to fund the national waste agenda and its associated targets.  |
| CR5      | <b>Workforce Needs</b><br><b>Appendix 5</b>                                  | Inability to anticipate and plan for workforce needs in the future in order to meet the changes in demand and provision of services. (Risk links to Reshaping risk and legislative reform risk)  |
| CR6      | <b>Information Security</b><br><b>Appendix 6</b>                             | Failure to implement adequate information management controls and systems across the Council.  |
| CR7      | <b>Environmental Sustainability</b><br><b>Appendix 7</b>                     | Failure to reduce our carbon footprint and mitigate against the impact/effects of climate change.  |
| CR8      | <b>Welfare Reform</b><br><b>Appendix 8</b>                                   | Roll out of Welfare Reform programme has a detrimental financial and social impact on residents.   |
| CR9      | <b>Public Buildings Compliance</b><br><b>Appendix 9</b>                      | Failure to comply with our statutory responsibilities for ensuring the health, safety and welfare of both our staff and citizens when using Council owned and leased assets.   |
| CR10     | <b>Safeguarding</b><br><b>Appendix 10</b>                                    | Failure to meet our statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.  |
| CR11     | <b>Integrated Health &amp; Social Care</b><br><b>Appendix 11</b>             | Inability to develop, commission and implement alternative models of service delivery that fully integrate how we deliver health and social care services across organisational boundaries and on a regional footprint.  |
| CR12     | <b>Unauthorised Deprivation of Liberty Safeguards</b><br><b>Appendix 12</b>  | Failure to effectively safeguard adults who are at risk of deprivation of liberty.   |
| CR13     | <b>Welsh Community Care Information System (WCCIS)</b><br><b>Appendix 13</b> | Failure to fully maximise and mobilise WCCIS functionality to ensure full implementation/development of the system across Social Services and over a regional footprint.   |
| CR14     | <b>Brexit</b><br><b>Appendix 14</b>  | Failure to effectively identify and respond to the changing policy and legislative landscape as a result of 'Brexit' and the impact this has on our ability to deliver services to our citizens.   |
| CR15     | <b>Additional Learning Needs (ALN)</b><br><b>Appendix 15</b>                 | Capacity and capability to effectively meet the Additional Learning Needs of our learners from birth to 25. The key driving forces associated with this risk relate to growth in demand, our capacity and financial viability to meet growing needs which have been further compounded by the impact of new responsibilities and duties arising from the ALN Act.  |
| CR16     | <b>COVID-19</b><br><b>Appendix 16</b>  | Two aspects of the COVID risk:<br>1) Response: Capacity to maintain service continuity of business-critical services.<br>2) Recovery: Ability to address longer term impact of COVID on our services, citizens and communities. E.g. downturn in the economy, unemployment, poverty, lower educational attainment, long term health and social care issues, as well as the emergence of inequalities across BAME groups. |






## SECTION 2: CORPORATE REGISTER SUMMARY

The table below provides a summary of the Corporate Risks broken down by their risk status in terms of their inherent (pre-control) risk score, the control risk score (how effectively the controls are managing the risk) and the residual risk score (post-control score). The table also gives an outline of each risk's direction travel, in terms of whether the risk is escalating or reducing as well as forecasting its future direction of travel. A definition of the risk matrix and effective of control scoring is outlined in **Section 7** of this report.

| Risk Ref | Risk  | Inherent Risk Score | Effectiveness of Controls score | Residual Risk Score |        |         | Direction of Travel <sup>3</sup> | Forecast Direction of Travel <sup>4</sup> |
|----------|---|---------------------|---------------------------------|---------------------|--------|---------|----------------------------------|---|
|          |   |                     |                                 | Likelihood          | Impact | Total   |                                  |   |
| 1        | Reshaping Services                              | 9 (M/H)             | 4 (M)                           | 2                   | 2      | 4 (M)   | ↔                                | ↑   |
| 2        | Legislative Change and Local Government Reform  | 12 (H)              | 2 (M/L)                         | 2                   | 3      | 6 (M)   | ↔                                | ↔   |
| 3        | School Reorganisation & Investment              | 12 (H)              | 4 (M)                           | 2                   | 2      | 4 (M)   | ↔                                | ↔   |
| 4        | Waste   | 12 (H)              | 2 (M/L)                         | 4                   | 2      | 8 (M/H) | ↔                                | ↓   |
| 5        | Workforce Needs                                 | 9 (M/H)             | 4 (M)                           | 2                   | 2      | 4 (M)   | ↔                                | ↔   |
| 6        | Information Security                            | 12 (H)              | 2 (M/L)                         | 2                   | 3      | 6 (M)   | ↓                                | ↓   |
| 7        | Environmental Sustainability                    | 12 (H)              | 4 (M)                           | 2                   | 3      | 6 (M)   | ↔                                | ↑   |
| 8        | Welfare Reform                                  | 12 (H)              | 4 (M)                           | 2                   | 2      | 4 (M)   | ↔                                | ↑   |
| 9        | Public Buildings Compliance                     | 9 (M/H)             | 4 (M)                           | 2                   | 2      | 4 (M)   | ↔                                | ↔   |
| 10       | Safeguarding                                    | 9 (M/H)             | 6 (M)                           | 1                   | 3      | 3 (M/L) | ↔                                | ↔   |
| 11       | Integrated Health and Social Care               | 9 (M/H)             | 4 (M)                           | 3                   | 2      | 6 (M)   | ↔                                | ↓   |
| 12       | Unauthorised Deprivation of Liberty Safeguards  | 12 (H)              | 2 (M/L)                         | 4                   | 2      | 8 (M/H) | ↔                                | ↔   |
| 13       | Welsh Community Care Information System (WCCIS) | 16 (VH)             | 2 (M/L)                         | 2                   | 3      | 6 (M)   | ↔                                | ↔   |
| 14       | Brexit  | 12 (H)              | 2 (M/L)                         | 3                   | 3      | 9 (M/H) | ↔                                | ↑   |
| 15       | Additional Learning Needs                       | 9 (M/H)             | 2 (M/L)                         | 3                   | 3      | 9 (M/H) | ↔                                | ↔   |
| 16       | COVID-19  | 16 (VH)             | 2 (M/L)                         | 2                   | 4      | 8 (M/H) | ↔                                | ↑   |

<sup>3</sup> **Direction of travel** compares residual risk score for the current quarter with the previous quarter to indicate whether the risk is increasing/ decreasing or staying static.

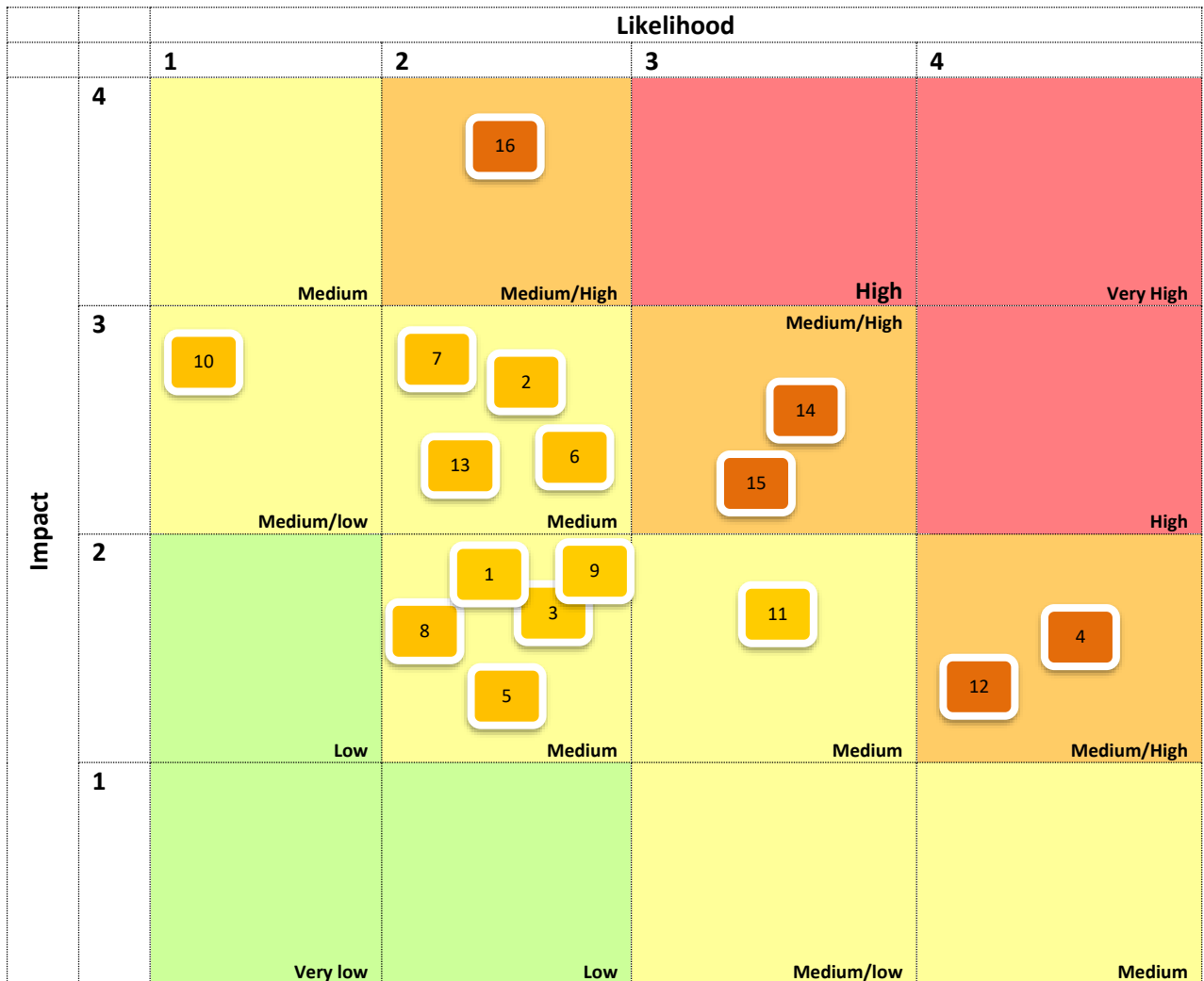
<sup>4</sup> **Forecast direction of travel** anticipates the future direction of the risk by taking into account factors that are likely to impact on it

 Risk increasing, 
  Risk is decreasing, 
  Risk remaining static

## SECTION 3: OVERALL RISK HEAT MAP

The heat map below uses a risk matrix quadrant to plot the residual risk scores (based on likelihood and impact) of each Corporate Risk to provide an illustration of the groupings of risks within the heat map.

- The heat map for quarter 2 shows that the greatest number of risks congregate at a medium status.
- Additional Learning Needs, Brexit, Deprivation of Liberty Safeguards, Waste and COVID-19 risks have maintained their Medium/High status.
- Information Security risk has decreased from a medium/high (9) to a medium (6) status on the heat map.

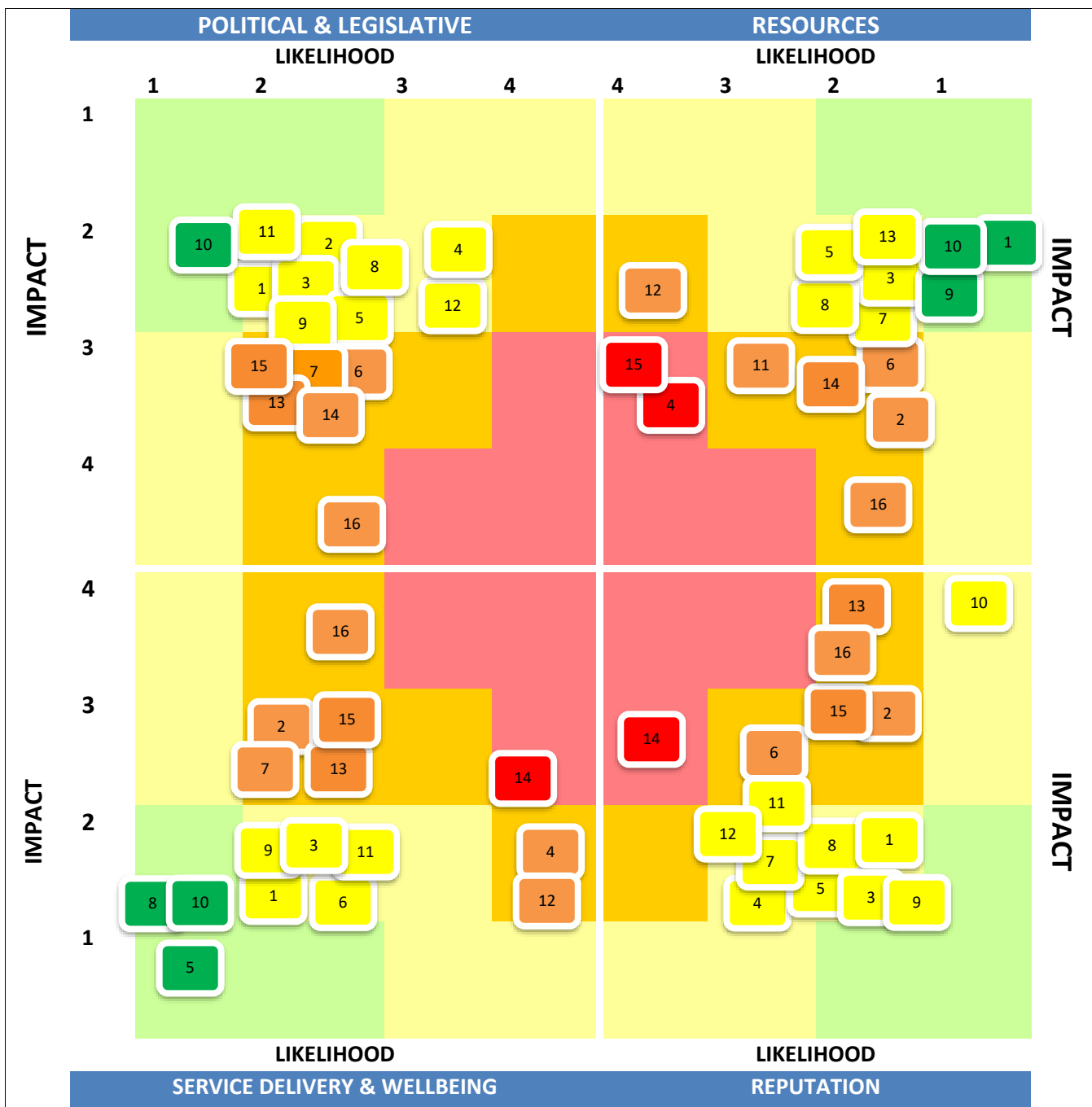


| Risk Reference Glossary |   |    |                                     |
|-------------------------|---|----|-------------------------------------|
| 1                       | Reshaping Services                      | 9  | Public Buildings Compliance         |
| 2                       | Legislative Change and Local Government | 10 | Safeguarding                        |
| 3                       | School Reorganisation & Investment      | 11 | Integrated Health and Social Care   |
| 4                       | Waste                                   | 12 | Unauthorised Deprivation of Liberty |
| 5                       | Workforce Needs                         | 13 | WCCIS                               |
| 6                       | Information Security                    | 14 | Brexit                              |
| 7                       | Environmental Sustainability            | 15 | Additional Learning Needs           |
| 8                       | Welfare Reform                          | 16 | COVID-19                            |



## SECTION 4: THEMATIC RISK HEAT MAP

- The majority of risks continue to congregate around medium across all risk categories, with a greater concentration of amber status (medium/high) risks in relation to service delivery-based risks.
- The Brexit risk remains in the high category of the quadrant (with a residual score of 12) across two risk categories (Service Delivery & Well-being and Reputation).
- The Additional Learning Needs risk remains in the high category of the quadrant (residual risk of 12) in relation to resources aspects of risk.
- The waste risk has been placed in the high category quadrant (with a residual score of 12) in relation to the resources category and medium/high quadrant in relation to service delivery and well-being.
- COVID-19 has been positioned in the medium/high category across all four risk themes recognising that despite a good suite of controls in place this risk is having a cross-cutting impact on multiple aspects of the Council's resources, functions and operations.



## SECTION 5: RISK MANAGEMENT PLAN- RAG STATUS OVERVIEW

The table below provides an overview of progress against the Risk Management Plans for each Corporate Risk.

- 63% (89) of actions were allocated a Green status (either completed or on track for completion), 11% (15) were given an Amber status and 26% (37) were allocated a red status at quarter 2.
- 100% of risk actions contained in the Risk Management Plan for CR8: Welfare Reform, CR9: Public Buildings Compliance and CR16: COVID-19 risks have either been completed or are on track for completion so have been allocated a green status.

| Corporate Risk  | RAG Status    |                  |                        |                 | Total number of Actions | Total number of actions where RAG is applicable. |
|---|---------------|------------------|------------------------|-----------------|-------------------------|--|
|   | Completed     | Green (On track) | Amber (Minor Slippage) | Red (Slippage)  |                         |  |
| CR1: Reshaping Services                                     | N/A           | 42% (5)          | 25% (3)                | 33% (4)         | 12                      | 12   |
| CR2: Legislative Change & Local Government Reform           | 11% (1)       | 56% (5)          | N/A                    | 33% (3)         | 9                       | 9  |
| CR3: School Reorganisation & Investment                     | N/A           | 83% (5)          | N/A                    | 17% (1)         | 6                       | 6  |
| CR4: Waste  | N/A           | 75% (3)          | N/A                    | 25% (1)         | 4                       | 4  |
| CR5: Workforce Needs  | N/A           | 28% (5)          | 39% (7)                | 33% (6)         | 18                      | 18   |
| CR6: Information Security                                   | N/A           | 60% (3)          | N/A                    | 40% (2)         | 5                       | 5  |
| CR7: Environmental Sustainability                           | N/A           | 62% (13)         | 5% (1)                 | 33% (7)         | 21                      | 21   |
| CR8: Welfare Reform   | 17% (1)       | 83% (5)          | N/A                    | N/A             | 6                       | 6  |
| CR9: Public Building Compliance                             | 43% (3)       | 57% (4)          | N/A                    | N/A             | 8                       | 7  |
| CR10: Safeguarding  | 9% (1)        | 64% (7)          | 18% (2)                | 9% (1)          | 11                      | 11   |
| CR11: Integrated Health & Social Care                       | N/A           | 33% (2)          | N/A                    | 67% (4)         | 6                       | 6  |
| CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs) | 40% (2)       | 20% (1)          | N/A                    | 40% (2)         | 5                       | 5  |
| CR13: Welsh Community Care Information System (WCCIS)       | N/A           | 50% (1)          | N/A                    | 50% (1)         | 2                       | 2  |
| CR14: Brexit  | 12.5% (1)     | 25% (2)          | 25% (2)                | 37.5% (3)       | 8                       | 8  |
| CR15: Additional Learning Needs (ALN)                       | N/A           | 88% (15)         | N/A                    | 12% (2)         | 17                      | 17   |
| CR16: COVID-19  | N/A           | 100% (4)         | N/A                    | N/A             | 4                       | 4  |
| <b>Totals</b>   | <b>6% (9)</b> | <b>57% (80)</b>  | <b>11% (15)</b>        | <b>26% (37)</b> | <b>142</b>              | <b>141</b>                                       |

## SECTION 6: RISK ACTION EXCEPTIONS (RED STATUS)

| Risk   | Action Ref | Action Description   | Commentary  |
|--|------------|--|---|
| <b>CR1:<br/>Reshaping<br/>Services</b>   | RSR/FIT003 | Engage with Vale of Glamorgan citizens on budget issues to inform the Council's budget and Reshaping Services Strategy priorities for 2021/22.   | Due to reprioritisation of resources during the COVID crisis, this work has been rescheduled to be undertaken during the Autumn.  |
|  | RSR/FIT005 | Lead on embedding the Council's approach to sustainable procurement by working with services to ensure a consistent approach to applying the WCFG Act to our procurement activities.   | This work has been initially delayed due to COVID. Work has now commenced on reviewing practices within services.   |
|  | RSR/HR001  | Continue to support organisational-wide change as part of the next stage of the Council's Reshaping Services programme including any HR issues that may arise.   | Work has stalled as a result of COVID-19. Work will commence later this year.   |
|  | RSR/SRS001 | Formulate the next three-year financial programme (2021-2024) with all three partner Councils.   | Current budget preparations have not advanced across the 3 areas due to the current demands placed on local authorities as a result of the Covid-19 pandemic. Given the integral role SRS plays in terms of Track Trace Protect and enforcement of COVID Regs it is unlikely that the service will see a reduction in funding.  |
| <b>CR2:<br/>Legislative<br/>Change and<br/>Local<br/>Government<br/>Reform</b> | IHSR/AS004 | Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).  | We have been unable to re-commence this project in quarter 2 as envisaged, as the pressures associated with the Pandemic remain. The commitment to re-establish this project remains, however resources have had to be redeployed at present to meet other service pressures, and this prevents the capacity to release staff for engagement workshops and project team to have the space to think innovatively and dedicate the time to this project at this time. |
|  | LCR/FIT001 | Establish a Corporate Governance & Audit Committee to review the Council's response to self-assessment, peer assessment and combined assessment and governance reviews in line with the requirements of the Local Government and Elections (Wales) Bill. | Delayed by COVID. Awaiting further information from Welsh Government. Internal meetings to be held week commencing 12 <sup>th</sup> October to agree way forward.   |

| Risk   | Action Ref             | Action Description  | Commentary   |
|--|------------------------|---|--|
|  | LCR/LD001              | Undertake a Funding Assessment and allocation to deliver legislative changes.   | This action will be addressed during 2020/21 as the department makes the transition to recovery following the easing of the COVID-19 restrictions.   |
| <b>CR3: School Reorganisation and Investment</b> | SRR/SL004              | Lead on implementing the Vale of Glamorgan Welsh in Education Strategic Plan (WESP), focusing on the six key priority areas.  | The new Welsh in Education Strategic Plan (WESP) regulations that came into force in January 2020 laid down the timetable and requirements for the introduction on the new ten-year strategic plans. Welsh Government due to Covid-19 have relaxed the timetable for the introduction of the new ten-year strategic plans. This means that plans will now need to be in place by September 2022, rather than September 2021.<br>All Councils in Wales are awaiting a full revised timetable with more detailed information regarding any proposed changes from Welsh Government. |
| <b>CR4: Waste</b>                                | WMR/NS003              | Commence the construction of a Waste Transfer Station for Barry.  | Pre-planning application is complete, and a full planning application is pending. This is delayed due to issues around the drainage proposal and new standards introduced. New designs for approval will be completed early quarter 3 and planning permission will be submitted October/November 2020. Construction is now likely in quarter 4.  |
| <b>CR5: Workforce Needs</b>                      | WFR/HR001<br>WFR/LD001 | Develop a strategic workforce plan for the next five years, which identifies skills gaps, growth areas, age profile etc and provides for mitigation.<br>Deliver workforce planning with a focus on alternative service delivery and workforce implications. | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later on in the year.  |
|  | WFR/HR004              | Review recruitment practices to increase diversity within the Council's workforce.  | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later in the year.   |
|  | WFR/HR008              | Implement a Chief Officer Appraisal Scheme as part of the Management Competency Framework to support the development of leadership and management qualities in line with the Reshaping Services Strategy.   | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later in the year.   |
|  | WFR/HR009              | Work with our schools, further education establishments, public sector agencies and local businesses to increase  | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later in the   |

| Risk   | Action Ref             | Action Description   | Commentary   |
|--|------------------------|--|--|
|  |                        | opportunities for all with particular focus on underrepresented 16-24-year olds to participate in work experience, work placements, apprenticeships and other training opportunities in line with the Council's strategy.                      | year. Some work on the Agency provision is planned to take place during Q3 for schools.  |
|  | WFR/PB001<br>WFR/HR011 | Develop and co-ordinate a range of activities as part of work to improve inclusivity in the workplace.   | An online meeting of the Equalities Consultative Forum (ECF) will take place in November. We have added to ECF membership to strengthen engagement with organisations representing the interests of Black, Asian and minority ethnic people. We continue to send relevant information to ECF Members. We will explore engagement with the Forum. |
|  | WRF/HR012              | Lead on the development of the Council's approach to supporting its employees to volunteer including the introduction of a volunteering policy.  | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later in the year.   |
| <b>CR6:<br/>Information Security</b>         | ISR/HR001              | Review the business requirements for governance, information management controls and policies and procedures as part of the review the HR business partner structure.  | The timing of the COVID pandemic has significantly disrupted this planned activity and as a result this action was not progressed during quarter 2.  |
|  | ISR/SRS001             | Undertake a review of information security against GDPR regulations.   | This review has not been developed further during Q2 due to the demands placed on the service as a result of its integral role it is playing in enforcing COVID Regulations and the Test, Trace, Protect responsibilities and the need to prioritise these activities.   |
| <b>CR7:<br/>Environmental Sustainability</b> | ESR/HR001              | Review our corporate policies to invest in supporting infrastructure to encourage more sustainable behaviours of employees e.g. transport to and from work, agile working, active travel, waste and recycling and reducing energy consumption. | The timing of the COVID pandemic has significantly disrupted this planned activity and as a result this action was not progressed during quarter 2.  |
|  | ESR/NS002              | Continue to develop a more environmentally sustainable fleet including the use of hybrid and electric vehicles, electrical charge points and expansion of electric bike scheme.  | Due to the onset of Covid-19 and inability to progress this scheme no work has been undertaken in Qtr2. As we move to recovery phase this area of work can be picked up. Electric bikes have been purchased but not yet used as training was scheduled for the week Wales went into lockdown.  |

| Risk | Action Ref             | Action Description   | Commentary  |
|------|------------------------|--|---|
|      | ESR/NS003              | Implement the main road LED lighting scheme with the use of SALIX finance.   | Lanterns, columns and equipment has been ordered but no installation has taken place as yet, this has slipped. However, it is worth noting that originally the Vale of Glamorgan Council allocated 26 weeks for this work, but the appointed Contractor has programmed to complete this work in 14 weeks ensuring we get back on track.   |
|      | ESR/NS004<br>ESR/RP002 | Contribute to enhancing biodiversity and addressing climate change sustainability by implementing the relevant actions contained within the Biodiversity Forward Plan, including the drafting of a Tree Management Strategy and an action plan to manage Ash Dieback.  | Progress has been hindered by COVID-19 and the prioritisation of managing ongoing issues around Ash Die Back.   |
|      | ESR/NS005<br>ESR/RP003 | <p>Improve cycle and pedestrian facilities and revise the Active Travel Integrated Network Maps for the Vale of Glamorgan in accordance with Welsh Government Requirements.</p> <p>Ensure new developments deliver appropriate sustainable travel facilities either via direct provision or through the section 106 process.</p> | During Qtr2 a S106 funding opportunity has been explored to continue Biglis to Dinas Powys Active Travel route and Active Travel Network Map (ATNM) pre-work has commenced (with updating ERM). ATNM available on Vale of Glamorgan website - linked from AT webpage (Find my AT route). There continues to be ongoing promotion of Active Travel via our Social Media channels.  |
|      | ESR/NS008              | Implement the Llanmaes Flood Risk Management Scheme.   | Land negotiations with third party landowners are ongoing via Estates team. No specific agreements over the necessary works have yet been confirmed or formalised but at least one land agent has been appointed. Additional survey and ground investigations were completed in September. Detailed design by AECOM has recommenced following agreement of a new contract and results of ground investigations. The programme is under review, but construction is now programmed to commence in Spring 2021, subject to land negotiations, all necessary consents, including future grant application to Welsh Government. |

| Risk  | Action Ref  | Action Description   | Commentary   |
|---|-------------|--|--|
|   | ESR/SL001   | Work in partnership with colleagues in Neighbourhood Services and Transport and National Resources Wales to review and implement strategies to improve air quality around schools. | Work on this has slipped due to COVID-19. Around 500 trees due this Autumn from the Woodland Trust for our 21st Century school projects.   |
| <b>CR10: Safeguarding</b>                             | SR/RMS001   | Support the full roll out of the Wales Safeguarding Procedures to our workforce.   | Progress during Qtr2 in residential services has slipped due to our ongoing emergency response to COVID concerns. The Digital Medication Administration System is 'on hold' until it is possible to facilitate roll out. Digital learning programme for staff has been rolled out and has been successful.   |
| <b>CR11: Integrated Health and Social Care</b>        | IHSR/AS001  | Extend the GP triaging pilot through effective implementation and evaluation.  | The GP Triage pilot has remained paused during quarter 2, as many resources were diverted to respond to the Pandemic and remain so. However, the project team has been working on other models of care and evaluation of the initial phases, and assisting the cluster in assessing their responses to the pandemic. The pilot will not be re-instated this financial year, but if there is funding available in 2021-22 then a proposal will be submitted for the RPB consideration to further pilot the project. |
|   | IHSR/AS003  | Development of an 'alliance model' within the Vale locality that will enable us to operate more effectively across organisational boundaries.                                      | The Locality Manager post did not become full time in quarter 2, and will remain part-time for some time yet, due to the need to support testing within the Region. However, some progress has been made towards the development of the Alliance model and further progress is planned for quarter 3 to regain some of the momentum lost due to the response to the pandemic.  |
|   | IHSR/AS004  | Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).  | We have been unable to re-commence this project in quarter 2 as envisaged, as the pressures in the system remain. The commitment to re-establish this project remains, however resources have had to be redeployed at present to meet other service pressures, and this prevents the capacity to release staff for engagement workshops and project team to have the space to think innovatively and dedicate the time to this project at this time.   |
|   | IHSR/RMS001 | Implement an outcomes-based approach to commissioning contracting services across both a regional and localised footprint.   | Additional clarification has been required regarding the use of the Individual Client Contract, but the issue is currently being resolved. It is expected this will be completed by the end of October.  |
| <b>CR12: Deprivation of Liberty Safeguards (DoLS)</b> | DOLR/RMS001 | Review current service requirements to assess readiness for legislative changes associated with implementation of the  | Code of Practice to support LPS are still awaited. The COVID-19 pandemic has meant that the Welsh Government has pushed back the original implementation date of Oct 2020 and we are awaiting further information. It has been announced   |



| Risk                | Action Ref  | Action Description  | Commentary   |
|---------------------|---|---|--|
|                     |   | Liberty Protection Safeguards.  | that LPS will now be implemented in April 2022. Work has begun on reviewing team structure and resource and the partnership board meet regular to have a strategic overview.   |
|                     | DOLR/RMS002                                       | Implement, with the advice of Legal Services, the requirements of the Liberty Protection Safeguards (subject to publication of the relevant Code of Practice) | Code of Practice to support Liberty Protection Safeguards are still awaited. The COVID-19 pandemic has meant that WG has pushed back the original implementation date of Oct 2020 and we are awaiting further information. Work has begun on reviewing team structure and resource and the partnership board meet regular to have a strategic overview.  |
| <b>CR13: WCCIS</b>  | WCSR/RMS001                                       | Develop our use of technology to optimise how we contribute to improving the planning and co-ordination of social care services to our citizens.              | Progress in quarter 2 in residential services has been delayed due to our ongoing emergency response to COVID concerns. Digital Medication Administration System 'on hold' until it is possible to facilitate roll out. Digital learning programme for staff has been rolled out and has been successful.  |
| <b>CR14: Brexit</b> | BXR/PB001<br>BXR/FIT001<br>BXR/HR001<br>BXR/SL001 | Support the monitoring and reporting of the Brexit Impact Assessment Action Plan.   | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, limited progress has been made during quarter 2. Some initial work has commenced on reviewing the Council's Brexit Preparedness Plans for individual service areas. Corporate Risk continues to be monitored and the Council has participated in a variety of meetings/workshops run by WG and the WLGA. Grant Thornton have been commissioned by the WLGA to explore the impact of Brexit on trade in Wales. It is intended that this work will be published during the quarter 3 period. The findings from this work along with the current Brexit position will be used to inform a further risk analysis and a refresh of the Brexit Action Plan (aligned to the Risk Management Plan attached to this risk). A refresh of the action plan will be undertaken during quarter3 to ensure that any further preparatory actions are identified in response to emerging issues and can be progressed before the end of the transition period. |
|                     | BXR/RMS001  | Establish a mechanism/tool for monitoring cost pressures in relation to supplies as result of Brexit.   | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, no significant progress has been made during quarter 2. As details of Brexit and implications of trade arrangements become clear, this work will commence in readiness for the end of the transition period.  |
|                     | BXR/NS001   | Assist with the co-ordination of the Council's response to leaving the EU to ensure continuity of services for our citizens.                                  | Our response to the COVID 19 emergency has dominated quarter 2 period. Brexit focused activities will be progressed in the coming months.  |



| Risk   | Action Ref  | Action Description   | Commentary   |
|--|-------------|--|--|
| <b>CR15:<br/>Additional<br/>Learning<br/>Needs (ALN)</b> | ALNR/ALN003 | Support schools in the introduction of Person-Centred Planning (PCP), Individual Development Plans (IDPs) and to further develop Provision Mapping and tracking the progress of pupils with ALN. | The Transformational Lead has worked with Governor Support to keep Governors abreast of ongoing developments for the ALN Act. Regional work on this area is just beginning and further training will be provided.        |
|  | ALNR/ALN004 | Develop a regional approach to increase the ALN provision available to Welsh medium schools to ensure sufficiency of provision.  | No further work has been undertaken on a regional level in relation to this area this term. A meeting with the Regional Transformation Lead was scheduled in October to discuss how this area of work can be progressed. |

## SECTION 7: Risk Scoring Definitions

### Inherent and Residual Risk Scoring

The Inherent Risk defines the risk score in a pre-control environment i.e. what the risk would look like (score) without any controls in place to manage the risk. The Residual Risk can be defined as the subsequent risk score as a consequence of applying controls to mitigate this risk.

Both inherent and residual risks are defined by two variables the Likelihood of the risk occurring and the Possible impact of that risk occurring. The higher the score allocated for the risk the higher the overall risk status.

See matrix below:

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

### Effectiveness of Controls Score

Controls can be scored 0-4 in terms of their effectiveness at controlling risk in terms of likelihood and impact. Zero implies poor control of the risk whereas a four would suggest controls in place are highly effective. This is based on scoring how effective the controls are at reducing a) the likelihood of and b) the impact of the risk. See table below

| 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 |

## RISK REGISTER (SEE ANNEX B)

| <b>Risk</b>  | <b>Appendix</b>    |
|--|--------------------|
| <b>CR1: Reshaping Services</b>                                     | <b>Appendix 1</b>  |
| <b>CR2: Legislative Change &amp; Local Government Reform</b>       | <b>Appendix 2</b>  |
| <b>CR3: School Reorganisation &amp; Investment</b>                 | <b>Appendix 3</b>  |
| <b>CR4: Waste Management</b>                                       | <b>Appendix 4</b>  |
| <b>CR5: Workforce Needs</b>  | <b>Appendix 5</b>  |
| <b>CR6: Information Security</b>                                   | <b>Appendix 6</b>  |
| <b>CR7: Environmental Sustainability</b>                           | <b>Appendix 7</b>  |
| <b>CR8: Welfare Reform</b>   | <b>Appendix 8</b>  |
| <b>CR9: Public Buildings Compliance</b>                            | <b>Appendix 9</b>  |
| <b>CR10: Safeguarding</b>  | <b>Appendix 10</b> |
| <b>CR11: Integrated Health &amp; Social Care</b>                   | <b>Appendix 11</b> |
| <b>CR12: Unauthorised Deprivation of Liberty Safeguards (DoLS)</b> | <b>Appendix 12</b> |
| <b>CR13: Welsh Community Care and Information System (WCCIS)</b>   | <b>Appendix 13</b> |
| <b>CR14: Brexit</b>  | <b>Appendix 14</b> |
| <b>CR15: Additional Learning Needs (ALN)</b>                       | <b>Appendix 15</b> |
| <b>CR16: COVID-19</b>  | <b>Appendix 16</b> |

| 1 – Risk Overview   |                    |  |                   |                    |                                 |  |
|---|--------------------|--|-------------------|--------------------|---------------------------------|--|
| 1.1 Risk Description  |                    | <b>Failure to deliver the Reshaping Services Programme</b> |                   |                    |                                 |  |
| <p>There is a risk that the Council fails to deliver the Reshaping Services Programme and therefore does not utilise alternative methods of service delivery and other approaches to mitigate the impact of financial pressures and demand challenges, thereby resulting in reductions to services significantly impacting their availability and quality.</p> <p>In December 2019, the Welsh Government announced its provisional financial settlement for local government for 2020/21 which outlined provisional budgets for councils across Wales. In the context of previous settlement, the announcement was better than expected with figures indicating a 4.9% increase in Revenue Support Grant funding for the Vale of Glamorgan and that was considered as part of our budget setting process for in 2020/21. The Council has chosen a strategy for the year to make relatively modest levels of savings and as such, the year is to be used to identify transformational change projects reflecting the ambitions within the new Corporate Plan as well as in addressing the financial pressures associated with increasing demands and expectations for services.</p> <p>There is the risk associated with pursuing the Reshaping Services agenda, namely the new skills and capacity required to manage significant change at a time of diminishing resources and using approaches that are relatively new concepts to the Council and its partners.</p> <p>There is also the risk of a judicial review particularly in relation to Reshaping Services agenda where new models of service delivery are developed. This could have both financial and reputational consequences if a judicial review finds our actions to be unlawful.</p> <p>COVID has put council services under enormous pressure which has significantly challenged how we deliver our services and fulfil our statutory roles and functions. Although the pandemic has in part disrupted the delivery of the Reshaping Services agenda, it has fundamentally challenged our outlook on the way in which services are delivered. This has provided us with an opportunity to reflect on the way in which we operate and deliver services to our citizens as we move towards recovery. Critical to this will be the Council’s response to these opportunities and challenges and how the Reshaping Services programme can evolve and adapt to a rapidly changing landscape.</p> |                    |  |                   |                    |                                 |  |
| 1.2 Risk Owner  |                    | <b>Head of Policy and Business Transformation (TB)</b>     |                   |                    |                                 |  |
| 1.3 Impact on our contribution to the Wellbeing Goals   |                    |  |                   |                    |                                 |  |
| A Globally Responsible Wales  | A Prosperous Wales | A Resilient Wales  | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
| No  | Yes                | Yes  | No                | No                 | Yes                             | No   |

| 1.4 Risk Categories                          |        |   |
|--|--------|---|
| Categories                                   | Yes/No | Definition  |
| <b><i>Political &amp; Legislative</i></b>    | Yes    | Failure to continue to provide priority services. Failure to develop new approaches to service delivery which can be sustained in the long term and which are accessible and meet local needs, with clear and cohesive links made with the Wellbeing of Future Generations Act and the developing Local Government Reform agenda.   |
| <b><i>Resources</i></b>                      | Yes    | <p>Projects fail to develop and deliver business cases which meet the Reshaping Services financial savings targets as outlined in the Council's medium-term financial plan.</p> <p>Fail to develop and mobilise sufficient skills and capacity to develop and deliver the Programme and manage new ways of working.</p> <p>Failure to maximise the use of our existing assets and technology to deliver services in a cost effective and efficient way.</p> <p>The pandemic disrupts the Reshaping Services programme delivery and the ability to secure in-year efficiencies and income.</p> <p>Loss of income and the inability to explore further income generation opportunities due to impact of the pandemic.</p>   |
| <b><i>Service Delivery and Wellbeing</i></b> | Yes    | <p>Fail to maximise opportunities to improve service delivery and mitigate the impact of budget reductions via alternative methods of service delivery.</p> <p>Failure to safeguard the well-being of individuals and communities and provide services which meet the diverse needs of the local community. Failure to continue to provide priority services and engage with customers in the provision of services.</p> <p>The programme fails to communicate and engage effectively with service users and partners to identify and deliver the alternative ways of working.</p> <p>The risk that the pandemic significantly disrupts delivery of Reshaping projects.</p> <p>Impact of the coronavirus on demand for services. Failure to respond effectively to the changing policy landscape may impact on our ability to meet the changing needs of our communities and our capacity to deliver services by alternative means.</p> |

| 1.4 Risk Categories |        |  |
|---------------------|--------|--|
| Categories          | Yes/No | Definition   |
| <b>Reputation</b>   | Yes    | Failure to deliver the programme's aim and objectives impact on its reputation with citizens and regulators for the delivery of priority services. |

| 2 – Risk Evaluation                      |                     |                 |                           |
|--|---------------------|-----------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                     |                 |                           |
| Category                                 | Likelihood          | Impact          | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Resources</b>                         | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Service Delivery &amp; Well-being</b> | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Reputation</b>                        | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Overall Inherent Risk Score</b>       | <b>3 (Probable)</b> | <b>3 (High)</b> | <b>9 (Medium/High)</b>    |











| 2.2 Controlling Inherent Risk      |  |                           |              |             |
|------------------------------------|--|---------------------------|--------------|-------------|
| Category                           | Current Controls   | Effectiveness of controls |              |             |
|                                    |  | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>Challenge process in place to identify projects.</li> <li>Mixed economy model approach to Reshaping approved.</li> <li>Mix of service specific and corporate projects that lessen impact on front line services.</li> <li>Risk management processes embedded in project management to identify and mitigate impacts on service users.</li> <li>Programme documentation makes linkages with Well-being of Future Generations Act.</li> </ul> | 2                         | 2            | 4           |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
| <b>Resources</b>                         | <ul style="list-style-type: none"> <li>Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees.</li> <li>Programme board and manager in place, with project team resources considered for each project.</li> <li>Council's Financial Resilience considered good by WAO.</li> <li>Business cases developed for projects and guidance in place.</li> <li>The management development programme has concentrated on the introduction of the core competency and management competency frameworks.</li> <li>Tranche 5 projects have been identified, with savings included in the revenue proposals for the budgets of 2020/21.</li> <li>The Digital Strategy 2017-2020 sets out the strategic direction for the development of services to embrace new digital technologies to improve services whilst reducing costs.</li> <li>Website refreshed Office 365 - roll out across the organisation.</li> <li>A broader review to improve online processes from a customer view has been started. This involves hosting of dedicated digital days with services to identify improvements and potential efficiencies.</li> <li>As part of the Procurement project, Third Party Spend targets have been established for service areas. Guidance has been provided and monitoring arrangements are being put in place.</li> <li>The income generation and commercial opportunities project team and project board continue to identify opportunities for income generation.</li> <li>Delivery of Space project New fee structures and reporting processes are in place for income generating services.</li> </ul> | 3                         | 2            | 6           |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>Business cases consider non-financial implications of any proposed changes.</li> <li>Equality Impact Assessments embedded within the overall programme's management approach.</li> <li>Communications and engagement activities inform project development.</li> </ul>  | 2                         | 2            | 4           |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <ul style="list-style-type: none"> <li>CAT guidance produced and implemented.</li> </ul>   |                           |              |             |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>Risk management contained within project documentation.</li> <li>Regular updates to Cabinet and Programme Teams on status of the programme.</li> <li>Consultation on the Council's budget annually includes questions relating to the approach being taken on Reshaping Services.</li> <li>Programme Teams include representatives of partners (Voluntary Sector and Town &amp; Community Councils)</li> <li>Communications campaign to support the Strong Communities Grant Fund where there is a sound business case for the Council to transfer assets to others.</li> </ul> | 2                         | 2            | 4           |
| <b>Overall Effectiveness of Controls</b> |  | <b>2</b>                  | <b>2</b>     | <b>4</b>    |



## 2.3 Residual Risk Scoring & Direction of Travel

| Category   | Inherent Risk Scores |        |          | Effectiveness of controls Score |        |          | Residual Risk Score |        |                       | Direction of Travel  | Forecast Direction of Travel  |
|--|----------------------|--------|----------|---------------------------------|--------|----------|---------------------|--------|-----------------------|--|---|
|  | Likelihood           | Impact | Total    | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total                 |  |   |
| 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/<br/>direction of travel</b> | 3                    | 3      | <b>9</b> | 2                               | 2      | <b>4</b> | 2                   | 2      | <b>4<br/>(Medium)</b> |  |  |

| Risk Action Ref.                    | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer                          | Completion Date | Status                  |
|-------------------------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|----------------------------------|-----------------|-------------------------|
|                                     |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |                                  |                 |                         |
| RSR/PB001                           | Lead on the development of Tranche 5 of the Council's Reshaping Services programme to ensure that the Council continues to use innovative ways to ensure services are sustainable.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | T Bowring<br>DM<br>ER<br>T Baker | March 2021      | <b>Green (On track)</b> |
| RSR/LD001<br>RSR/NS001<br>RSR/SL001 | Continue to support delivery of the Tranche 5 related projects as part of the Council's Reshaping Service Agenda.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                  |                 |                         |
| <b>ACTION UPDATE:</b>               | <p>The Reshaping Services Programme project portfolio has been agreed in line with the revenue budget. During the quarter, further work was undertaken on the digital strategy including the roll-out of MS365 to further users and using new applications, particularly in support of CV19 responses. Work has continued on the new customer relationship management system, with a series of supplier bootcamps underway to inform the final functional specification. Some work has progressed on income generation, but this has been impacted by the coronavirus pandemic, however, will be refocused further in quarter 3. An audit of the programme by Audit Wales was completed and the draft report is being considered and will be reported to committee and Cabinet in Q3. The development of the Recovery Strategy and Annual Delivery Plan is informing thoughts on the future direction of the Reshaping Services Programme.</p> <p>Legal Services continues to provide advice and support in respect of the Council's reshaping agenda. During Q2 support has been provided to BFCC in respect of the governance arrangements and training for executive and non-executive directors. Advice and support are being provided to the Shared Audit service in respect of proposals for the delivery of services to South Wales Police and the Office of the Police and Crime Commissioner. Its project is in the early stages. Advice provided to the OM Customer Services regarding proposals to deliver customer services and Wales on behalf of TFW (Transport for Wales) (WG).</p> |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                  |                 |                         |

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                         |
|                       | In relation to Neighbourhood Services, a report is due to be presented to Cabinet on 8th October 2020 in respect of the Traffic Regulation orders for the car parks.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| RSR/PB002             | Lead on the 'Connecting Wales' project and how the Contact Centre can provide greater access to services locally and potentially some regional and national services.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TC      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | Further Connecting Wales technology was implemented in Vale of Glamorgan during the period. A Chatbot was implemented to support the Vale Heroes initiative ensuring that residents impacted by Covid19 can self-navigate towards appropriate sources of support on the Councils website. Customer Relations implemented a bilingual web chat service to support customers seeking to access services and information online during the period. A total of 704 web chat interactions were undertaken by the 30 <sup>th</sup> September 2020. Work has commenced on the integration of email during before end of the financial year. The technology available via the platform continued to be developed during the period with a Microsoft Teams integration being developed. Following successful product demonstrations, a proof of concept implementation has been ordered via Shared Resources Services which supports ICT and telephony for Monmouth, Newport, Blaenau Gwent and Torfaen councils. A similar exercise is underway with Rhondda Cynon Taff Council. It is anticipated that commitment will be made to use the technology platform by end of financial year with implementation following. Implementation has commenced for Wrexham Council however this is not due to be completed until February 2021 as a result of significant network upgrades being undertaken. The project is committed to building links with Centre for Digital Public Services in Wales and the work of the new Chief Digital Officer for Local Government during Quarter 3. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| RSR/PB003             | Review the Council's Customer Contact Strategy to maximise the use of digital technology.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TC      | March 2021      | <b>GREEN (On track)</b> |

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                  |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                         |
| <b>ACTION UPDATE:</b> | <p>Work has commenced to review the councils Customer Contact Strategy and has identified a new digital customer platform as key to maximising use of digital technology by our residents. The existing Customer Relationship Management (CRM) platform is based on old technology which has prevented the delivery of a positive online experience for our residents and end to end service transformation because of systems integration issues. This CRM will be out of service support in December 2021 and work is underway to identify what will be required from a replacement. Work to complete a detailed functional specification has been commenced in conjunction with colleagues from across all directorates, however key requirements have been identified as – Cloud hosted solution, No/ Low Code configuration, ease of 2-way integration with third party systems, Customer Account so that customers can report, track and update issues. This functionality will allow the council to maximise online self-service by residents for high volume, low complexity enquiries while freeing up human resources to deal with enquiries that are low volume but high complexity and high risk, where human attributes add value.</p> |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| RSR/AS002             | Explore alternative care and support models to enable us to effectively support our citizens in their communities.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | <p>Due to the COVID-19 restrictions the day centres remain closed, but the day centre staff and day centre attendees/carers are working together to find safe ways to reopen the day centres but at the same time explore new ways to open up day time opportunities within the day centre, in people's homes and utilising community and universal amenities. Due to the restrictions, this is currently limited to phone and video calls and in-home activities, but a recent engagement exercise is being under to inform the re-opening of the day centres.</p> <p>Although, the COVID-19 restrictions have limited our delivery innovative domiciliary care, the 'Your Choice' domiciliary care model continues to be rolled out in Golau Caredig, to ensure all residents move away from time and task care delivery plans to more flexible outcome-focussed care plans. The Social Work reviews have been delayed due to restrictions on face to face meetings but will be reinitiated in quarter 3.</p>   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |

| Risk Action Ref.   | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer                                     | Completion Date | Status                        |
|--|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---|-----------------|-------------------------------|
|  |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |   |                 |                               |
| RSR/FIT001<br>RSR/AS001<br>RSR/RMS001<br>RSR/HS001<br>RSR/RP001<br>RSR/RP002<br>RSR/LD002<br>RSR/SL002<br>RSR/SL003<br>RSR/SL004<br>RSR/FIT006 | Contribute to the delivery of the Digital Employee and Digital Customer workstreams of the Council's Digital Vale programme by exploring the use of technology to transform how council services are delivered.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL<br>SC<br>AP<br>MI<br>MG<br>DM<br>T Baker | March 2021      | <b>Amber (Minor slippage)</b> |
| <b>ACTION UPDATE:</b>  | The focus on the Digital Agenda has continued be a key priority throughout the pandemic and the increasing demands associated with operating services and functions remotely. Within Adult Services, building on the progress made in quarter one, we have continued to progress with telecare installations, and commenced a review of the service in order that we can adapt our offered plans to meet the needs of the customer base. The review will help us to identify the best service model going forward, and is anticipated to be completed by the end of the financial year, with a costing model presented to Cabinet for consideration in the final quarter, with implementation (pending approval) in 2021/2022. The Rapid Response bid for Transformation monies was not successful however, an application has been made to pilot this project utilising Winter funding monies (should this be approved by partner agencies and the Regional Partnership Board). Continued progress with the development of the SeeMe profiles and a meeting planned with the provider in Qtr 3 to consider how this can be further developed. Links made with WG re potential use with people living with dementia. The latter part of this financial year needs to focus on the web pages and how we ensure these are up to date, interactive and useful for citizens. Preliminary discussions have taken place with Customer relations team at C1V re the needs for Adults Services in using digital means and we have requested platforms to increase the ability for paying invoices on-line and also self-referrals. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |   |                 |                               |

| Risk Action Ref. | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status |
|------------------|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|--------|
|                  |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |        |
|                  | <p>However, due to ongoing COVID concerns the implementation Digital Medication administration system in residential care has been put 'on hold' until it is possible to facilitate roll out. A digital learning programme for staff has been rolled out and has been successful.</p> <p>Planning and building control will shortly be commencing a hot desking pilot within the Docks Offices to make best use of our office space and Office 365, particularly during the Pandemic. Within Regeneration and Planning work is underway to bring together databases for Tourism and Town Centres into one overall Evolutive System.</p> <p>Within Housing and Building Services, good progress has been made on developing a digital transformation strategy for housing and building services. The service has engaged with an external consultant to support the production of a service specification. Consultation is due to be undertaken with staff prior to sign off and tender being publicised via Sell2Wales website.</p> <p>Legal Services continues to enhance ways of working through digital means. An increasing volume of data held electronically with reduction in paper files. Continued use of technology for bundling. Improved efficiencies have achieved a reduction in printing and use of resources.</p> <p>All community libraries are now offering a Click and Collect service in the same way as Council libraries. Books are circulated between all libraries via a courier service to supply new stock and requested items as before. The peripatetic library officer has worked with libraries to help start activities where this advice has been needed. Opportunities of online activities have also been circulated to community libraries where these have occurred. The libraries have also been using social media to keep contact with their users and with Council libraries.</p> <p>Within the Learning and Skills Directorate, the One MIS Manager has returned to work and already started to pick-up the back log of report writing. The new MIS Development Officer has made commendable progress developing reports for all Teams; The Wellbeing Team can now use One to produce their Welsh Government return. New Portal Software has been brought in order to support homeworking, develop processes between Schools, LA, Professionals and Families. The Portal is also ALN Act compliant, enabling all SEN data/processes to remain in One.</p> |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |

| Risk Action Ref.   | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |                                     |                                     |                                     | Officer  | Completion Date | Status                        |
|--|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------------------------------|-------------------------------------|-------------------------------------|--|-----------------|-------------------------------|
|  |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement                         | Prevention                          | Long-Term                           |  |                 |                               |
|  | <p>In relation to delivering infrastructure improvements within schools in line with the Welsh Government's Education Digital Agenda, following progress has been made:</p> <ol style="list-style-type: none"> <li>1. Waves 1 -2 (network infrastructure) - 7 schools have now been recalled with Cat6 network cable, these schools have also had new switching and wireless devices installed.</li> <li>2. Wave 3 (Servers) - A High Level Active Directory plan has been established and we are working with Silversands to produce a similar plan for the actual server build i.e. virtualisation and network config etc. Servers will be delivered to Secondary schools by the end of October.</li> <li>3. Wave 4 (Devices) - Apple devices placed in Orders 1 and 2 have been shipped to schools, with the exception of Romilly Primary. Chromebooks will be delivered in November and it is anticipated that Windows devices will be deployed by January 2021. We will be undertaking a pilot of the Hwb InTune offering to manage devices in 7 Primary Schools.</li> <li>4. Wave 5 (Teaching &amp; Learning Tools) - WG have produced a draft guidance document and we expect these devices to be available from January 2021.</li> </ol> |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |  |                 |                               |
| RSR/FIT002<br>RSR/RMS002<br>RSR/LD003<br>RSR/NS002<br>RSR/NS003<br>RSR/RP003<br>RSR/SL005<br>RSR/SL006 | Maximise opportunities to support income generation and commercial opportunities.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL<br>AP<br>DM<br>ER<br>ER<br>MG<br>T Baker<br>T Baker | March 2021      | <b>Amber (Minor slippage)</b> |

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working |               |                                     |                                     |                                     | Officer | Completion Date | Status               |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|------------------------------------|---------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|----------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                        | Collaboration | Involvement                         | Prevention                          | Long-Term                           |         |                 |                      |
| <b>ACTION PLAN:</b>   | <p>Although some work around income generation has been delayed due to the ongoing Pandemic, there has been some good notable progress across service areas as follows:</p> <p>Neighbourhood services continues to secure income from enforcement, inspections and sponsorship. In relation to sponsorship work remains ongoing with the legal team regarding current contracts for roundabouts. The service has places signs on roundabouts for advertising purposes and have put out initial expressions of interest. Once legal confirmation has been received, the service will approach those companies that have shown interest. The design of the vehicles is underway. Enforcement inspections have restarted, and two new officers have been appointed who will commence in post during October 2020.</p> <p>A Car Parking- Guiding Principles and Charges policy was agreed by Cabinet at its meeting on 23rd March 2020 and the TRO's required to introduce parking charges has been progressed with an objection report due to be considered by Cabinet in October 2020. Subject to the outcome of this Cabinet report Parking charges will be introduced by 1st April 2021 unless the covid-19 restrictions are still in place, in which case charges will not be implemented until the Local Restrictions have been lifted.</p> <p>Within Regeneration and Planning, the service continues on reshaping services in light of reducing budgets and the need to deliver quality services to customers. Focus will continue to be on raising additional income through services such as advertising and consultancy work.</p> |                                     |                                     |                                     |                                     |                                    |               |                                     |                                     |                                     |         |                 |                      |
| RSR/FIT003            | Engage with Vale of Glamorgan citizens on budget issues to inform the Council's budget and Reshaping Services Strategy priorities for 2021/22.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                    |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL      | March 2021      | <b>RED (Slipped)</b> |
| <b>ACTION UPDATE:</b> | Due to reprioritisation of resources during the COVID crisis, this work has been rescheduled to be undertaken during the Autumn.   |                                     |                                     |                                     |                                     |                                    |               |                                     |                                     |                                     |         |                 |                      |



| Risk Action Ref.            | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |                                     |                                     |                                     | Officer      | Completion Date | Status                 |
|-----------------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------------------------------|-------------------------------------|-------------------------------------|--------------|-----------------|------------------------|
|                             |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement                         | Prevention                          | Long-Term                           |              |                 |                        |
| RSR/FIT004<br><br>RSR/RP004 | Support delivery of the Assets workstream of the Council's Reshaping Services Programme by working with council services to optimise use of their property assets and where appropriate progress the disposal of surplus or inefficient assets.<br><br>Work with colleagues in Estates and Legal Services to develop the Area Based Asset Review Group and identify commercial opportunities from Council land and assets.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL<br><br>MG | March 2021      | Amber (Minor slippage) |
| <b>ACTION UPDATE:</b>       | A tenant has been found for South lodge and contractual negotiations are ongoing and planning permission has been submitted. The next phase of office accommodation review is being undertaken with accommodation pilots being progressed in each of the main office buildings. The Western Vale Integrated Children's Centre lease to Glamorgan Voluntary Service is being progressed and is set to complete during quarter3. Other CAT applications are still in the early stages of consideration. |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |              |                 |                        |
| RSR/FIT005                  | Lead on embedding the Council's approach to sustainable procurement by working with services to ensure a consistent approach to applying the WCFG Act to our procurement activities.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL           | March 2021      | RED (Slipped)          |
| <b>ACTION UPDATE:</b>       | This work has been initially delayed due to COVID. Work has now commenced on reviewing practices within services.   |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |              |                 |                        |

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| RSR/HR001             | Continue to support organisational-wide change as part of the next stage of the Council's Reshaping Services programme including any HR issues that may arise.<br><br><i>Milestone Action: Support delivery of the Council's Reshaping Services programme by providing bespoke support to managers on specific reshaping projects throughout 2020/21 with an emphasis on managing change.</i> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD      | March 2021      | RED (Slipped)    |
| <b>ACTION UPDATE:</b> | Work has stalled as a result of COVID-19. Work will commence later this year.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| RSR/SRS001            | Formulate the next three-year financial programme (2021-2024) with all three partner Councils.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DH      | March 2021      | Red (Slipped)    |
| <b>ACTION UPDATE:</b> | Current budget preparations have not advanced across the 3 areas due to the current demands placed on local authorities as a result of the Covid-19 pandemic, Given the integral role SRS plays in terms of Track Trace Protect and enforcement of Covid Regs it is unlikely that the service will see a reduction in funding.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| RSR/SRS002            | Build on initiatives such as the Noise app, to ensure that future funding reductions can be mitigated by innovation and   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |                                     |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DH      | March 2021      | Green (On Track) |

| Risk Action Ref.      | Action  | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status |
|-----------------------|---|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|--------|
|                       |   | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |        |
|                       | transformation in service delivery and that environmental health services are able to benefit from new technologies.  |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |
| <b>ACTION UPDATE:</b> | Following consultation with ICT Working Group members during Qtr 2, a specification list is currently being prepared with a view to requesting ICT to source and cost a suitable device to facilitate mobile working within the service. Once this has been obtained, a report will be prepared for consideration by SMT. |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |

Return to Risk Summary Report

1 – Risk Overview

1.1 Risk Description

This risk focuses on how we respond to new and emerging legislative requirements, particularly where the nature of the legislation is cross-cutting in terms of the impact it has on a variety of service areas. There is the risk that there is a failure to be able to effectively co-ordinate the implementation of significant legislative change across the breadth of Council services/functions. This applies to key pieces of legislation such as the Social Services and Well-being Act and the Local Government & Elections Bill.

The Social Services and Well-being Act also came into force in April 2016; it places an emphasis on:

- **Voice and control**-putting the individual and their needs at the centre of their care and giving them a voice and control to define their outcomes and achieve wellbeing.
- **Prevention and early intervention**-increasing preventative services within communities to reduce the need for more intensive intervention.
- **Wellbeing**-is about supporting people to identify outcomes and supporting them to achieve their own wellbeing.
- **Co-production**-involves encouraging people to become involved in the design and delivery of services with a focus on alternative delivery models and using social enterprises, co-operatives, user-led services and the voluntary sector.

This work is being undertaken at both a local and regional level, driven through the Cardiff and Vale Integrated Health and Social Care Partnership Board. The risk can be defined as the non-compliance with requirements of the Act by failing to improve the wellbeing of people and their carers who need care and support as well as the failure to effectively transform service delivery across social services in line with the Act.

There continues to be a risk in relation to the new Local Government and Elections Bill in terms of reforming Local Government. The Bill sets out a series of provisions, including:

- The reforming of electoral arrangements for local government
- A general power of competence for principal councils and eligible community councils
- Reforming public participation in local democracy
- The leadership of principal councils, including to encourage greater diversity amongst executive members and establishing a statutory position of chief executive
- The development of a framework and powers to facilitate more consistent and coherent regional working mechanisms through the establishment of Corporate Joint Committees (instigated either by two principal councils or by Welsh Ministers)
- A new system for performance management and governance based on self-assessment and peer review, including the consolidation of the Welsh Ministers' support and intervention powers
- Powers to facilitate voluntary mergers of principal councils and restructuring a principal area

|  |   |                          |                          |                           |  |   |
|--|---|--------------------------|--------------------------|---------------------------|--|---|
|  | <ul style="list-style-type: none"> <li>Local government finance including non-domestic rating and council tax</li> </ul> <p>As a result of the pandemic, Stage 2 scrutiny of the Local Government and Elections (Wales) Bill (the Bill) has been suspended by Welsh Government. It is anticipated that scrutiny of the Bill will resume in October 2020. The WLGA has recommended option 2. The Council will need to track the decisions by the Welsh Government and respond accordingly.</p> |                          |                          |                           |  |   |
| <b>1.2 Risk Owner</b>  | <b>Senior Leadership Team</b>   |                          |                          |                           |  |   |
| <b>1.3 Impact on our contribution to the Wellbeing Goals</b> |   |                          |                          |                           |  |   |
| <b>A Globally Responsible Wales</b>                          | <b>A Prosperous Wales</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 and Thriving Welsh Language</b> |
| Yes  | Yes   | Yes                      | Yes                      | Yes                       | Yes                                    | Yes   |

| 1.4 Risk Categories                |        |  |
|------------------------------------|--------|--|
| Categories                         | Yes/No | Definition   |
| <b>Political &amp; Legislative</b> | Yes    | <p>Political and legislative repercussions of failing to meet the requirements of the Social Services Wellbeing Act and the Local Government and Elections Bill could lead to litigation, fines and/or political instability.</p> <p>Failure to respond appropriately to the changes required by the Local Government &amp; Elections Bill regarding public participation, performance management and leadership of Councils.</p> <p>Failure to use the General Power of Competency introduced by the Local Government &amp; Elections Bill appropriately and/or to make use of opportunities arising from this provision.</p> <p>The pandemic brings with it an increased risk of challenge and the potential for litigation.</p> |
| <b>Resources</b>                   | Yes    | <p>Insufficient funding to ensure that we can meet our legislative requirements associated with the Social Services Wellbeing Act and the Local Government and Elections Bill.</p> <p>The financial management of responding to and resourcing across a breadth of services and developing adequate arrangements for managing these aspects will be key.</p>   |

| 1.4 Risk Categories                          |        |   |
|--|--------|---|
| Categories                                   | Yes/No | Definition  |
|  |        | <p>Failure to effectively engage and mobilise our resources to effectively meet and deliver requirements associated with Social Services Wellbeing Act and the Local Government and Elections Bill. This is applicable in light of COVID, which impacted on both our function and capacity.</p> <p>At a time when our resources have been diverted and repurposed to business-critical areas in response to coronavirus, there is a risk that this could impact on our ability to have capacity to put in place appropriate preparations for new legislative requirements. e.g. Local Government and Elections Bill.</p> <p>Resource capacity to meet requirements of the Social Services and Well-being Wales Act at a time when our have been redirected to business-critical services.</p>   |
| <b><i>Service Delivery and Wellbeing</i></b> | Yes    | <p>There is a risk that in failing to deliver the requirements of the and the Social Services Wellbeing Act, that the wellbeing of our residents/service users will be negatively impacted and that our services do not meet the basic needs of our communities.</p> <p>Given the duty placed on the Local Authority for increased citizen engagement within the Social Services and Well-being Act, there is a risk if this work is not joined up then citizens will be repeatedly surveyed, and consultation exercises may lose their value through survey/consultation fatigue. COVID has limited our ability and capacity to undertake our full range of engagement work with citizens as face to face contacts in the form of focus groups and interviews have now stopped. Although online survey work can be undertaken resources have been repurposed to business-critical areas where the focus is on business continuity.</p> <p>Risk in delivering major change associated with legislative change, service delivery as 'business as usual' is not prioritised, negatively impacting on our residents or mandated arrangements for regional working are not appropriate.</p> |
| <b><i>Reputation</i></b>                     | Yes    | <p>Failure to communicate effectively could undermine the trust of employees, external stakeholders and our customers and poorly orchestrated delivery of organisational changes associated with legislative change.</p> <p>Loss of confidence and trust by the public as a consequence of a failing to meet our constitutional and legislative obligations and</p>   |

| 1.4 Risk Categories |        |  |
|---------------------|--------|--|
| Categories          | Yes/No | Definition   |
|                     |        | the associated negative publicity. Lack of credibility and potential criticism from our external regulators. |

## 2 – Risk Evaluation [Does not include the LG&E Bill and does include the ALN]

### 2.1 Inherent Risk Scoring

| Category                                 | Likelihood                | Impact          | Total Inherent Risk Score |
|--|---------------------------|-----------------|---------------------------|
| <b>Political &amp; Legislative</b>       | 3 (Probable)              | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Resources</b>                         | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>          |
| <b>Service Delivery &amp; Well-being</b> | 3 (Probable)              | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Reputation</b>                        | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>          |
| <b>Overall Inherent Risk Score</b>       | <b>4 (Almost certain)</b> | <b>3 (High)</b> | <b>12 (High)</b>          |

### 2.2 Controlling Inherent Risk

| Category                           | • Current Controls   | Effectiveness of controls |              |             |
|------------------------------------|--|---------------------------|--------------|-------------|
|                                    |  | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments relating to legislative change.</li> <li>Attendance at WLGA Heads of Policy Network meetings.</li> <li>Work stream groups for the implementation of the Social Services Wellbeing Act are fully operational.</li> </ul> | 2                         | 2            | 4           |
| <b>Resources</b>                   | <ul style="list-style-type: none"> <li>Training programme to support staff to meet the requirements of the Social Services Well-being (Wales) Act has been embedded.</li> <li>Continue to support the ongoing development of the DEWIS information portal.</li> </ul>  | 2                         | 1            | 2           |

| 2.2 Controlling Inherent Risk            |   |                           |              |             |
|--|---|---------------------------|--------------|-------------|
| Category                                 | <ul style="list-style-type: none"> <li>Current Controls</li> </ul>  | Effectiveness of controls |              |             |
|  |   | Likelihood Score          | Impact score | Total Score |
|  | <ul style="list-style-type: none"> <li>Budget setting process includes considerations of cost pressures arising from legislative change.</li> <li>Worked with the Regional Partnership board to produce a Population Needs Assessment. In response to the Needs Assessment an Area Plan has been developed and consulted on.</li> <li>Agreement for a pooled budget for older person's care home placements across the three statutory partners has been put in place and is operational.</li> <li>Funding for a number of small 3rd sector community groups funded via Delivering Transformation Grant has been approved in relation to the Social Services and Well-being (Wales) Act.</li> <li>Regional Commissioning Board continues to meet on a monthly basis to discuss fee setting and to identify areas of joint working in social care.</li> <li>The Regional Coordinator for Sustainable Social Services continues to represent the region on the Quantitative Writing group, providing technical expertise and developing new requirements for the quantitative data and accompanying guidance.</li> <li>The Council's Annual Report format is under ongoing review and refinement to further strengthen how we report our performance as a Council with the proposed changes associated with the Local Government and Elections Bill in mind.</li> <li>Contributing to the development of national guidance to accompany the changes required by the Bill to the performance framework for local authorities.</li> </ul> |                           |              |             |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>Implementation of the Social Services Wellbeing (Wales) Act Action Plan.</li> <li>Continue to pursue collaborative opportunities with partners in neighbouring organisations.</li> <li>We have developed and agreed a new 5-year Corporate Plan that sets out our vision of 'Working together for a Brighter Future'. The Plan sets out</li> </ul>   | 2                         | 1            | 2           |



| 2.2 Controlling Inherent Risk |  |                           |              |             |
|-------------------------------|--|---------------------------|--------------|-------------|
| Category                      | <ul style="list-style-type: none"> <li>Current Controls</li> </ul>   | Effectiveness of controls |              |             |
|                               |  | Likelihood Score          | Impact score | Total Score |
|                               | <p>four new Well-being Objectives and how it will contribute to delivery of the Well-being Goals.</p> <ul style="list-style-type: none"> <li>Continue to promote the use of Dewis at local events and key access points in the community, and are also using social media to advertise it to the general public, with 'Wellbeing Wednesday' tweets going out via Cardiff and the Vale Twitter platforms, targeted Facebook Ads being trialled, and Dewis adverts now on a number of GP screens across the region.</li> <li>Implemented new assessment processes to ensure compliance with the requirements of the Social Services Wellbeing Act.</li> <li>Processes at the Customer Contact Centre to support the provision of an Advice and Assistance Line have been reviewed and updated. There is also ongoing review of our Quality Assurance and Performance Management procedures that is now business as usual.</li> <li>The Welsh Community Care and Information System is fully embedded within Social Services to enable the safe sharing of information and deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act.</li> <li>We have successfully implemented transition services underpinned by a Transition Protocol, which supports best practice across agencies.</li> <li>The Social Value Forum is in place and being supported through the Integrated Health and Social Care Partnership. This Forum will develop in maturity and is expected to shape future service delivery through working with statutory partners to meet the needs of the Citizens of the Region.</li> <li>The Council's Duty to Report Safeguarding Concerns procedure is fully embedded to provide employees</li> </ul> |                           |              |             |

| 2.2 Controlling Inherent Risk |   |                           |              |             |
|-------------------------------|---|---------------------------|--------------|-------------|
| Category                      | <ul style="list-style-type: none"> <li>Current Controls</li> </ul>  | Effectiveness of controls |              |             |
|                               |   | Likelihood Score          | Impact score | Total Score |
|                               | <p>with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V.</p> <ul style="list-style-type: none"> <li>We have commissioned a Direct Family Support service to provide contact and support for children with additional needs and their families.</li> <li>A Continuing Health Care Draft Policy has been endorsed by all key partners to improve transparency of the process as it relates to children and young people.</li> <li>An action plan has been developed to improve the clarity definitions and terminology used by Contact Centre staff and professionals in relation the IAA model. This action plan will be monitored by the 'Wellbeing Matters' Steering group.</li> <li>The provision of relevant and timely Information, Advice and Assistance is central to a well performing Social services Intake Team. Wellbeing Officers are now in post and developing the skills and knowledge to offer appropriate Information at the first point of contacts. Where necessary the Wellbeing Officers link with the newly appointed Wellbeing Visiting Officers (Transformation Grant Funded) to undertake proportionate assessments to provide Advice and Assistance.</li> <li>In line with the SSWA, Children and Young People Services have maximised their use of digital platforms to enhance their reach and engagement with and for children and young people and their families.</li> </ul> |                           |              |             |
| <b>Reputation</b>             | <ul style="list-style-type: none"> <li>Comprehensive consultation and engagement via the 'Let's Talk' campaign with citizens in order to inform the production of a Population Needs Assessment in relation to the Social Services Wellbeing Act and the development of the Wellbeing Assessment/Well-being Plan as part of</li> </ul>  | 2                         | 1            | 2           |

| 2.2 Controlling Inherent Risk                  |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                       | • Current Controls                       | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | the Wellbeing of Future Generations Act. |                           |              |             |
| <b>Overall Effectiveness of Controls Score</b> |  | <b>2</b>                  | <b>1</b>     | <b>2</b>    |

**2.3 Residual Risk Scoring & Direction of Travel Does not include the LG&E Bill and does include the ALN]**

| Category   | Inherent Risk Scores |        |       | Effectiveness of controls Score |        |       | Residual Risk Score |        |                   | Direction of Travel | Forecast Direction of Travel |
|--|----------------------|--------|-------|---------------------------------|--------|-------|---------------------|--------|-------------------|---------------------|------------------------------|
|  | Likelihood           | Impact | Total | Likelihood                      | Impact | Total | Likelihood          | Impact | Total             |                     |                              |
| Political & Legislative                            | 3                    | 3      | 9     | 2                               | 2      | 4     | 2                   | 2      | 4                 |                     |                              |
| Resources  | 4                    | 3      | 12    | 2                               | 1      | 2     | 2                   | 3      | 6                 |                     |                              |
| Service Delivery & Well-being                      | 3                    | 3      | 9     | 2                               | 1      | 2     | 2                   | 3      | 6                 |                     |                              |
| Reputation   | 4                    | 3      | 12    | 2                               | 1      | 2     | 2                   | 3      | 6                 |                     |                              |
| <b>Average risk score/<br/>direction of travel</b> | 4                    | 3      | 12    | 2                               | 1      | 2     | 2                   | 3      | <b>6 (Medium)</b> |                     |                              |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.                           | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|--|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|  |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| LCR/PB001                                  | Introduce and promote a refreshed performance and risk reporting framework to support the implementation of the new Corporate Plan 2020-25 and the changes associated with the Local Government and Elections (Wales) Bill.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |                                     |                                     | <input checked="" type="checkbox"/> | TB      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b>                      | The new Performance Management Framework and reporting format to support the monitoring requirements of the Corporate Plan continues to be embedded during quarter 2. The reporting of the singular report via Scrutiny Committees in the previous quarter has been warmly welcomed and quarter 2 will see this new style of reporting being complemented by a presentation that enables emerging performance issues to be explored in more detail and considered in a more holistic way. A review of the risk reporting framework (Risk Strategy) is due to be undertaken later this year to reflect recommendations arising from an Internal Audit review of risk, the new Corporate Plan and any requirements arising from the Local Government and Elections (Wales) Bill. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| IHSR/AS004<br>Linked to Integrated Health) | Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC      | March 2021      | RED (Slipped)    |
| <b>ACTION UPDATE:</b>                      | We have been unable to re-commence this project in Qtr 2 as envisaged, as the pressures associated with the Pandemic remain. The commitment to re-establish this project remains, however resources have had to be redeployed at present to meet other service pressures, and this prevents the capacity to release staff for engagement workshops and project team to have the space to think innovatively and dedicate the time to this project at this time.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|---|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |   |
| LCR/CS001             | Explore opportunities to maximise our use of digital platforms to enhance our reach and engagement with and for children and young people and their families. (in line with the Social Services and Well-being Act)  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | RE      | March 2021      | <b>GREEN (Completed)</b><br>Action completed and will be reflected as a control in the Register |
| <b>ACTION UPDATE:</b> | This exploration has progressed more quickly despite the circumstances surrounding the pandemic. We are now using a range of virtual platforms to engage with children and families across the Division. The platforms have been reviewed and refined based on our six-month experience of using them. We have invested in technology for staff to support use of these platforms. A process for partially face to face/partially remote CPCs has also been agreed for implementation. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |   |
| LCR/CS002             | Scope and implement a strength-based model for working co-productively with children and their families. (in line with the Social Services and Well-being Act)   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | RE      | March 2021      | <b>GREEN (On track)</b>   |
| <b>ACTION UPDATE:</b> | Scoping complete, development and implementation slightly delayed due to COVID-19. Approach and model drafted. Implementation plan about to be drafted and commenced.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |   |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| LCR/CS003             | Work with partners to deliver the Corporate Strategy for children who need care and support. (in line with the Social Services and Well-being Act)   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | RE      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | The Corporate Strategy Management Group met during Q2 to review progress against the action plan. Pleasingly progress remains on track and partners continue to work effectively to deliver on our agreed priorities.                                    |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| LCR/FIT001            | Establish a Corporate Governance & Audit Committee to review the Council's response to self-assessment, peer assessment and combined assessment and governance reviews in line with the requirements of the Local Government and Elections (Wales) Bill. | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL      | March 2020      | RED (Slipped)    |
| <b>ACTION UPDATE:</b> | Delayed by COVID. Awaiting further information from Welsh Government. Internal meetings to be held week commencing 12 <sup>th</sup> October to agree way forward.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| LCR/LD001             | Undertake a Funding Assessment and allocation to deliver legislative changes.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> |                                     |                                     |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DM      | March 2021      | Red (Slipped)    |
| <b>ACTION UPDATE:</b> | This action will be addressed during 2020/21 as the department makes the transition to recovery following the easing of the COVID-19 restrictions.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| LCR/LD002             | Review the work flowing from Local Government and Elections (Wales) Bill to enable electoral reform and ensure a robust governance framework.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |               |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DM      | March 2021      | Green (On Track) |
| <b>ACTION UPDATE:</b> | The Local Government and Elections (Wales) Bill, stage 2 proceedings have concluded, and a Stage 3 plenary debate will take place on 10 November 2020. The service will continue to maintain a watching brief on the Bill's progress to inform internal preparations/developments. |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |         |                 |                  |
| LCR/RP001             | Minimise impact of Local Government Bill and Planning Law Consolidation Bill on service delivery.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MG      | March 2021      | Green (On Track) |
| <b>ACTION UPDATE:</b> | Council will continue to respond to consultations as and when received from Welsh Government.  |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |         |                 |                  |



Return to Risk Summary Report

| 1 – Risk Overview    |   |
|----------------------|---|
| 1.1 Risk Description | <p>This risk encompasses funding key priorities set out in the 21<sup>st</sup> Century Schools Investment Programme as well as smaller scale asset renewal schemes. It also includes school reorganisation as the reduction of surplus places and condition of school buildings are the primary criteria for securing 21<sup>st</sup> Century Schools grant funding. We anticipate further demand for school places emerging as a result of new and expanding housing developments. Whilst the requirement for increased capacity in certain areas has been identified, in many cases there will be insufficient s106 funding to cover costs placing increased pressure on available funding.</p> <p>There is a risk associated with securing the necessary capital required to fund major investment projects as well as addressing building conditions across all Vale schools. The lack of available funding to address all requirements will result in buildings deteriorating further giving rise to risks associated with health and safety, DDA, business continuity and sustainability.</p> <p>Failure to establish sufficient Welsh medium places in both the primary and secondary sector would impact on the Vale’s ability in contributing to the Welsh Governments plan of one million Welsh speakers by 2050, and commitments required as part of the Council’s Welsh in Education Strategic Plan and could directly impact on the Vale’s ability to secure 21<sup>st</sup> century schools funding in the future.</p> <p>The COVID-19 pandemic has significantly disrupted education and learning at all levels. In turn it has the potential to impact/delay our ability to deliver some aspects of the 21<sup>st</sup> Century Schools Investment Programme into the short term if ‘lockdown restrictions need to be reinstated in response to any potential future waves of the pandemic.</p> |

|                |  |
|----------------|--|
| 1.2 Risk Owner | <b>Head of Strategy, Community Learning and Resources (TB)</b> |
|----------------|--|

| 1.3 Impact on our contribution to the Wellbeing Goals |                    |                   |                   |                    |                                 |  |
|---|--------------------|-------------------|-------------------|--------------------|---------------------------------|--|
| A Globally Responsible Wales                          | A Prosperous Wales | A Resilient Wales | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
| No  | Yes                | No                | No                | Yes                | No                              | Yes  |

| 1.4 Risk Categories                |        |  |
|------------------------------------|--------|--|
| Categories                         | Yes/No | Definition   |
| <b>Political &amp; Legislative</b> | Yes    | Inability to meet Welsh Government guidance by failing to retain no more than 10% surplus places. Failure to improve the quality of buildings to make them safer and more accessible, resulting in |

| 1.4 Risk Categories                   |        |   |
|---------------------------------------|--------|---|
| Categories                            | Yes/No | Definition  |
|                                       |        | <p>a breach of our duties under the Health and Safety Act Disability Discrimination Act.</p> <p>The Council could fail to meet the statutory requirement to meet the demand for Welsh medium school places and the need to meet the Welsh Government commitment for one million Welsh speakers by 2050.</p>   |
| <b>Resources</b>                      | Yes    | <p>Failure to deliver the programme in line with plans approved by Welsh Government could impact on the Council's success in securing grant funding in future bands of the 21<sup>st</sup> Century Schools Programme. There is the concern that COVID-19 could further compound this risk, if lockdown restrictions need to be reinstated in the short to medium-term in response to any potential future resurgence of the disease. This could impact on the ability to secure funding and jeopardise delivery of the School Investment Programme.</p> <p>There is the risk that insufficient s106 money will impact on our ability to secure sufficient places in schools where there is the highest demand for places.</p> <p>The Council's success in securing capital receipts is critical to the delivery of the programme. Failure to generate capital receipts would result in increased prudential borrowing, the cost of which would fall to be met from the education revenue account at a time when services will be required to identify substantial savings as a result of reductions to the Council's aggregate external financing.</p> <p>Failing to reduce surplus places through investment impacts on effective resource management in schools.</p> <p>Insufficient funds to carry out prioritised asset renewal schemes impacts on health and safety.</p> <p>A requirement of 21<sup>st</sup> Century Schools is that all grant funded schemes should meet BREEAM Excellent which addresses wide-ranging environmental and sustainability issues. Failure to deliver schemes would impact adversely on a range of factors including energy efficiency, carbon emissions, minimising waste and improvements to community involvement and social inclusion.</p> |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>Failure to implement an appropriate school reorganisation programme as a result of not achieving our surplus place target. Impact of new housing developments is likely to place a significant pressure on school place planning. Insufficient capital funding for building works could lead to further deterioration</p>  |

| 1.4 Risk Categories |        |  |
|---------------------|--------|--|
| Categories          | Yes/No | Definition   |
|                     |        | <p>resulting in implications for health and safety. Funding for adaptations to schools under Disability Discrimination Act is limited and could result in a pupil not being able to attend the school of choice or not being able to access facilities used by other pupils.</p> <p>Failure to meet demand for Welsh medium education.</p> <p>Impact of a poor learning environment on a pupil's learning experience if we fail to meet the 21<sup>st</sup> Century Schools standard.</p> <p>COVID-19 has the potential to impact/delay our ability to deliver some aspects of the 21<sup>st</sup> Century Schools Investment Programme into the short term if 'lockdown restrictions need to be reinstated in response to any potential future waves of the pandemic.</p> |
| <b>Reputation</b>   | Yes    | <p>Failing to provide the right type and number of school places in the right areas could result in the Council being in breach of statutory requirements which would impact on its reputation. Similarly, closure of schools as a result of building failure would attract negative publicity and criticism from the community and regulators.</p>  |

| 2 – Risk Evaluation                      |                     |                        |                           |
|--|---------------------|------------------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                     |                        |                           |
| Category                                 | Likelihood          | Impact                 | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 3 (Probable)        | 4 (Catastrophic)       | <b>12 (High)</b>          |
| <b>Resources</b>                         | 3 (Probable)        | 4 (Catastrophic)       | <b>12 (High)</b>          |
| <b>Service Delivery &amp; Well-being</b> | 3 (Probable)        | 4(Catastrophic)        | <b>12 (High)</b>          |
| <b>Reputation</b>                        | 3 (Probable)        | 4 (Catastrophic)       | <b>12 (High)</b>          |
| <b>Overall Inherent Risk Score</b>       | <b>3 (Probable)</b> | <b>4(Catastrophic)</b> | <b>12 (High)</b>          |

| 2.2 Controlling Inherent Risk      |   |                           |              |             |
|------------------------------------|---|---------------------------|--------------|-------------|
| Category                           | Current Controls  | Effectiveness of controls |              |             |
|                                    |   | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>Awareness raising session held with members, Insight board and CMT on the issues associated with the 21<sup>st</sup> Century Schools Programme with the need to release funding through the rationalisation of places and the need to generate capital receipts.</li> <li>Comprehensive governance structures in place to effectively monitor and manage delivery of the programme such as Programme Officers and a Programme Board including the Strategic Investment Programme Chief Officers Group (strategic), the Strategic Investment Project Board (operational) and engagement with Welsh Governments Gateway Review programme to identify opportunities and risks with key stakeholders .</li> <li>Strategy to support Welsh medium education, Welsh language promotion and contribute to Welsh Governments target of one million Welsh speakers by 2050 through the Council's Welsh in Education Strategic Plan (WESP).</li> </ul> | 2                         | 2            | 4           |
| <b>Resources</b>                   | <ul style="list-style-type: none"> <li>Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme.</li> <li>Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects.</li> <li>We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements.</li> <li>A revised programme of SIP projects for Band B projects has been approved by Cabinet and Strategic Outline Programme submitted to Welsh Government. All business cases for 2018/19 have been undertaken for approved Band B projects.</li> <li>The new staffing structures and their implementation for both new schools have now been completed and all</li> </ul>  | 2                         | 2            | 4           |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <p>arrangements are firmly on track for a successful opening in Quarter 2.</p> <ul style="list-style-type: none"> <li>Data relating to new housing developments is now available and being used to modelling options for school place planning.</li> <li>A preferred alternative site for Pupil Referral Unit (PRU) has been identified subject to consultation.</li> <li>Welsh Government approved the Vale WESP Action Tracker</li> <li>Gained final approval for Barry Secondary Learning business cases (FBCs) and construction has commenced.</li> <li>Being bilingual web page available on website with information on Welsh medium education and access to the Welsh Medium Education Survey for completion.</li> <li>A proposal has been established to address English and Welsh medium primary education in Cowbridge (Western Vale). A phased approach is being proposed with English medium being addressed as part of phase 1 and Welsh medium being addressed as part of phase 2. This proposal was considered by Cabinet on the 4<sup>th</sup> November 2019. Proposals for Penarth are subject to planning permission being granted for the Cosmeston development.</li> </ul> |                           |              |             |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>Actively participate in the Council's Carbon Management Group.</li> <li>Work closely with the Planning Officers to identify potential educational demand as a result of new housing developments in order to maximise S106 funding.</li> <li>Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school).</li> <li>Colcot Primary School Barry – Refurbishment (fully funded by Local Authority)</li> <li>Romilly Primary School, Barry – new foundation phase block. (Band A)</li> <li>New 60 place part-time Fairfield Nursery opened.</li> </ul>   | 2                         | 2            | 4           |

| <b>2.2 Controlling Inherent Risk</b>     |   |                                  |                     |                    |
|--|---|----------------------------------|---------------------|--------------------|
| <b>Category</b>                          | <b>Current Controls</b>   | <b>Effectiveness of controls</b> |                     |                    |
|  |   | <b>Likelihood Score</b>          | <b>Impact score</b> | <b>Total Score</b> |
|  | <ul style="list-style-type: none"> <li>Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now open and operating successfully.</li> <li>School Development needs assessments will continue to inform the new school modernisation programme. This work will require liaison between School Organisation and the newly established 21st Century Schools team looking at need as it relates to place planning up to 2026.</li> <li>New admission arrangements for 2020/21 has now been concluded and approved by Cabinet and proposals for 2021/22 are currently being formulated.</li> <li>Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report.</li> </ul> |                                  |                     |                    |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>Survey demand for school places in line with the Council's Welsh Education Strategic Plan.</li> <li>Periodic review rolling 25 year plan for schools asset renewal.</li> <li>Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity.</li> <li>Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes.</li> </ul>  | 2                                | 2                   | 4                  |
| <b>Overall Effectiveness of Controls</b> |   | <b>2</b>                         | <b>2</b>            | <b>4</b>           |

| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |           |                                 |        |          |                     |        |                   |   |   |
|--|----------------------|--------|-----------|---------------------------------|--------|----------|---------------------|--------|-------------------|---|---|
|  | Inherent Risk Scores |        |           | Effectiveness of controls Score |        |          | Residual Risk Score |        |                   | Direction of Travel   | Forecast Direction of Travel  |
| Category   | Likelihood           | Impact | Total     | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total             |   |   |
| Political & Legislative                            | 3                    | 4      | 12        | 2                               | 2      | 4        | 2                   | 2      | 4                 |    |    |
| Resources  | 3                    | 4      | 12        | 2                               | 2      | 4        | 2                   | 2      | 4                 |    |    |
| Service Delivery & Well-being                      | 3                    | 4      | 12        | 2                               | 2      | 4        | 2                   | 2      | 4                 |    |    |
| Reputation   | 3                    | 4      | 12        | 2                               | 2      | 4        | 2                   | 2      | 4                 |    |    |
| <b>Average risk score/<br/>direction of travel</b> | 3                    | 4      | <b>12</b> | 2                               | 2      | <b>4</b> | 2                   | 2      | <b>4 (Medium)</b> |  |  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| SRR/SP001             | Work with the 21st Century Schools' team and other stakeholders to develop proposals for a centre for learning and well-being that meets the increasing need to support children with identified social and emotional health needs.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TB      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | Consultation on the proposal to establish the new Centre for Learning and Wellbeing ended on 18 October 2020. The proposal was also considered and endorsed by the Learning and Culture Scrutiny Committee on 15 October 2020. A consultation report has been developed and is due to be considered by Cabinet on 16 November 2020. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| SRR/SL001             | Work with schools and other key stakeholders to ensure that all learners (especially vulnerable learners) are able to access school places in appropriate locations which meets their needs and are able to be part of the school community.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TB      | March 2021      | GREEN (On track) |



| 3. Risk Management Plan – Mitigating Actions |  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
|--|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
| Risk Action Ref.                             | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                  |
|  |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                         |
| <b>ACTION UPDATE:</b>                        | The draft strategy consultation document was approved by CMT in September and the consultation will take place in quarter 3. The results and agreed action plan will be reported in quarter 4.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| SRR/SLOO 2                                   | Strengthen our approach to school place planning to ensure there are sufficient and quality diverse school places in the Vale of Glamorgan to meet the needs of learners now and in the future.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TB      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b>                        | A review of primary catchment areas is ongoing and this data, along with information from a variety of sources has been fed into school place planning during quarter 2. A proposed change to the oversubscription criteria for secondary admissions has been put forward for consideration by SLT in October and if approved will be presented for consideration by Cabinet in November 2020 as part of the proposed annual consultation process. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| SRR/SLOO 3                                   | Lead on progressing all approved school investment projects identified for Band B of the 21 <sup>st</sup> Century Schools Programme to deliver modern and fit for purpose learning environments for Vale of Glamorgan pupils and improved local facilities which benefit the wider community.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TB      | March 2021      | <b>GREEN (On track)</b> |

| 3. Risk Management Plan – Mitigating Actions  |  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
|---|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
| Risk Action Ref.                              | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                  |
|   |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                         |
| <b>ACTION UPDATE:</b>                         | Good progress has been made on all schemes currently under construction. Ysgol Gymraeg Bro Morgannwg, Whitmore High School and Pencoedre High School are being delivered in line with programme. After issues with the consortium on the Waterfront, Ysgol Sant Baruc school designs are now progressing. Planning permission has been received for St David's and Llancarfan and work has commenced on site at St David's. Llancarfan is due to commence on site in November 20. Issues with the transfer of the land from Taylor Wimpey at Rhoose have delayed the start on site. The planning application for St Nicholas CIW Primary School has been submitted and is due to be considered by the Planning Committee in November 20. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| SRR/SLOO 4                                    | Lead on implementing the Vale of Glamorgan Welsh in Education Strategic Plan (WESP), focusing on the six key priority areas.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TB      | March 2021      | <b>RED (Slipped)</b>    |
| <b>ACTION UPDATE:</b>                         | The new Welsh in Education Strategic Plan (WESP) regulations that came into force in January 2020 laid down the timetable and requirements for the introduction on the new ten-year strategic plans. Welsh Government due to Covid-19 have relaxed the timetable for the introduction of the new ten-year strategic plans. This means that plans will now need to be in place by September 2022, rather than September 2021. All Council's in Wales are awaiting a full revised timetable with more detailed information regarding any proposed changes from Welsh Government.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| SRR/SLOO 5 (Links to Envntal Sustainabi lity) | Progress the feasibility and design of a low carbon building as part of the 21st Century Schools Programme.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TB      | March 2021      | <b>GREEN (On track)</b> |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status |
|-----------------------|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|--------|
|                       |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |        |
| <b>ACTION UPDATE:</b> | St David's has been designed as a low carbon in use building. This has been taken a step further with St Nicholas and Llancarfan being designed as net-zero (in use) carbon schools which will be the first in Wales. The Council has requested additional funding from Welsh Government to support decarbonisation. The Council is looking to further develop this work to develop a scalable net-zero (whole life) carbon school building which take into account embodied carbon. |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |

| 1 – Risk Overview                                     |  |
|---|--|
| 1.1 Risk Description                                  | <p>This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive. There is a Statutory Target for Recycling based on the Welsh Government's 'Towards Zero Waste' Waste Strategy. Aligned to this are national statutory landfill reduction/ diversionary targets. Failure to meet the national waste agenda and meet its associated targets increases the likelihood of incurring significant fines and could have detrimental impact on the Council's reputation.</p> <p>The biggest shift change has been in relation to reducing the volume of residual waste. The Council secured capital funding from the Welsh Government's Collaborative Change programme as part of the Waste Strategy to implement a restriction of residual waste. From September 2018, all households across the Vale of Glamorgan were restricted to putting out two bags per fortnight (with exemptions for those with six or more residents, pet waste/bedding, ash from household fires/log burners and adult hygiene products). To oversee this roll out and enforcement, waste wardens have been appointed. This shows that this service changes have resulted in over a 30% reduction in residual waste.</p> <p>In progressing our Waste Strategy, we continue to look at ways of further increasing our recycling rates across the Vale of Glamorgan. Although the Vale of Glamorgan Council continues to be one of the top performing authorities for meeting its recycling targets, more recently we have experienced a growing problem with contamination. This has been due to non-recyclable items such as soiled nappies, food waste and cat litter being mixed with recycling. To combat this problem and to reduce our use of single use plastic, the use of single use plastic bags for placing out recycling has been removed. Recyclable waste will only be collected if it is placed in Council-issued bags/boxes.</p> <p>The roll out of the Waste Blueprint has commenced. This is seeing us make the transition from the collection of co-mingled recyclables to source-segregation of recycled materials. As this is a significant shift change for how we operate our services and our residents. These changes are being introduced as part of a phased roll out that initially commenced in the rural Vale before it progress onto other areas in 2020/21.</p> <p>The planned roll out to Barry and Penarth in 2020, has been disrupted due to COVID-19. The expansion to Barry went operational in October, but roll out to Penarth will move into 2021 as it is dependent on the construction of the permanent Waste Transfer Station at the Atlantic Trading Estate.</p> |
| 1.2 Risk Owner  | <b>Head of Neighbourhood Services and Transport (ER)</b>   |
| 1.3 Impact on our contribution to the Wellbeing Goals |  |

|                              |                    |                   |                   |                    |                                 |  |
|------------------------------|--------------------|-------------------|-------------------|--------------------|---------------------------------|--|
| A Globally Responsible Wales | A Prosperous Wales | A Resilient Wales | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
| Yes                          | Yes                | No                | Yes               | No                 | No                              | No   |

| 1.4 Risk Categories                   |        |   |
|---------------------------------------|--------|---|
| Categories                            | Yes/No | Definition  |
| <b>Political &amp; Legislative</b>    | Yes    | Failure of contract agreements associated with our waste collaborations. Failure to comply with statutory waste targets and the associated Welsh Government guidance.   |
| <b>Resources</b>                      | Yes    | <p>Inability to streamline our approach to optimise productivity as consequence of budgetary cuts and/or staff shortages that will impact on our performance against waste reduction targets.</p> <p>Inability to effectively monitor and manage our contract agreements resulting in poor contractual compliance and performance. This risk is pertinent in light of COVID.</p> <p>Council incurs fines as a result of failing to meet statutory waste reduction targets.</p> <p>National Welsh Government grants are withdrawn as a result of failing to meet statutory waste reduction targets.</p> <p>Diversion of resources in response to COVID-19 impacts on our resource capacity to progress key waste projects e.g. waste transfer station and roll out of the Blueprint.</p>   |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including:</p> <ul style="list-style-type: none"> <li>i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales);</li> <li>ii. pollution of the local environment (e.g. contamination of groundwater; soil contamination).</li> </ul> <p>Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates.</p> <p>Poor engagement with the hard to reach section of our community resulting in lower recycling and composting take up rates.</p> <p>Poor communication following any change in collection methodology resulting in poor take up of recycling and composting services.</p> |

| 1.4 Risk Categories |        |   |
|---------------------|--------|---|
| Categories          | Yes/No | Definition  |
|                     |        | <p>Increasing waste budget pressures as a result of new developments and an inability to deliver savings in waste management services.</p> <p>Inability to implement the Waste Blue Print consistently across the Vale in a timely way, as result of disruption to project timetable arising from COVID-19.</p> |
| <b>Reputation</b>   | Yes    | Failure to meet the statutory waste targets and comply with the Welsh Government's waste strategy would have a detrimental impact on the resident's perception of Council services and would attract criticism from our external regulators and Welsh Government.   |

| 2 – Risk Evaluation                      |                           |                 |                           |
|--|---------------------------|-----------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                           |                 |                           |
| Category                                 | Likelihood                | Impact          | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 3 (Probable)              | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Resources</b>                         | 4 (Almost Certain)        | 3 (High)        | <b>12 (High)</b>          |
| <b>Service Delivery &amp; Well-being</b> | 4 (Almost Certain)        | 3 (High)        | <b>12 (High)</b>          |
| <b>Reputation</b>                        | 3 (Probable)              | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Overall Inherent Risk Score</b>       | <b>4 (Almost Certain)</b> | <b>3 (High)</b> | <b>12 (High)</b>          |

| 2.2 Controlling Inherent Risk      |  |                           |              |             |
|------------------------------------|--|---------------------------|--------------|-------------|
| Category                           | Current Controls   | Effectiveness of controls |              |             |
|                                    |  | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running</li> <li>Waste Resource Action Programme (WRAP) is completed. Cabinet agreed a black bag restriction for 2018/19 to move on a phased basis to the Welsh Government Blueprint which commenced on the 14<sup>th</sup> October 2019 for the Rural Vale with roll out to Penarth and Barry in 2020.</li> </ul> | 1                         | 2            | 2           |

| 2.2 Controlling Inherent Risk            |   |                           |              |             |
|--|---|---------------------------|--------------|-------------|
| Category                                 | Current Controls  | Effectiveness of controls |              |             |
|  |   | Likelihood Score          | Impact score | Total Score |
| <b>Resources</b>                         | <ul style="list-style-type: none"> <li>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</li> <li>The 25-year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place.</li> <li>Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council.</li> <li>Household Waste Recycling contract operated by the company FCC.</li> <li>A revised Waste Strategy will be presented to Cabinet during 2020/21 that will take into account the targets such as 70% recycling by 2024/25. In line with this Strategy, Capital funding has been received to implement the service changes for kerbside collections and to construct a Waste Transfer Station during 2019/20 and 2020/21.</li> <li>Full review of our Enforcement Policy for littering and fly tipping has been completed with an update presented to Scrutiny Members and Cabinet Members noting the progress that has been made and lessons learnt since the contract with the 3GS (environmental enforcement officers) commenced on the 7th October 2016.</li> <li>Since October 2019, the environmental enforcement service has been brought back in house under a new enforcement team.</li> <li>Annually bid for Welsh Government Environment Grant to deliver improvements to the waste management infrastructure.</li> </ul> | 1                         | 1            | 1           |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>Increased waste awareness initiatives including a litter summit.</li> <li>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</li> <li>Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery.</li> </ul>   | 1                         | 2            | 2           |

| <b>2.2 Controlling Inherent Risk</b>     |  |                                  |                     |                    |
|--|--|----------------------------------|---------------------|--------------------|
| <b>Category</b>                          | <b>Current Controls</b>  | <b>Effectiveness of controls</b> |                     |                    |
|  |  | <b>Likelihood Score</b>          | <b>Impact score</b> | <b>Total Score</b> |
|  | <ul style="list-style-type: none"> <li>Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced.</li> <li>Council has continued to undertake its normal approach to recycling awareness which has allowed us to ensure we remain on track. This is updating the web site, undertaking letter drops to residential areas where there is poor participation, roadshows with the event trailer and a school education programme.</li> <li>The interim Waste Transfer Station (WTS) at Cowbridge is operational.</li> </ul> |                                  |                     |                    |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>Regularly implement high profile campaigns in the community to raise awareness of the importance of recycling, composting. Consultation regarding possible changes to waste service including a series of engagement events through throughout the Vale of Glamorgan area.</li> <li>Maximise the use of Social Media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner to raise awareness of dog fouling/littering issues.</li> </ul>                                | 1                                | 2                   | 2                  |
| <b>Overall Effectiveness of Controls</b> |  | <b>1</b>                         | <b>2</b>            | <b>2</b>           |



| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |           |                                 |        |          |                     |        |                        |                     |                              |
|--|----------------------|--------|-----------|---------------------------------|--------|----------|---------------------|--------|------------------------|---------------------|------------------------------|
|  | Inherent Risk Scores |        |           | Effectiveness of controls Score |        |          | Residual Risk Score |        |                        | Direction of Travel | Forecast Direction of Travel |
| Category   | Likelihood           | Impact | Total     | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total                  |                     |                              |
| Political & Legislative                            | 3                    | 3      | 9         | 1                               | 2      | 2        | 3                   | 2      | 6                      |                     |                              |
| Resources  | 4                    | 3      | 12        | 1                               | 1      | 1        | 4                   | 3      | 12                     |                     |                              |
| Service Delivery & Well-being                      | 4                    | 3      | 12        | 1                               | 2      | 2        | 4                   | 2      | 8                      |                     |                              |
| Reputation   | 3                    | 3      | 9         | 1                               | 2      | 2        | 3                   | 2      | 6                      |                     |                              |
| <b>Average risk score/<br/>direction of travel</b> | 4                    | 3      | <b>12</b> | 1                               | 2      | <b>2</b> | 4                   | 2      | <b>8(Medium /High)</b> |                     |                              |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integraton                          | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| WMR/NS 001            | Implement the waste blueprint (source segregated recycling) to Barry and Penarth areas.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | ER      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | The roll out is planned and will be operational from the 19th October 2020. All the equipment has been delivered, the crews have received training and the vehicles are ready, and processing arrangements are in placed at the Councils temporary resource recovery facility.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| WMR/NS 002            | Work towards the National Domestic Waste Recycling Target for 2024 / 2025.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | ER      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | The service maintained a recycling rate of around 70% that will ensure we achieve the 2024/25 target. It is likely this will drop slightly during the later stages of this year due to the Covid-19 measures and the relaxation of the two-bag rule.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| WMR/NS 003            | Commence the construction of a Waste Transfer Station for Barry.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | ER      | March 2021      | Red (Slipped)    |
| <b>ACTION UPDATE:</b> | Pre-planning application is complete, and a full planning application is pending. This is delayed due to issues around the drainage proposal and new standards introduced. New designs for approval will be completed early quarter 3 and planning permission will be submitted October/November 2020. Construction is now likely in quarter 4. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories  |                                     |                                     |                                     | Demonstration of 5 Ways of Working |               |             |                                     |                                     | Officer | Completion Date | Status                  |
|-----------------------|--|------------------|-------------------------------------|-------------------------------------|-------------------------------------|------------------------------------|---------------|-------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                       |  | Political & Legl | Resources                           | Service & Well-being                | Reputation                          | Integration                        | Collaboration | Involvement | Prevention                          | Long-Term                           |         |                 |                         |
| WMR/NS 004            | Monitor budgets to ensure we are able to deliver the National Waste agenda through effective use of grants and resources.  |                  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                    |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | ER      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | The service has been successful in bids to Welsh Government under the annual circular economy capital funding scheme to construct a reuse shop at the Atlantic Trading Estate, to ensure flats and apartments can move over to the more sustainable separate recycling collection service by funding bespoke bins and funding for sorting equipment for the proposed resource recovery facility at ATE. This along with the blueprint roll out will ensure the Council delivers the National Waste Agenda. |                  |                                     |                                     |                                     |                                    |               |             |                                     |                                     |         |                 |                         |

Return to Risk Summary Report

| 1 – Risk Overview                                     |                    |  |                   |                    |                                 |  |
|---|--------------------|--|-------------------|--------------------|---------------------------------|--|
| 1.1 Risk Description                                  |                    | <p>As the Council continues to go through significant change over the next few years it is imperative that we are able to anticipate the human resources implications of such change and ensure that we have a number of people with the right skills and experience to deliver the services of the future. In managing the risk it is important to consider the particular challenges presented by the current financial pressures within the public sector, the need to ensure the engagement of staff throughout the change process and the need to plan for and respond to issues of anticipated skills shortages. We continue to experience difficulties in recruiting and retaining staff in some key service areas across the Council e.g. namely health and social care (residential care, domiciliary care). Skill shortages exist in some areas like Legal, accountancy Planning, ICT where market forces have impacted on our ability to recruit and retain skilled/qualified staff.</p> <p>This risk needs to be considered alongside the Council’s reshaping services agenda and the potential impact the proposed model of local government reform could have on our workforce. Therefore, the innate risk is the inability to anticipate and plan for the workforce needs of the future in order to meet the changing service requirements.</p> <p>The risks surrounding workforce needs have been further compounded by COVID-10 pandemic. The pandemic significantly disrupted all aspects of service delivery, which in turn has put our workforce under an enormous amount of pressure as our workforce needed to quickly adapt and respond to the changing circumstances surrounding COVID. This both Human Resources and Senior Management to react quickly to the emerging crisis to enable the workforce to work more remotely in an agile way with minimal disruption to core service delivery. Hand in hand with this was the need to look at repurposing and redeploying staff to business-critical areas to respond to the growing demand on staffing e.g. within our residential and domiciliary care roles, waste collection teams and to enhance capacity within our Contact Centre to support vulnerable individuals shielding in their own homes. The Virus is likely to remain in circulation for many months/years to come, and with this in mind the workforce mitigations will need to focus on succession planning, whilst building capacity and resilience into the system. COVID however, has presented us with new opportunities that we anticipate will lead to new ways of working that will require the cultivation of new skills sets within the workforce. Therefore, the challenge post recovery, will be on how we can maximise these opportunities shape our workforce so that it is fit for the future.</p> |                   |                    |                                 |  |
| 1.2 Risk Owner  |                    | Head of Human Resources and Organisational Development (TD)  |                   |                    |                                 |  |
| 1.3 Impact on our contribution to the Wellbeing Goals |                    |  |                   |                    |                                 |  |
| A Globally Responsible Wales                          | A Prosperous Wales | A Resilient Wales  | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
| No  | Yes                | Yes  | Yes               | Yes                | Yes                             | Yes  |

| 1.4 Risk Categories                |        |  |
|------------------------------------|--------|--|
| Categories                         | Yes/No | Definition   |
| <b>Political &amp; Legislative</b> | Yes    | <p>Political and legislative repercussions of failing to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.</p> <p>The COVID pandemic brings with it an increased risk of challenge and the potential for litigation. This could impact on the council if poor judgement is exercised regarding workforce related decisions.</p>  |
| <b>Resources</b>                   | Yes    | <p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on a range of factors including the commitments to increase the number of apprenticeships within the Council (and wider community), the increase of younger employees (as a percentage of the wider workforce) and the aims within the Council's Equalities Strategy.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan (and specifically in relation to change management) would impact adversely on the Council's ability to respond to financial challenges over the next four years. Whilst our workforce and resources have been reprioritised to manage our emergency response to COVID-19, there is an increased risk that this will hinder our ability to progress key strategic workforce projects.</p> <p>The realisation of the risk would lead to an inability to recruit and retain suitably qualified staff with appropriate skills in the right areas to deliver services effectively. E.g. Inability to recruit and retain staff in business-critical posts due to the impact of market forces and/or skill shortages.</p> <p>COVID, has the potential to further add to the issues associated with business-critical posts where recruitment and retention difficulties already exist. Added to this is the complexity of overcoming recruitment practices that rely on face to face contact.</p> <p>It would also lead to an inability of leadership to respond to the changing policy landscape and the challenges this presents, impacting on our ability to deliver good quality services to meet the needs of our citizens. Loss of leadership impacting on our ability to continue to drive forward organisational change. There is the risk that momentum on implementing organisational change may be lost as a consequence of COVID. This could be due to higher sickness/infection rates amongst senior management and or insufficient capacity within the service to drive forward change at a time when efforts are focused on reprioritising resources on our emergency response and recovery.</p> <p>Potential failure to effectively engage and mobilise our resources to deliver our workforce priorities and have the appropriate skills in</p> |

| 1.4 Risk Categories                   |        |   |
|---------------------------------------|--------|---|
| Categories                            | Yes/No | Definition  |
|                                       |        | <p>place, in the right areas to deliver services effectively. This is applicable in light of COVID-19, where the functions of our workforce have been disrupted and where the focus is on providing an emergency response to ensure business critical services can be sustained.</p> <p>Although COVID presents opportunities for new and more effective ways of working, with this comes the risk that the existing workforce lacks the skills required to transform services that are fit for the future. For example, any further expansion of the digital agenda will require whole scale upskilling of the workforce and the development of a new set of skills that may not already be present in the workforce. Any emerging skills gaps could impede our progress in improving the quality and efficiency of our services and jeopardise the viability of our services in the future.</p>   |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>Failure to properly anticipate and respond to future workforce needs could pose a threat to the effectiveness and viability of sustainable service delivery and its ability to meet achieve the outcomes and priorities set out in our Corporate Plan. This is applicable to the context of COVID. As the Council reflects on its priorities going forward this will in turn impact on our workforce needs and planning processes. A failure to effectively mobilise our workforce effectively to respond to the changing workforce needs could not only impact significantly on our recovery but also on our achievement of our well-being objectives in our Corporate Plan.</p> <p>There would be a potential inability to anticipate and plan for workforce needs of the future in order to meet changing service requirements. This is applicable to the context of COVID, as the Council adapts to new ways of working the workforce needs of the business are also likely to change. Any shift change in workforce needs is likely to remain with us for some time as we adapt to new working practices.</p> <p>There would also be an inability to manage and support organisational change impacting on our ability to deliver sustainable services both now and in the future.</p> <p>COVID swiftly shifted our operations to remote and agile style of working. Given that COVID will continue to require such mitigations into the longer term the risk going forward will be the sustainability of current arrangements particularly for those service areas that are reliant on some face to face contact. The other risk this presents to managers is the lack experience/skills to manage a remote workforce. This will require us to effectively equip managers for agile people management where there will be more focus on ensuring staff feel connected and engaged.</p> <p>COVID has presented us with new challenges associated with how we support continuity of service delivery whilst ensuring the health, wellbeing and safety of our remote workforce. As the organisation adapts to new ways of working, there is the risk we</p> |

| 1.4 Risk Categories |        |   |
|---------------------|--------|---|
| Categories          | Yes/No | Definition  |
|                     |        | fail to effectively identify manage and meet the variety of well-being and safety concerns that may arise as a result of home working.  |
| <b>Reputation</b>   | Yes    | <p>Negative perception of the Council amongst citizens as an employer impacting on recruitment and retention rates across the organisation. This is particularly applicable in light of COVID, where some front-line positions are lower paid e.g. care home staff and waste operatives, these posts may be perceived as particularly high risk areas for contracting the infection. As a consequence, these posts maybe seen as less desirable which in turn may compound recruitment difficulties.</p> <p>Failure to put in place succession pathways in place to address our ageing workforce in specific service areas.</p> <p>A key aspect of the workforce plan (section 6/theme viii) is the need to ensure the Council have a workforce that reflects the wider community. Within this are specific aspects to ensure that measures are taken to ensure representation from protected groups under the Equalities Act 2010. A particular feature of this includes strategies to deal with occupational segregation and address the gender pay gap that exists nationally and locally. A failure to implement actions within the workforce plan would impact adversely on such equalities commitments and our reputation as an employer.</p> |

| 2 – Risk Evaluation                      |                     |                 |                           |
|--|---------------------|-----------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                     |                 |                           |
| Category                                 | Likelihood          | Impact          | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Resources</b>                         | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Service Delivery &amp; Well-being</b> | 2 (Possible)        | 2 (Medium)      | <b>4 (Medium)</b>         |
| <b>Reputation</b>                        | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Overall Inherent Risk Score</b>       | <b>3 (Probable)</b> | <b>3 (High)</b> | <b>9 (Medium/High)</b>    |

| 2.2 Controlling Inherent Risk      |  |                           |              |             |
|------------------------------------|--|---------------------------|--------------|-------------|
| Category                           | Current Controls   | Effectiveness of controls |              |             |
|                                    |  | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>• CMT/Cabinet, Joint Consultative Forum and Change Management Board receives regular reports on a range of HR issues and developments.</li> <li>• Robust performance management arrangements in place across all service areas.</li> </ul>  | 2                         | 2            | 4           |
| <b>Resources</b>                   | <ul style="list-style-type: none"> <li>• Managers are supported through the management of change through training and ongoing advice from HR Officers and supported by Organisational Development.</li> <li>• The Workforce Plan is aligned to the Corporate Plan in relation to workforce needs. A review of corporate workforce priorities has been undertaken as part of the senior management development session and will now form the basis of a refresh of the Corporate Workforce Plan.</li> <li>• The HR team has been restructured in recent years to increase the information, planning and performance capacity of the team and to increase the focus on business and organisational development issues. We are now moving this forward to review the successes and drive greater efficiencies, particularly within the business partner team</li> <li>• The Leadership Café is an effective mechanism to support succession planning and leadership development across the Council. The Café has been rebranded during the first quarter of 2019/20 to the 'Learning Café' to broaden its focus and appeal to a wider section of the workforce.</li> <li>• The Management Competency Framework continues to be used to enhance skills and expertise at our Team Manager level. The competency frameworks are now complete and integrated into both iDev and the #itsaboutme process.</li> <li>• Management Competency Framework is live and is used with the #itsaboutme process. 'Staff Charter' is fully embedded within the organisation. Some commitments within the Staff Charter relate to celebrating success and staff recognition. The establishment of the 'Going the Extra Mile' scheme (GEM), provides an opportunity to put forward</li> </ul> | 2                         | 2            | 4           |













| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <p>members of staff in recognition for their work. These stories are then celebrated and shared with staff on the internal Staffnet. In addition to this the Council has established a Team Awards event to recognise the good work of both individuals and team across the Council.</p> <ul style="list-style-type: none"> <li>Employee Core Competency has been launched to help identify and address skill gaps across the Council.</li> <li>The Staff Engagement Strategy has now been embedded with mechanisms to evaluate ongoing engagement. There are quarterly joint CMT engagement meetings. The Vale Induction Programme contributes to our ability to build a resilient workforce, strengthen staff knowledge and understanding of the Council's vision, values and contribution to the achievement of our corporate priorities, this has recently been reviewed and refreshed following employee feedback.</li> <li>HR Business Partners and Assistant Business partners continue to support managers in Change Management Reviews. Support was successfully provided in relation to the extension of the Shared Audit Service.</li> <li>Chief Officer briefing sessions and management development sessions are now embedded</li> <li>Apprenticeship pathway is in place to enable direct recruitment of apprentices and enables us to better support succession planning.</li> <li>Regional Training and Workforce Development Unit has been established to ensure that we invest in training of social care professionals and support secondments and placements.</li> </ul> |                           |              |             |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>Workforce planning processes delivered with a focus on alternative service delivery and workforce implications.</li> <li>The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data.</li> <li>We continue to move towards a HR Self-Service model.</li> <li>Organisational Development support provided to the Reshaping Services</li> </ul>  | 2                         | 2            | 4           |

| 2.2 Controlling Inherent Risk |  |                           |              |             |
|-------------------------------|--|---------------------------|--------------|-------------|
| Category                      | Current Controls   | Effectiveness of controls |              |             |
|                               |  | Likelihood Score          | Impact score | Total Score |
|                               | <p>Programme continues to influence how we deliver alternative models of service delivery.</p> <ul style="list-style-type: none"> <li>• #itsaboutme staff appraisal process has been reviewed to ensure it remains relevant year on year to staff to connect staff activity to corporate priorities and ensures it continues to contribute to the Staff Charter and Reshaping Services Agenda. The appraisal process has been launched on i Dev.</li> <li>• The Council is a Stonewall Champion committed to ensuring we have an inclusive work place for all lesbian, gay, bi and trans-sexual staff. We have developed an action plan to further evidence that we have an inclusive work place. The Council has contributed to the Stonewall 2018/19 Employment Index Survey and increased the number of respondents to the survey and improved our Index position. During the year we contributed to the development of GLAM, a new brand for the Council's network for LGBT colleagues and allies.</li> <li>• The NJC Single Status 2019 pay award has been assimilated into a new pay and grading structure which has been agreed. This will meet our national and local reward strategy obligations and place the council lowest pay rate for employees above the Foundation Living Wage rate.</li> <li>• The Management Competency Framework is in place. Several management development sessions continue to be held with managers focusing on managing the future, the Digital Strategy and commercialisation. Chief Officer briefing sessions and a management development sessions have been held in accordance with the new Management Competency Framework. This work has helped ensure managers are up skilled to fulfil their roles effectively to meet the challenges facing the Council and the new ways of working as part of the Reshaping Service programme.</li> <li>• We have procured an E Bulk solution to provide a significant reduction administration and the time in accessing Disclosure and Barring Services (DBS)</li> </ul> |                           |              |             |

| 2.2 Controlling Inherent Risk |   |                           |              |             |
|-------------------------------|---|---------------------------|--------------|-------------|
| Category                      | Current Controls  | Effectiveness of controls |              |             |
|                               |   | Likelihood Score          | Impact score | Total Score |
|                               | <p>certificates. The E Bulk system service is now operational.</p> <ul style="list-style-type: none"> <li>• We are in the process of reviewing the HR structure to ensure that it remains fit for purpose and that we can continue to streamline HR services that will enable staff to share and develop their skills.</li> <li>• Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process is under development.</li> <li>• Launched the Employee Core Competency and Management Competency Frameworks to help identify and address skill gaps across the Council to embed these within the #itsaboutme appraisal system.</li> <li>• Launched an e-pay system, which will allow employees to access their personal pay information remotely and securely from a personal device, further reducing waste and our environmental and sustainable agenda</li> </ul>  |                           |              |             |
| <b>Reputation</b>             | <ul style="list-style-type: none"> <li>• All recruitment adverts promote the Council as an equal opportunities employer.</li> <li>• The 'Staff Charter' is now embedded and work has commenced with the Engagement Forum to refresh the charter for the next 5 years aligned to the corporate plan.</li> <li>• The Council's Staff Engagement Strategy continues to be strengthened alongside an effective method of continuing evaluation. The profile of the Council as an attractive employer has been raised Contribution to the wider HR network across Wales as a promoter of innovative workforce practice.</li> <li>• Developed good relationships with local education establishments (Cardiff University &amp; Cardiff and Vale College) as well as independent Apprenticeship providers.</li> <li>• Continue to develop strong working relationships with all our recognised trade union partners, including Unison, NAHT, NASUWT, NEU.</li> <li>• We are reviewing our gender pay gap to identify where progress is needed and</li> </ul> | 2                         | 2            | 4           |

| 2.2 Controlling Inherent Risk            |   |                           |              |             |
|--|---|---------------------------|--------------|-------------|
| Category                                 | Current Controls  | Effectiveness of controls |              |             |
|  |   | Likelihood Score          | Impact score | Total Score |
|  | any future workforce activity which could have an impact, in order to have an informed context behind the current 'gap'. This has been greatly reduced over the last 12 months to the current position of 2.72% |                           |              |             |
| <b>Overall Effectiveness of Controls</b> |   | <b>2</b>                  | <b>2</b>     | <b>4</b>    |

## 2.3 Residual Risk Scoring & Direction of Travel

| Category   | Inherent Risk Scores |        |          | Effectiveness of controls Score |        |          | Residual Risk Score |        |                       | Direction of Travel  | Forecast Direction of Travel   |
|--|----------------------|--------|----------|---------------------------------|--------|----------|---------------------|--------|-----------------------|--|--|
|  | Likelihood           | Impact | Total    | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total                 |  |  |
| 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/<br/>direction of travel</b> | 3                    | 3      | <b>9</b> | 2                               | 2      | <b>4</b> | 2                   | 2      | <b>4<br/>(Medium)</b> |  |  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.           | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer         | Completion Date | Status                 |
|----------------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-----------------|-----------------|------------------------|
|                            |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |                 |                 |                        |
| WFR/HR001<br><br>WFR/LD001 | Develop a strategic workforce plan for the next five years, which identifies skills gaps, growth areas, age profile etc and provides for mitigation.<br><br>Deliver workforce planning with a focus on alternative service delivery and workforce implications.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD<br><br>DM    | March 2021      | RED (Slipped)          |
| <b>ACTION UPDATE:</b>      | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later on in the year.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                 |                 |                        |
| WFR/HR002                  | Develop a new HR strategy with a particular focus on supporting and improving staff well-being.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD              | March 2021      | AMBER (Minor slippage) |
| <b>ACTION UPDATE:</b>      | Progress has slipped slightly due to the Pandemic; however, work has now resumed in this area. Consultation will commence during Qtr2 and into Qtr3   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                 |                 |                        |
| WFR/HR003<br>WFR/SL002     | Create a new Employee Development Programme.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD<br>T Bowring | March 2021      | AMBER (Minor slippage) |
| <b>ACTION UPDATE:</b>      | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. There has been a delay in #itsaboutme completions due to the Pandemic. Analysis of #itsaboutme data will take place from October. Within the Learning and Skills Directorate, planned staff days, have not taken place due to COVID restrictions. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                 |                 |                        |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.  | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer                                | Completion Date | Status                 |
|---|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|--|-----------------|------------------------|
|   |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |  |                 |                        |
| WFR/HR004   | Review recruitment practices to increase diversity within the Council's workforce.  | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | TD                                     | March 2021      | RED (Slipped)          |
| <b>ACTION UPDATE:</b>   | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later in the year.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |  |                 |                        |
| WFR/HR006<br>WFR/FIT001<br>WFR/HS002<br>WFR/LD002<br>WFR/NS001<br>WFR/FP001<br>WFR/SRS001 | Lead on reviewing the Council's Succession Planning scheme to further develop and enhance practices across services to build resilience to meet the challenges of the Reshaping Services Strategy.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD<br>CL<br>MI<br>DM<br>ER<br>MG<br>DH | March 2021      | AMBER (Minor Slippage) |
| <b>ACTION UPDATE:</b>   | <p>Previously, the Succession Planning template was developed and made available to a small number of service areas to update for their areas. During the last quarter, two service areas completed the template with information. In light of COVID-19, there has been the need to consider how this could be further rolled out to service areas.</p> <p>In terms of general developments associated with succession planning, Finance and Property Services have continued to explore opportunities to offer staff from across the division to enhance their skills, which has been of particular benefit in meeting the challenges arising from the Pandemic. Within Housing Services, the Big Conversation exercise was held with staff in September. We are awaiting some frontline questionnaire responses, but some initial analysis of findings has commenced. In Neighbourhood Services, funding has been utilised to progress management qualifications of key staff. Regeneration and</p> |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |  |                 |                        |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.            | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer  | Completion Date | Status                        |
|-----------------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|----------|-----------------|-------------------------------|
|                             |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |          |                 |                               |
|                             | Planning, have continued to explore opportunities to ensure succession within the various sections including the use of apprenticeships in Building Control and the use of the new 'Kick Starter' Scheme to develop younger person skills as part of the Regeneration team.              |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |          |                 |                               |
| WFR/HR007<br><br>WFR/ALNO01 | Lead on the development and delivery of a Well-being Strategy for the Council.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD<br>DD | March 2021      | <b>AMBER (Minor slippage)</b> |
| <b>ACTION UPDATE:</b>       | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, it is anticipated that this work will commence during quarter 3. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |          |                 |                               |
| WFR/HR008                   | Implement a Chief Officer Appraisal Scheme as part of the Management Competency Framework to support the development of leadership and management qualities in line with the Reshaping Services Strategy.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD       | March 2021      | <b>RED (Slipped)</b>          |
| <b>ACTION UPDATE:</b>       | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later in the year.                       |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |          |                 |                               |
| WFR/HR009                   | Work with our schools, further education establishments, public sector agencies and local businesses to increase opportunities for all with particular focus on underrepresented 16-24 year olds to participate in work experience, work placements,                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD       | March 2021      | <b>RED (Slipped)</b>          |



### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.                    | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer        | Completion Date | Status                        |
|-------------------------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|----------------|-----------------|-------------------------------|
|                                     |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |                |                 |                               |
|                                     | apprenticeships and other training opportunities in line with the Council's strategy.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                |                 |                               |
| <b>ACTION UPDATE:</b>               | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later in the year. Some work on the Agency provision is planned to take place during Q3 for schools.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                |                 |                               |
| WFR/HR010<br>WFR/SL001<br>WFR/HS001 | Expand the Council's Apprenticeship Scheme to provide a greater number and range of opportunities.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD<br>TB<br>MI | March 2021      | <b>AMBER (Minor slippage)</b> |
| <b>ACTION UPDATE:</b>               | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, there was no corporate drive to recruit apprentices. However, within Strategy, Community Learning and Resources Division an application for a placement in the ICT and Data Team has been submitted for the Kickstart scheme- an initiative to support young people aged 16 – 25, at risk of long-term unemployment, through the creation of 6-month work placements |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                |                 |                               |
| WFR/PB001<br>WFR/HR011              | Develop and co-ordinate a range of activities as part of work to improve inclusivity in the workplace.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | TD<br>TB       | March 2021      | <b>RED (Slipped)</b>          |
| <b>ACTION UPDATE:</b>               | An online meeting of the Equalities Consultative Forum (ECF) will take place in November. We have added to ECF membership to strengthen engagement with organisations representing the interests of Black, Asian and minority ethnic people. We continue to send relevant information to ECF Members. We will explore engagement with the Forum.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                |                 |                               |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.                     | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer        | Completion Date | Status                 |
|--------------------------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|----------------|-----------------|------------------------|
|                                      |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |                |                 |                        |
| WFR/HR012                            | Lead on the development of the Council's approach to supporting its employees to volunteer including the introduction of a volunteering policy.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD             | March 2021      | RED (Slipped)          |
| <b>ACTION UPDATE:</b>                | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later in the year.     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                |                 |                        |
| WFR/AS002                            | Develop a generic Job Description and Person Specification for Adult Services Social Workers that includes a requirement to undertake Approved Mental Health Professional (AMPH) training.   |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC             | March 2021      | GREEN (On track)       |
| <b>ACTION UPDATE:</b>                | This work is in progress following advice from HR colleagues and it is anticipated that posts advertised in the latter part of Qtr 3 will have this amendment.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                |                 |                        |
| WFR/HR005<br>WFR/CS001<br>WFR/SRS002 | Develop a Talent Attraction Strategy that enables the Council to build and retain a diverse workforce with the right skills for the future. (Includes other service area initiatives around targeted recruitment to specialist posts and where there are skills gaps). | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD<br>RE<br>DH | March 2021      | AMBER (Minor slippage) |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status                  |
|-----------------------|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|-------------------------|
|                       |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |                         |
| <b>ACTION UPDATE:</b> | <p>As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 2. As the Council transitions from its response to recovery phase, this work will commence later in the year. Within some service areas however some recruitment activity has continued, such as within Children and Young People Services. However, interest through our advert for Social Workers has reduced. Staff retention remains a key priority in this service area and staff continue to be supported.</p> <p>Within Shared Regulatory Services our strategy was approved by the Joint Committee in 2019 but has not been developed further during Qtr2 due to the necessary prioritisation of essential COVID-19 activities together with Test, Trace and Protect responsibilities. Changes to the CIEH professional requirements has resulted in officers being offered opportunities for further development and expressions of interest have been sought. Our commitment to TTP and the expectations being placed on the service has resulted in the creation of three additional temporary COVID Enforcement Supervisor posts to augment the enforcement work we are undertaking across the three Authorities and the recruitment of 11 graduates to backfill posts that have been seconded to TTP and additional enforcement work.</p> |                  |           |                      |            |                                    |               |             |            |           |         |                 |                         |
| WFR/FIT002            | Continue to build on existing collaborative working arrangements in the Finance Division and explore new opportunities to improve resilience in the service especially in specialist work areas and in order to deliver fully integrated working practices.  |                  | ✓         | ✓                    | ✓          | ✓                                  | ✓             | ✓           | ✓          | ✓         | CL      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | <p>The structure for the Shared Regional Audit Service is now agreed and work is being done to slot staff into jobs within that structure. The structure does have specialist posts within it which are now possible with the larger size of that team.</p>  |                  |           |                      |            |                                    |               |             |            |           |         |                 |                         |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.   | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |                                     |                                     |                                     | Officer                          | Completion Date | Status                  |
|--|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------------------------------|-------------------------------------|-------------------------------------|----------------------------------|-----------------|-------------------------|
|  |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement                         | Prevention                          | Long-Term                           |                                  |                 |                         |
| WFR/FIT003<br>WFR/LD003<br>WFR/NS002<br>WFR/RP002<br>WFR/SL004 | Up-skilling and developing flexibility in skill sets across the organisation that includes further developing the Management Development Programme and enhancing in-house training to support the development of a broader skill mix of staff who are equipped to manage and deliver services fit for the future.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL<br>JR<br>ER<br>MG<br>T. Baker | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b>  | The Pandemic has continued to hinder our capacity and ability of our staff to undertake further training and development opportunities. However, where possible staff have been encouraged to participate training and development to support their roles. This has been reaffirmed through the #itsaboutme process that was recently completed. In Neighbourhood Services an internal consultation has been conducted and the findings from tis ware due to be reported to Cabinet in November 2020. This continues to be key area of interest given the current situation with mobile working. Withing Strategy, Community Learning and Resources, the focus has been on the collation of email and contact information for all school-based staff has been a key task this quarter and the team are preparing the final documentation to launch online learning and development for school-based staff in quarter 3. A key focus for the first phase of online learning is safeguarding and mandatory learning modules linked to H&S. |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |                                  |                 |                         |
| WFR/HS003  | Undertake a restructure of Building Services.  |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MI                               | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b>  | Restructure of Building Cleaning Service agreed and due for implementation July 20. Review of Housing Development Service undertaken in Qtr2. Review of Responsive repairs/ Voids and Planned delayed due to COVID and will be informed from Big Conversation outcomes.  |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |                                  |                 |                         |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.                                  | Action  | Risk Categories  |                                     |                                     |            | Demonstration of 5 Ways of Working  |               |                                     |                                     |                                     | Officer                | Completion Date | Status                 |
|---|---|------------------|-------------------------------------|-------------------------------------|------------|-------------------------------------|---------------|-------------------------------------|-------------------------------------|-------------------------------------|------------------------|-----------------|------------------------|
|   |   | Political & Legl | Resources                           | Service & Well-being                | Reputation | Integration                         | Collaboration | Involvement                         | Prevention                          | Long-Term                           |                        |                 |                        |
| WFR/NS003   | Expand current mobile working practises.  |                  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |            |                                     |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | ER                     | March 2021      | GREEN (On track)       |
| <b>ACTION UPDATE:</b>                             | Internal consultation carried out. Cabinet Report has been produced (Part II). Report aiming for Cabinet 16 November 2020. This project is still key, given the current situation with mobile working and the demand is high. A cost pressure has also been put forward.  |                  |                                     |                                     |            |                                     |               |                                     |                                     |                                     |                        |                 |                        |
| WFR/AS001 & WFR/RMS 001<br>WFR/SP001<br>WFR/SL003 | Promote and enhance staff involvement and engagement (includes the development of an Engagement Plan in Social Services, supporting the implementation of engagement initiatives, enhancing development opportunities and provision of well-being activities).  |                  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |            | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC/AP<br>MH<br>T.Baker | March 2021      | AMBER (Minor slippage) |
| <b>ACTION UPDATE:</b>                             | Although COVID has presented us with difficulties in progressing our engagement work it has provided us with an opportunity to put wellbeing at the heart of staff engagement. Within Social Services, we have continued to engage with our staff who are predominately working from home via digital means and we have been working on opportunities to facilitate access to office space for staff. This has been consistently applied across the Directorate where individuals are struggling to complete certain tasks at home, or for wellbeing reasons. The decision to operate from the office is based on individual and service risk assessments. We have regular meetings and prioritise supervision/1-1 sessions. Qtr 2 has seen completion of #itsaboutme plans which will be very useful to assess how staff are coping. A draft engagement plan is in development that will be shared with managers for discussion with team members during October 2020. Additionally, for our staff that remain at work, either in offices or continuing tasks in people's homes (e.g. VCRS, day services provision) we ensure that we are meet with staff regularly to check their wellbeing and offering opportunities for discussions. |                  |                                     |                                     |            |                                     |               |                                     |                                     |                                     |                        |                 |                        |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action  | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status |
|------------------|---|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|--------|
|                  |   | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |        |
|                  | <p>Withing the Learning and Skills Directorate, although much of our planned staff engagement activities have been limited. For instance, the Directorate’s planned staff development/engagement days have been postponed due to COVID restrictions. Some engagement/development opportunities with staff have been explored using Microsoft Teams instead. Whilst home working remains a priority for the majority of staff, informal and formal online engagement sessions have been helpful in providing wellbeing support to our staff.</p> |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |

## Appendix 6 Corporate Risk 6: Information Security

### Return to Risk Summary Report

| 1 – Risk Overview    |  |
|----------------------|--|
| 1.1 Risk Description | <p>Information Security involves the practice of preventing the unauthorised use, access, disclosure, disruption, modification, inspection, recording or destruction of information. This definition applies regardless of the form data/information may take i.e. electronic or physical.</p> <p>Local authorities have a duty to safeguard the data/information in line with requirements of legislation such as Data Protection Act 1998 and Computer Misuse Act 1990. In addition to legislative requirements there are also identified standards that public bodies can work towards to further enhance and strengthen their approach to information security such as compliance with the Public Services Network Connection Certificate requirements, Payment Card Industry Data Security Standard and ISO27001 that governs information security management.</p> <p>The General Data Protection Regulation is a regulation that has been made by the European Parliament, The Council of the European Union and European Commission which is intended to strengthen and further unify the approach to data protection across the EU. This new regulation has applied in the UK since 25<sup>th</sup> May 2018. The principles of the GDPR are similar to the those set out in the Data Protection Act, but with additional details regarding accountability and governance requirements and specifically requires organisations to show how they comply with the principles by documenting decisions the organisation takes in relation to processing activities. The Regulations have been designed to further minimise the risk of data breaches and uphold the protection of personal data, which is likely to result ensuring robust policies and procedures to ensure good governance measures are in place. The key risk associated with this is that we fail to meet the requirements of this regulation and safeguard our information and data.</p> <p>The threat from cyber-attacks and their potential impact has increased very significantly over the last 12-18 months and whilst the Council has controls in place to address cyber threats, these need to keep up with changing external threats, and our controls need to be reviewed in light of this.</p> <p>Additionally, with the introduction of 365 we now have a number of threat areas that need addressing as the benefits also bring governance risks and additional exposure from the external facing internet. This will require further investment in Advanced Threat Protection systems to strengthen our existing controls. For example, we are seeing a large increase in attempts to break into Vale user 365 accounts from all over the globe and targeted, sophisticated attempts to trick users into opening infected email attachments or webpages which contain ransomware or other malicious software. Our focus going forward will be on strengthening our controls and reinforcing policy with staff, backed up by further technical controls and not just paper policy.</p> <p>The key risk associated with this is the failure to implement adequate information security management systems across the Council. This risk has been further intensified by COVID. In response to COVID our workforce quickly adapted to new ways of working where the emphasis has been on remote/home working. Although significant Information Security safeguards</p> |

are in place to enable staff to safely and securely operate from home, there has been a steep rise targeted attack which have been increasingly identified and reported which has led to the need to further strengthen existing controls. Now that the business is increasing operating using 365, there has been further investment in the purchasing of Advanced Threat Protection to enhance our mitigation against this aspect of risk. Implementation of these new security controls has commenced, and we anticipate that this risk will further diminish reflecting the effectiveness of the new controls in place.

**1.2 Risk Owner** **Head of Finance (CL) (SIRO)**

**1.3 Impact on our contribution to the Wellbeing Goals**

| A Globally Responsible Wales | A Prosperous Wales | A Resilient Wales | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
|------------------------------|--------------------|-------------------|-------------------|--------------------|---------------------------------|--|
| No                           | No                 | Yes               | No                | No                 | No                              | No   |

**1.4 Risk Categories**

| Categories                            | Yes/No | Definition  |
|---------------------------------------|--------|---|
| <b>Political &amp; Legislative</b>    | Yes    | <p>Political and legislative repercussions of failing to meet the requirements of key legislation including Data Protection Act 1998, Computer Misuse Act 1990 and the new General Data Protection Regulations (GDPR).could lead to litigation and/or political instability.</p> <p>Failure to put effective information security safeguards in place resulting in personal/sensitive and confidential information being leaked/revealed in the public domain could cause political instability and loss of credibility.</p>  |
| <b>Resources</b>                      | Yes    | <p>Council incurs fines as a result of failing to comply with legislative and Information Commissioner requirements associated with the GDPR.</p> <p>Financial impact of correcting/resolving data breaches and/or cyber-attacks.</p> <p>Failure to implement adequate ICT management systems across the Council.</p> <p>COVID-19 presented additional threats to our ICT infrastructure. During the crisis, threats have been increasingly targeted at those working from home with more sophisticated attacks being identified and reported more frequently. This not only undermines the integrity of our systems, but places increased pressure on our resources to keep a step ahead of cyber threats and fraudulent activity.</p> |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>Loss of data could impact of the delivery of key services and projects across the Council.</p>   |











| 1.4 Risk Categories |        |   |
|---------------------|--------|---|
| Categories          | Yes/No | Definition  |
|                     |        | Impact on service users due to a loss of personal data and a breach of confidentiality and the effect this has on being able to access services readily.  |
| <b>Reputation</b>   | Yes    | Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity.<br><br>Lack of credibility and potential criticism from our external regulators and the Information Commissioner. |

| 2 – Risk Evaluation                      |                           |                 |                           |
|--|---------------------------|-----------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                           |                 |                           |
| Category                                 | Likelihood                | Impact          | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>          |
| <b>Resources</b>                         | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>          |
| <b>Service Delivery &amp; Well-being</b> | 3 (Probable)              | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Reputation</b>                        | 3 (Probable)              | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Overall Inherent Risk Score</b>       | <b>4 (Almost certain)</b> | <b>3 (High)</b> | <b>12 (High)</b>          |

| 2.2 Controlling Inherent Risk      |   |                           |              |             |
|------------------------------------|---|---------------------------|--------------|-------------|
| Category                           | Current Controls  | Effectiveness of controls |              |             |
|                                    |   | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>DPA/ICT Codes of Conduct in place together with Access to Information Procedures that is signed for by all staff and members.</li> <li>On-line training available for DPA and introduction of Employees Information Security Responsibilities. DPA training available to all members via their induction.</li> <li>Information Security &amp; Governance Framework arrangements are in place.</li> <li>Completed gap analysis to work towards adherence to ISO27001 and work towards adoption of good practice where applicable.</li> <li>The Council has gone live with a new, hosted payments system.</li> <li>The Council has recently completed its annual IT Health Check (independent penetration and security testing) and is currently undergoing</li> </ul> | 2                         | 1            | 2           |

| 2.2 Controlling Inherent Risk |   |                           |              |             |
|-------------------------------|---|---------------------------|--------------|-------------|
| Category                      | Current Controls  | Effectiveness of controls |              |             |
|                               |   | Likelihood Score          | Impact score | Total Score |
|                               | assessment for a Public Services Network (PSN) compliance certificate. This compliance provides assurance and confidence in the Council's ICT security arrangements and allows connection to PSN services.  |                           |              |             |
| <b>Resources</b>              | <ul style="list-style-type: none"> <li>• Building and Office security/access arrangements in place to control access to Council buildings for authorised staff, members and visitors.</li> <li>• Secure network including Firewall and ICT Security Manager and Compliance Team.</li> <li>• All laptops are encrypted, and all new desktops purchased are encrypted as standard.</li> <li>• Nominated systems administrators and system audit trails/admin logs maintained.</li> <li>• Penetration testing regularly undertaken</li> <li>• Corporate document retention system in place (TRIM) and FOI/Records Management Unit established.</li> <li>• ICT compliance team developed following ICT restructure with three FTE compliance resources.</li> <li>• Secure e-mail solution in place</li> <li>• Reviewed use of fax machines and now have a Rightfax system in place.</li> <li>• An enterprise-class Secure Email Gateway is in place to filter incoming email.</li> <li>• Review of ICT systems as part of Reshaping Services Agenda has been completed to ensure systems are fit for purpose and support the new services going forward. This work is also closely aligned to the Digital Strategy. The Digital Programme Board has now approved the Digital programme of works and systems will be consolidated going forward as individual projects are implemented.</li> <li>• The council is rolling out Office 365 to all staff and all staff should be migrated to 365 by the end of 2020.</li> <li>• Data Protection refresher training delivered to all relevant staff that incorporates the GDPR requirements.</li> <li>• Second internet connection has been installed at the Civic Offices.</li> <li>• Review of WASPI documentation remains ongoing.</li> <li>• The migration of the Council's WAN onto the all Wales secure PSBA network has been completed. All schools in the Vale in scope have also been migrated onto the PSBA</li> </ul> | 2                         | 1            | 2           |

| <b>2.2 Controlling Inherent Risk</b>     |  |                                  |                     |                    |
|--|--|----------------------------------|---------------------|--------------------|
| <b>Category</b>                          | <b>Current Controls</b>  | <b>Effectiveness of controls</b> |                     |                    |
|  |  | <b>Likelihood Score</b>          | <b>Impact score</b> | <b>Total Score</b> |
|  | network as part of the LiDW 2 grant funded project.  |                                  |                     |                    |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>Information Security &amp; Governance Framework arrangements in place.</li> <li>Revised the Information Management Strategy to reflect how plans to use technology will support the delivery of the Council's Corporate Plan and the expected outcomes as well as how we will manage and safeguard information that we exchange between organisations and our partners.</li> <li>Implementation Plan aligned to the Strategy is in place and is being delivered.</li> <li>ICT Strategy has been signed off and ICT continue to support ICT projects that fall within the Digital programme of works associated with the Digital Strategy.</li> <li>Protocol to enable us to reuse information under the Open Government licence has been developed and published on our website.</li> </ul> | 2                                | 2                   | 4                  |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.</li> </ul>   | 1                                | 1                   | 1                  |
| <b>Overall Effectiveness of Controls</b> |  | <b>2</b>                         | <b>1</b>            | <b>2</b>           |

| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |           |                                 |        |          |                     |        |                       |   |   |
|--|----------------------|--------|-----------|---------------------------------|--------|----------|---------------------|--------|-----------------------|---|---|
|  | Inherent Risk Scores |        |           | Effectiveness of controls Score |        |          | Residual Risk Score |        |                       | Direction of Travel   | Forecast Direction of Travel  |
| Category   | Likelihood           | Impact | Total     | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total                 |   |   |
| Political & Legislative                            | 4                    | 3      | 12        | 2                               | 1      | 2        | 2                   | 3      | 6                     |    |    |
| Resources  | 4                    | 3      | 12        | 2                               | 1      | 2        | 2                   | 3      | 6                     |    |    |
| Service Delivery & Well-being                      | 3                    | 3      | 9         | 2                               | 2      | 4        | 2                   | 2      | 4                     |    |    |
| Reputation   | 3                    | 3      | 9         | 1                               | 1      | 1        | 3                   | 3      | 9                     |    |    |
| <b>Average risk score/<br/>direction of travel</b> | 4                    | 3      | <b>12</b> | 2                               | 1      | <b>2</b> | 2                   | 3      | <b>6<br/>(Medium)</b> |  |  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |             |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement | Prevention                          | Long-Term                           |         |                 |                  |
| ISR/FIT001            | Strengthen the Council's approach to Information Governance to ensure our systems are robust, fit for purpose and compliant with current legislative requirements.                 | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | Due to Covid 19 changes to working arrangements have had to be made very quickly. Checks on security have been undertaken and advice given to services as these have been enabled. |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |                  |
| ISR/FIT002            | Continue to work with colleagues across the Council to ensure compliance with relevant security standards, including GDPR, PCI and PSN.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL/NW   | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | This has been done in this period as new ways of working and new systems have come online  |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |                  |
| ISR/HR001             | Review the business requirements for governance, information management controls and policies and procedures as part of the review the HR business partner structure.              | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TD      | March 2021      | RED Slipped)     |
| <b>ACTION UPDATE:</b> | The timing of the COVID Pandemic has significantly disrupted this planned activity and as a result this action was not progressed during quarter 2.                                |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |                  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| ISR/SRS001            | Undertake a review of information security against GDPR regulations.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |               |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DH      | March 2020      | Red (Slipped)    |
| <b>ACTION UPDATE:</b> | This review has not been developed further during Q2 due to the demands placed on the service as a result of its integral role it is playing in enforcing COVID Regulations and the Test, Trace, Protect responsibilities and the need to prioritise these activities.   |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |         |                 |                  |
| ISR/SL001             | Complete a full review of all IT systems in schools as part of Welsh Government's HWB programme. Approx. £2.1m is being invested to upgrade kit and ensure consistency in the current financial year.  |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TB      | March 2020      | GREEN (ON Track) |
| <b>ACTION UPDATE:</b> | New equipment provisioned via Hwb has been inputted into a Central Asset Register which contains device, make, model and serial number/asset tag. Existing equipment will be added to this register for schools that purchase a technical support SLA. Longer term the Hwb Mobile Device Management solution will become the school's IT asset database. There has also been a piece of work done on the admin side of school's networks to identify age and type of hardware along with software that specifically integrates with MIS. |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |         |                 |                  |

1 – Risk Overview

1.1 Risk Description

Action on climate change covers two areas: mitigation and adaptation. Mitigation relates to action taken to tackle the causes of climate change i.e. by reducing greenhouse gas emissions. Adaptation relates to action taken to adapt to the unavoidable effects of climate change caused by increased concentrations of greenhouse gases from human activities. Locally the immediate impact of climate change include hotter temperatures, warmer, wetter winters, hotter, drier summers, increased summer time thunder storms and intense rainfall and the reduction of some animal and plant species, more severe flooding of coastal and river areas and also flash flooding throughout the authority. The key risk relates to our failure to mitigate against the impact of climate change.

The Vale of Glamorgan must act as a responsible authority and in 2006 signed the “Welsh Commitment to Address Climate Change”. The commitment outlines the council’s contribution to the delivery of the national climate change programme, working with the local community to address the causes and effects of climate change, reduce the council’s own emissions, encourage all sectors of the local community to reduce their own emissions, work with key providers to adapt to changes, and provide opportunities for renewable energy generation within the area.

Following the publication of the Inter-governmental Panel on Climate Change’s (IPCC) Special Report on Global Warming of 1.5°C, the Welsh Government declared a Climate Emergency in Wales in April 2019. In response to this, the Leader and Deputy Leader submitted a motion to full Cabinet stating that the Council should also seek to declare a climate emergency in the Vale of Glamorgan. This motion was upheld by Full Council on 29<sup>th</sup> July 2019.

As part of this commitment the Council resolved it will:

- Reduce its own carbon emission to net zero before the Welsh Government’s target of 2030 and will support the implementation of the Welsh Government’s new Low Carbon Delivery Plan, to help achieve the Welsh Government’s ambition for the public sector in Wales to be carbon neutral.
- Make representations to the Welsh and UK Government’s, as appropriate, to provide the necessary powers, resources and technical support to local authorities in Wales to help them successfully meet the 2030 target.
- Continue to work with partners across the region to develop and implement best practice methods that can deliver carbon reductions and help limit global warming.
- Work with local stakeholders including Councillors, residents, young people, businesses and other relevant parties to develop a strategy in

|  |  |
|--|--|
|  | <p>line with a target of net zero emissions by 2030 and explore ways to maximise local benefits of these actions in other sectors such as employment, health, agriculture, transport and the economy.</p> <p>In response to the Climate Change Emergency Declaration, the Insight Board has undertaken work to identify key areas of activity across the Council that are contributing to this declaration. It is proposed that the development of a Charter will encapsulate our response to the climate change emergency and is a key action depicted in the Council’s Annual Delivery Plan for 2020/21 aligned to the Corporate Plan 2020-25. Our Tree, Energy and Electric Vehicle Strategies will also have a key role to play in contributing to delivering this Charter.</p> <p>COVID-19 has impacted on our capacity to progress a number of climate change initiatives including the development of a Charter. The Council remains dedicated to Climate Emergency Declaration and is committed to reducing carbon emissions. As the Council transitions from its response to recovery, we will resume work on development of these initiatives and the Charter.</p> |
|--|--|

|  |  |
|--|--|
|  |  |
|--|--|

|                       |  |
|-----------------------|--|
| <b>1.2 Risk Owner</b> | <b>Head of Neighbourhood Services and Transport (ER)</b> |
|-----------------------|--|

|  |
|--|
| <b>1.3 Impact on our contribution to the Wellbeing Goals</b> |
|--|

| A Globally Responsible Wales | A Prosperous Wales | A Resilient Wales | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
|------------------------------|--------------------|-------------------|-------------------|--------------------|---------------------------------|--|
| Yes                          | Yes                | Yes               | Yes               | No                 | Yes                             | No   |

|                            |
|----------------------------|
| <b>1.4 Risk Categories</b> |
|----------------------------|

| Categories                         | Yes/No | Definition   |
|------------------------------------|--------|--|
| <b>Political &amp; Legislative</b> | Yes    | <p>Failure to meet legal duties in relation to the Flood and Water Management Act.</p> <p>Inability to meet Welsh Government requirements for Statutory Transport Guidance as it relates the Active Travel and Learner Travel Wales.</p> <p>Failure to define our vision, ownership and responsibility for addressing climate change issues.</p> |



| 1.4 Risk Categories                   |        |   |
|---------------------------------------|--------|---|
| Categories                            | Yes/No | Definition  |
|                                       |        | <p>Inability and capacity of the Council and its key partners to work effectively together to meet its climate change commitment by 2030 and contribute to the climate change agenda locally.</p> <p>Failure to fully utilise our land use planning framework and other policy levers to become more resilient to climate change and its effects.</p> <p>Impact of COVID-19 on our ability to sustain momentum and buy in from key partners to address climate change issues collaboratively.</p>   |
| <b>Resources</b>                      | Yes    | <p>Limited asset renewal funding could result in the Council not being able to meet its CO<sub>2</sub> reduction target set out in the Carbon Management Strategy and Implementation Plan.</p> <p>Increased pressure on limited resources as a consequence of increased areas of maintenance.</p> <p>Insufficient funding availability to fully implement programmes/initiatives to reduce our carbon footprint.</p> <p>Annually shrinking budgets will impact negatively on consistently achieving high standards of cleanliness of the local environment.</p> <p>Impact of our failure to meet our commitments under the CRC Energy Efficiency Scheme and its associated financial benefits.</p> <p>Council incurs fines as a result of failing to meet statutory waste reduction targets.</p> <p>Impact of COVID-19 puts additional strain on our resources and effects our ability to progress commitments outlined in the Council's Climate Change Emergency Declaration E.g. Charter.</p> |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>Failure to deliver key flood alleviation schemes across the Vale and exposing flood prone areas to a greater risk of flooding.</p> <p>Failure to implement the Shoreline Management Plan impacting on our ability to monitor and manage coastal erosion.</p> <p>Failure to reduce our carbon footprint by not reducing our CO<sub>2</sub> emissions and improving our energy efficiency.</p> <p>Disruption and financial cost of flooding to homes and businesses.</p> <p>Failure to engage and encourage residents to participate in Active Travel (use alternative forms of transport to the car).</p> <p>Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates.</p>   |

| 1.4 Risk Categories |        |  |
|---------------------|--------|--|
| Categories          | Yes/No | Definition   |
|                     |        | <p>The impact new developments places on putting in place a sufficient public transport infrastructure.</p> <p>Failure to fully deliver the Carbon Management Plan.</p> <p>Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including:<br/>i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales) and pollution of the local environment (e.g. contamination of groundwater; soil contamination).</p> |
| <b>Reputation</b>   | Yes    | Failure comply with the legal duties and it associated targets would have a detrimental impact on resident's perception of Council ability to tackle climate change and would attract criticism from our external regulators and Welsh Government.   |

| 2 – Risk Evaluation                      |                     |                         |                           |
|--|---------------------|-------------------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                     |                         |                           |
| Category                                 | Likelihood          | Impact                  | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 3 (Probable)        | 3 (High)                | <b>9 (Medium/High)</b>    |
| <b>Resources</b>                         | 3 (Probable)        | 4 (Catastrophic)        | <b>12 (High)</b>          |
| <b>Service Delivery &amp; Well-being</b> | 3 (Probable)        | 3 (High)                | <b>9 (Medium/High)</b>    |
| <b>Reputation</b>                        | 3 (Probable)        | 4 (Catastrophic)        | <b>12 (High)</b>          |
| <b>Overall Inherent Risk Score</b>       | <b>3 (Probable)</b> | <b>4 (Catastrophic)</b> | <b>12 (High)</b>          |











| 2.2 Controlling Inherent Risk      |   |                           |              |             |
|------------------------------------|---|---------------------------|--------------|-------------|
| Category                           | Current Controls  | Effectiveness of controls |              |             |
|                                    |   | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>• Supplementary planning guidance on sustainable development in new builds is in place.</li> <li>• Planning Policy Wales has been updated to take account of the Well-being of Future Generations Act</li> <li>• Development Management – ensuring decisions on new development proposals have regard to sustainability.</li> <li>• The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment)</li> <li>• Submitted bids to Welsh Government for Environment Grants to implement environmental and countryside programmes locally.</li> <li>• The Corporate Plan 2020-25 sets out our priorities relevant to promoting and enhancing sustainability.</li> <li>• Implementation of the requirements of the Environment Act 2016.</li> <li>• A Regional Transport Authority to govern and promote transport matters including Active Travel.</li> <li>• Motion has been passed by Full Council declaring a 'Climate Emergency' in the Vale of Glamorgan and our commitment to reducing our carbon emissions to net zero.</li> <li>• Insight Board taken lead role on discussions and progressing work on the development of Charter in response to the Climate Change Emergency Declaration.</li> </ul> | 2                         | 1            | 2           |
| <b>Resources</b>                   | <ul style="list-style-type: none"> <li>• Development of updated Carbon Management plan (CMP)</li> <li>• Space Programme and Asset Management Strategy</li> <li>• Automatic meter readings for utilities for all Vale owned buildings.</li> <li>• We completed the implementation of LED lighting in residential areas during summer 2018. We have been awarded a Salix Grant to update LED main road</li> </ul>   | 2                         | 2            | 4           |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <p>(highway) lighting which is due to be rolled out in Summer 2020. A review will be undertaken during quarter ¾ on carbon money savings as a result of this project.</p> <ul style="list-style-type: none"> <li>• Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel.</li> <li>• Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally.</li> <li>• Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally.</li> <li>• Opportunities to seek S106 funding have been carried out as and when funding becomes available throughout the year, these have included S106 Barry Waterfront funding to carry out the signage scheme.</li> <li>• Council owned &amp; leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term.</li> <li>• Vehicle &amp; plant applications are being reviewed at the time of purchase; in-line with the needs of the department.</li> <li>• New vehicles have been purchased in-line with current environmental and health &amp; Safety legislation. We continue to analyse vehicle utilisation via the vehicle management system and where possible vehicles are being replaced with a more suitable alternative or not being replaced at all.</li> <li>• Data to monitor coastal waters and erosion in this area is undertaken via in-situ equipment on site in Penarth to measure wind and tide data.</li> <li>• Biodiversity Forward Plan approved by Cabinet and aims and targets for services have been agreed.</li> </ul> |                           |              |             |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>• Prioritise maintenance in all council services – including gritting, drainage, etc.</li> </ul>  | 2                         | 1            | 2           |

| 2.2 Controlling Inherent Risk |   |                           |              |             |
|-------------------------------|---|---------------------------|--------------|-------------|
| Category                      | Current Controls  | Effectiveness of controls |              |             |
|                               |   | Likelihood Score          | Impact score | Total Score |
|                               | <ul style="list-style-type: none"> <li>• Sustainable procurement outlined in procurement guideline documents</li> <li>• Green travel plan established and publicised to all staff</li> <li>• Active Travel – ensuring walking and cycling routes are provided.</li> <li>• Worked in collaboration with the PSB to develop a Staff Healthy Travel Charter that contains 14 commitments that will promote the use of public transport, walking and cycling, agile working and ultra-low emission vehicles. There are also actions around communications and leadership.</li> <li>• Internal and external publicity for individuals and organisations on how to reduce gas emissions</li> <li>• Minimise the risk and impact of flooding and coastal erosion via an effective Flood Risk Management Plan, flood reduction measures and a Shoreline Management Plan. We effectively monitor changes in coastal waters and coastal erosion.</li> <li>• BREEAM standard for major projects e.g. schools/Extracare</li> <li>• Local Biodiversity Plan</li> <li>• Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation.</li> <li>• Work underway on the delivery of a Flood Alleviation Scheme at Boverton and Llanmaes.</li> <li>• The Vale of Glamorgan Local Development Plan (LDP) 2011-2026 was adopted by Full Council in June 2017. The LDP will be the basis for decisions on land use planning in the Vale of Glamorgan and will be used by the Council to guide and manage new development proposals.</li> <li>• The Residential Development and Householder Design Guide, Conversion of Rural Buildings, Minerals Safeguarding and Biodiversity Supplementary Planning Guidance (SPG) and Renewable Energy SPG and</li> </ul> |                           |              |             |

| 2.2 Controlling Inherent Risk |   |                           |              |             |
|-------------------------------|---|---------------------------|--------------|-------------|
| Category                      | Current Controls  | Effectiveness of controls |              |             |
|                               |   | Likelihood Score          | Impact score | Total Score |
|                               | <p>the Tourism and Leisure Development SPG have been approved for use alongside the LDP to support planning decisions.</p> <ul style="list-style-type: none"> <li>• Planning policy Wales has been updated by Welsh Government and will focus on sustainable development including biodiversity and flood risk and an update to Technical advice note (TAN) 15: development and flood risk is also expected in 2020/21.</li> <li>• A Placemaking Wales Charter has been developed in collaboration the Placemaking Wales Partnership. By developing this Charter we have agreed to support placemaking in all relevant areas of our work and promote the following principles of people and communities, location, movement, mixes of uses, public realm and identify in the planning, design and management of new and existing places.</li> <li>• All Active Travel maps have been completed and published. The Council is seeking finance to implement routes where opportunities arise.</li> <li>• The feasibility works have been completed for the bus, cycle and walking routes from Weycock Cross to Cardiff Airport. The development of a more detail design is subject to the outcome of a transport grant bid for 2019/20.</li> <li>• Successful delivery of grant funded biodiversity programme. Projects have included; the re-introduction of water voles at Cosmeston, woodland improvement works at Porthkerry and Cosmeston, Badger survey at Porthkerry and the Heritage Coast, Environmental education delivered at all sites, new leaflet designed for the Heritage Coast, community projects with Vale ways, Wick and Graig Penllyn, pollination project at Porthkerry and Heritage Coast plus a hedgerow connectivity project at Cosmeston.</li> <li>• Ten of our Parks, eight urban parks and two Country Parks have been awarded</li> </ul> |                           |              |             |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <p>Green Flag Status. Penarth Marina, Southerndown and Whitmore Bay have maintained their Blue Flag status. We have successfully maintained our Seaside Awards for Jackson Bay and Cold Knap.</p> <ul style="list-style-type: none"> <li>• The Greenlinks scheme provides transport to residents in the Vale of Glamorgan. The scheme runs five days a week and provides those unable to access regular public transport with a suitable alternative.</li> <li>• Council promotes the 'All Wales Concessionary Travel Scheme' and the 'My Travel Pass' on digital platforms.</li> <li>• Recruited volunteers to assist in the delivery of transportation initiatives.</li> <li>• Investment of S106 monies have improved walking and cycling access.</li> <li>• Delivered a programme of Biodiversity Projects funded by the Welsh Government's Single Environment Grant.</li> </ul> |                           |              |             |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>• Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns.</li> <li>• Provision of child pedestrian and cycling training in Vale schools.</li> <li>• Promotion of Active travel.</li> <li>• Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision-making processes.</li> </ul>  | 1                         | 2            | 2           |
| <b>Overall Effectiveness of Controls</b> |  | <b>2</b>                  | <b>2</b>     | <b>4</b>    |

| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |           |                                 |        |          |                     |        |                   |  |  |
|--|----------------------|--------|-----------|---------------------------------|--------|----------|---------------------|--------|-------------------|--|--|
|  | Inherent Risk Scores |        |           | Effectiveness of controls Score |        |          | Residual Risk Score |        |                   | Direction of Travel  | Forecast Direction of Travel   |
| Category   | Likelihood           | Impact | Total     | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total             |  |  |
| Political & Legislative                            | 3                    | 3      | 9         | 2                               | 1      | 2        | 2                   | 3      | 6                 |   |   |
| Resources  | 3                    | 4      | 12        | 2                               | 2      | 4        | 2                   | 2      | 4                 |   |   |
| Service Delivery & Well-being                      | 3                    | 3      | 9         | 2                               | 1      | 2        | 2                   | 3      | 6                 |   |   |
| Reputation   | 3                    | 4      | 12        | 1                               | 2      | 2        | 3                   | 2      | 6                 |   |   |
| <b>Average risk score/<br/>direction of travel</b> | 3                    | 4      | <b>12</b> | 2                               | 2      | <b>4</b> | 2                   | 3      | <b>6 (Medium)</b> |  |  |



### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.                                 | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer               | Completion Date | Status                 |
|--|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-----------------------|-----------------|------------------------|
|  |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |                       |                 |                        |
| ESR/PB00<br>1<br>ESR/FIT00<br>1<br>ESR/RP00<br>1 | Develop a strategic response (and associated plan) to the Council's declaration of a Climate Change Emergency including supporting the Public Services Board to undertake work to tackle climate change in partnership.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | T Bowring<br>CL<br>MG | March 2021      | Amber (Minor Slippage) |
| <b>ACTION UPDATE:</b>                            | <p>Across the council there continue to be examples of good work which is helping to tackle climate change. This also continues to be a PSB priority and is a recovery priority for the council. Work has been undertaken to develop a range of position statements to enable the next stage in the discussions around climate change and the development of an action plan.</p> <p>A corporate Green Infrastructure working group has been established to help guide the work on the Green Infrastructure Strategy. A presentation providing an overview of the Green Infrastructure Strategy and anticipated time scales will be given to SLT in October. The 2nd AMR has re-confirmed that the relevant LDP policies (e.g. SP1, MG16, MD1, MD2, MD4, MD9) are being implemented effectively and will continue to be monitored in future AMRs. A Council wide tree audit (iTree survey) has been commissioned, the survey will provide the Council with a data base of tree coverage and their financial worth and importance to climate change, this data will be seen as a starting point for the development of a formal Tree Strategy .</p> <p>Within Property Services, work is planned on Council buildings to ensure that they are as energy efficient as they can be.</p> |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                       |                 |                        |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.                     | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status           |
|--------------------------------------|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|------------------|
|                                      |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |                  |
| ESR/AS001<br>ESR/CS001<br>ESR/RMS001 | Review our working practices to enable us to operate more sustainably.   |                  | ☑         | ☑                    | ☑          | ☑                                  |               | ☑           | ☑          | ☑         | SC/RE   | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b>                | <p>Within Social Services, Qtr 2 has continued in the same way as Qtr 1, with the majority of the Divisional workforce working successfully from home. Staff are only going into office space and meeting service users in their own homes and are risk assessed as being required to do so. This has become the new way of working for most of the Directorate. Within Adult Services, it is anticipated that with the current displacement of some Adults teams (Ty Jenner) that this will remain the situation and preferred practice during Qtr 3 and possibly qtr 4. Within Children and Young People Services and Resource Management and Safeguarding, the majority of staff have continued to successfully work from home during the Pandemic by maximising their use of Technology, the hybrid mail system and in particular the video calling functionality for meetings. This has reduced travel and the need for office space. It is expected much of this learning will continue through a flexible approach and efficiencies will be achieved.</p> |                  |           |                      |            |                                    |               |             |            |           |         |                 |                  |
| ESR/FIT002                           | Contribute to the Council's response to maintain and enhance biodiversity in the Vale of Glamorgan by incorporating biodiversity gains in new farm business tenancy agreements and renewals as appropriate and maximising the biodiversity value of untenanted land by reducing cutting regime of hedgerows.   | ☑                | ☑         | ☑                    | ☑          |                                    |               | ☑           | ☑          | ☑         | CL      | March 2021      | GREEN (On track) |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |             |                                     |                                     | Officer | Completion Date | Status                  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement | Prevention                          | Long-Term                           |         |                 |                         |
| <b>ACTION UPDATE:</b> | No new Farm Business Tenancies (FBTs) have been entered. However, any new FBTs will incorporate biodiversity gain elements. Untenanted land hedgerows have not been cut unless urgently required for H&S requirements. |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |                         |
| ESR/FIT003            | Continue to meet our commitments under the CRC Energy Efficiency scheme and achieve annual certification.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | This work has continued.   |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |                         |
| ESR/FIT004            | Continue to implement the Re:fit (energy efficiency improvement) programme across the Council and work with services to ensure they benefit from the scheme.   |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | The works associated with this scheme are progressing although it is likely these will now be delivered through the in-house team  |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |                         |
| ESR/FIT005            | Work towards achieving our targets in the Vale of Glamorgan Council Carbon Management Plan 2018-22.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL      | March 2021      | <b>GREEN (On track)</b> |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |            | Demonstration of 5 Ways of Working |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|------------|------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation | Integration                        | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                         |
| <b>ACTION UPDATE:</b> | This work is ongoing within the team   |                                     |                                     |                                     |            |                                    |                                     |                                     |                                     |                                     |         |                 |                         |
| ESR/HS00 1            | Investigate opportunities for an affordable housing development which is carbon neutral and includes Modern Methods of Construction (MMC) and off-site manufacturing.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |            |                                    | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MI      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | Consultation with Companies able to supply MMC packages are being investigated and local suppliers are being consulted to support the Welsh economy.   |                                     |                                     |                                     |            |                                    |                                     |                                     |                                     |                                     |         |                 |                         |
| ESR/HS00 2            | Continue to improve thermal efficiency in our existing housing stock by maximising the performance of the existing components and materials of our homes and looking at alternative fuel supplies to support carbon reduction and reduce fuel poverty.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |            |                                    | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MI      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | External Wall Insulation packages continue to be identified and packed into tenders ready for contractor appointment and delivery. A grant funded bid has been submitted to Welsh Government for grant funding assistance to deliver hybrid boilers to off gas properties. this project will also support the local economy SME's if successful. |                                     |                                     |                                     |            |                                    |                                     |                                     |                                     |                                     |         |                 |                         |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.       | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status           |
|------------------------|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|------------------|
|                        |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |                  |
| ESR/HS004              | Develop a co-ordinated approach to tackling fuel poverty recognising the expertise and contribution of Registered Social Landlords towards achieving this goal.  |                  | ✓         | ✓                    | ✓          | ✓                                  | ✓             | ✓           | ✓          | ✓         | MI      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b>  | External Wall Insulation packages continue to be identified and packed into tenders ready for contractor appointment and delivery. A grant funded bid has been submitted to Welsh Government for grant funding assistance to deliver hybrid boilers to off gas properties. this project will also support the local economy SME's if successful. |                  |           |                      |            |                                    |               |             |            |           |         |                 |                  |
| ESR/HR001              | Review our corporate policies to invest in supporting infrastructure to encourage more sustainable behaviours of employees e.g. transport to and from work, agile working, active travel, waste and recycling and reducing energy consumption.   | ✓                | ✓         | ✓                    | ✓          | ✓                                  |               | ✓           | ✓          | ✓         | TD      | March 2021      | RED (Slipped)    |
| <b>ACTION UPDATE:</b>  | The timing of the COVID Pandemic has significantly disrupted this planned activity and as a result this action was not progressed during quarter 2.  |                  |           |                      |            |                                    |               |             |            |           |         |                 |                  |
| ESR/HR002<br>ESR/NS001 | Implement and promote the Public Service Board's Staff Healthy Travel Charter and encourage staff to use their cars less and to be more active.  | ✓                | ✓         | ✓                    | ✓          | ✓                                  | ✓             | ✓           | ✓          | ✓         | ER/TD   | March 2021      | GREEN (On track) |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working |               |             |                                     |                                     | Officer | Completion Date | Status               |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|------------------------------------|---------------|-------------|-------------------------------------|-------------------------------------|---------|-----------------|----------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                        | Collaboration | Involvement | Prevention                          | Long-Term                           |         |                 |                      |
| <b>ACTION UPDATE:</b> | <p>The Cycle to Work Scheme closed on 6/9/20. Large uptake by employees resulting in 124 approved applications with a total of 113 orders placed. The total value of orders placed was £139,469 with an average spend of £1,124 per order<br/>                     Min order - £170<br/>                     Max order - £3500<br/>                     This has resulted in Employer NI savings of £19,246<br/>                     Other savings on Employers Pension to be confirmed. Overall savings approx. £25-30k.<br/>                     A scheme will be made available again next year to applicants around the Qtr4/Qtr1 period.</p> |                                     |                                     |                                     |                                     |                                    |               |             |                                     |                                     |         |                 |                      |
| ESR/NS002             | <p>Continue to develop a more environmentally sustainable fleet including the use of hybrid and electric vehicles, electrical charge points and expansion of electric bike scheme.<br/> <i>Includes Milestone actions:</i></p> <ul style="list-style-type: none"> <li>Review our existing fleet with a view to purchase new vehicles (from the Neighbourhood Replacement Fund) in line with current EU Environmental Standards including the ability to operate on alternative fuel modes.</li> <li>Review the electric bike pilot in Penarth and consider extending to other areas.</li> </ul>   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                    |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | ER      | March 2021      | <b>RED (Slipped)</b> |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.       | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer  | Completion Date | Status         |
|------------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|----------|-----------------|----------------|
|                        |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |          |                 |                |
| <b>ACTION UPDATE:</b>  | Due to the onset of Covid-19 and inability to progress this scheme no work has been undertaken in Qtr2. As we move to recovery phase this area of work can be picked up. Electric bikes have been purchased but not yet used as training was scheduled for the week Wales went into lockdown.                  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |          |                 |                |
| ESR/NS003              | Implement the main road LED lighting scheme with the use of SALIX finance.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |                                     |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | ER       | March 2021      | RED (Slipped)  |
| <b>ACTION UPDATE:</b>  | Lanterns, columns and equipment has been ordered but no installation has taken place as yet, this has slipped. However, it is worth noting that originally VoGC allocated 26 weeks for this work, but the appointed Contractor has programmed to complete this work in 14 weeks ensuring we get back on track. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |          |                 |                |
| ESR/NS004<br>ESR/RP002 | Contribute to enhancing biodiversity and addressing climate change sustainability by implementing the relevant actions contained within the Biodiversity Forward Plan, including the drafting of a Tree Management Strategy and an action plan to manage Ash Dieback.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | ER<br>MG | March 2021      | RED- (Slipped) |
| <b>ACTION UPDATE:</b>  | Progress has been hindered by COVID-19 and the prioritisation of managing ongoing issues around Ash Die Back.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |          |                 |                |
| ESR/NS005              | Improve cycle and pedestrian facilities and revise the Active Travel Integrated Network Maps for the Vale of Glamorgan in accordance with Welsh Government Requirements.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | ER       | March 2021      | RED (Slipped)  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status           |
|-----------------------|---|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|------------------|
|                       |   | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |                  |
| ESR/RP003             | <p><i>Includes milestone actions:</i></p> <ul style="list-style-type: none"> <li>• Ensure all transport improvement schemes include active travel measures.</li> <li>• Promote the shift to more environmentally friendly modes of transport.</li> </ul> <p>Ensure new developments deliver appropriate sustainable travel facilities either via direct provision or through the section 106 process.</p> |                  |           |                      |            |                                    |               |             |            |           | MG      |                 |                  |
| <b>ACTION UPDATE:</b> | <p>During Qtr2 a S106 funding opportunity has been explored to continue Biglis to Dinas Powys Active Travel route and Active Travel Network Map (ATNM) pre-work has commenced (with updating ERM). ATNM available on VoG website - linked from AT webpage (Find my AT route). There continues to be ongoing promotion of Active Travel via our Social Media channels.</p>                                 |                  |           |                      |            |                                    |               |             |            |           |         |                 |                  |
| ESR/NS006             | <p>Monitor and assess changes in coastal morphology, including the beach and cliffs, in accordance with the appropriate Shoreline Management Plans.</p> <p><i>Includes milestone action:</i></p> <ul style="list-style-type: none"> <li>• Monitor the actions contained in the Shoreline Management Plan.</li> </ul>  |                  | ✓         | ✓                    | ✓          |                                    |               | ✓           | ✓          | ✓         | ER      | March 2021      | GREEN (On track) |



| 3. Risk Management Plan – Mitigating Actions |   |                  |           |                      |            |                                    |               |             |            |           |         |                 |                  |
|--|---|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|------------------|
| Risk Action Ref.                             | Action  | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status           |
|  |   | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |                  |
| <b>ACTION UPDATE:</b>                        | The collection of wind, wave and tide data at Penarth Pier is ongoing. A replacement transducer will be fitted in Q3, weather permitting and a temporary update to the processing algorithms in Q2 has maintained the data feed from the remaining transducers. A visual inspection and topographic laser scan survey of Swanbridge Bay was undertaken in September. Visual inspections were also undertaken from Lavernock to Penarth in the current quarter following reports of cliff falls.   |                  |           |                      |            |                                    |               |             |            |           |         |                 |                  |
| ESR/NS007                                    | Revise the Local Flood Risk Management Strategy in response to the updating of the National Flood and Coastal Erosion Risk Management Strategy  |                  | ✓         | ✓                    | ✓          |                                    |               | ✓           | ✓          | ✓         | ER      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b>                        | Assessment of the impact of updated strategy and associated measures was discussed at SE Wales Flood Risk Management Group in Q2. An initial scoping and cost estimation for the delivery of updates to the LFRMS to be undertaken in Q3 and fed back to the SEWFRMG to inform WLGA position on additional funding requirements.  |                  |           |                      |            |                                    |               |             |            |           |         |                 |                  |
| ESR/NS008                                    | Implement the Llanmaes Flood Risk Management Scheme.  |                  | ✓         | ✓                    | ✓          |                                    |               | ✓           | ✓          | ✓         | ER      | March 2021      | RED (Slipped)    |
| <b>ACTION UPDATE:</b>                        | Land negotiations with third party landowners are ongoing via Estates team. No specific agreements over the necessary works have yet been confirmed or formalised but at least one land agent has been appointed. Additional survey and ground investigations were completed in September. Detailed design by AECOM has recommenced following agreement of a new contract and results of ground investigations. The programme is under review, but construction is now programmed to commence in Spring 2021, subject to land negotiations, all necessary consents, including future grant application to Welsh Government. |                  |           |                      |            |                                    |               |             |            |           |         |                 |                  |
| ESR/RP004                                    | Undertake an annual monitoring review of the Local Development Plan.  | ✓                | ✓         | ✓                    | ✓          |                                    |               | ✓           | ✓          | ✓         | MG      | March 2021      | GREEN (On track) |

| 3. Risk Management Plan – Mitigating Actions |  |                  |           |                      |            |                                    |               |             |            |           |          |                 |                         |
|--|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|----------|-----------------|-------------------------|
| Risk Action Ref.                             | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer  | Completion Date | Status                  |
|  |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |          |                 |                         |
|  | <i>Contributes to SP Action: Deliver the statutory planning function in order to protect, preserve and where possible enhance our natural and built environment and cultural heritage.</i> |                  |           |                      |            |                                    |               |             |            |           |          |                 |                         |
| <b>ACTION UPDATE:</b>                        | Annual Monitoring work has been completed with an Annual Monitoring Report to be presented to Cabinet in October.  |                  |           |                      |            |                                    |               |             |            |           |          |                 |                         |
| Links to SRR/SL005                           | Support the Council's climate change challenge priorities by progressing the feasibility and design of a low carbon building as part of the 21 <sup>st</sup> Century Schools Programme.    | ✓                | ✓         | ✓                    | ✓          |                                    |               | ✓           | ✓          | ✓         | T. Baker | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b>                        | St David's a low carbon in use building, St Nicholas and Llancarfan will be next zero carbon schools- the first in wales. We are developing a net zero in use model to pilot.              |                  |           |                      |            |                                    |               |             |            |           |          |                 |                         |
| ESR/SL001                                    | Work in partnership with colleagues in Neighbourhood Services and Transport and National Resources Wales to review and implement strategies to improve air quality around schools          | ✓                | ✓         | ✓                    | ✓          | ✓                                  | ✓             | ✓           | ✓          | ✓         | T. Baker | March 2021      | <b>RED (slipped)</b>    |
| <b>ACTION UPDATE:</b>                        | Work on this has slipped due to COVID-19. Around 500 trees due this Autumn from the Woodland Trust for our 21st Century school projects.   |                  |           |                      |            |                                    |               |             |            |           |          |                 |                         |

## Appendix 8 Corporate Risk 8: Welfare Reform

### Return to Risk Summary Report

| 1 – Risk Overview    |   |
|----------------------|---|
| 1.1 Risk Description | <p>The UK Government’s Welfare Reform has introduced the greatest change in the administration of welfare benefits for a generation. In addition to a significant change in the way in which the council will run the housing and council tax benefits service, the changes also affect Social Services and Housing Services and ultimately have an impact on the overall finances of the authority.</p> <p>The changes associated with Welfare Reform relate to the Housing Benefit scheme and the introduction of the Council Tax Reduction Scheme to replace Council Tax Benefit. The Welsh Government implemented the Discretionary Assistance Fund from April 2013 and the DWP started the roll out of the Personal Independence Payment in Wales from July 2013.</p> <p>Universal Credit which has replaced Housing Benefit, Job Seeker’s Allowance (Income Based), Employment and Support Allowance (Income Related), Income Support, Working Tax Credit and Child Tax Credit was initially introduced in the Vale of Glamorgan in February 2016. However, full implementation in the Vale of Glamorgan did not commence until October 2018.</p> <p>Originally the key facet of this risk concentrated on how we would manage our response to the Welfare Reform changes in terms of their impact on our services. Initially these challenges focused on the impact these changes would have on our ways of working (systems/processes), our workforce and our finances. Since the administration/processing of the Universal Credit claims is now undertaken by the local Job Centre Plus and the ‘Universal Support’ aspect is now provided by the Citizens Advice Bureau the administrative pressures associated with this risk have now diminished.</p> <p>As a result, the nature of this risk has shifted more towards the detrimental financial and social impact these changes are having and likely to have on the Council and on our residents. This can be evidenced through the significant rise that has been seen in rent arrears amongst Universal Credit claimants. The ongoing risk this poses to the Council is one of a financial risk to our resources if rent arrears continue to rise and the increased demand it places on our housing and in particular homelessness services if preventative measures are not successful. Failure to get to grips with managing debt prevention and recovery could ultimately lead to an increase in possession and impact more widely on homelessness across the County. Therefore, the focus going forward is maximising opportunities to proactively support and engage tenants to effectively manage their budgets, prevent rent arrears and any potential homelessness.</p> <p>In relation to the private rented sector, there are a number of reasons why a tenant may lose their accommodation, one of which includes rent arrears. It is difficult to establish the true reason for the loss of private rented accommodation, as both tenants and landlords are often reluctant to share this information. As a result, the Housing Solutions Team will record the homelessness presentation as a generic loss of rented accommodation. However, with the roll out of Universal Credit, it is anticipated that rent arrears in the Public Rented Sector will rise. The impact of this is likely to be</p> |

magnified, as private-landlords are unlikely to tolerate rent arrears, and as a result offer less flexibility in terms of repayment options.

The Council uses the Private Rented Sector to discharge its statutory duties in preventing homelessness. There is a risk that private sector landlords may be reluctant to accept Universal Credit nominees due to rent arrear concerns. This in-turn puts further pressure on our homeless services and in particular our temporary accommodation options. A lack of temporary accommodation capacity may result in us having to utilise B&B option, increasing our numbers in homeless leasing schemes or utilising more of our permanent stock.

The advent of COVID-19, has seen a growth in the numbers of people claiming Universal Credit in all areas of the Vale of Glamorgan with around 8,842 claimants representing 6.6% of the population. The largest proportionate increase in individuals claiming Universal Credit has been seen in our most deprived areas as measured by the Wales Index for Multiple Deprivation. Although government measures have been put in place to protect private renters from eviction and many banks have offered some financial relief in the form of mortgage holidays, these arrangements are not indefinite. There is the danger that COVID-19 may further compound the issues around rent arrears and see an increasing number of private home owners in mortgage payment arrears (who are now reliant on Universal Credit). These factors have the potential to further drive up the risk of a break down in tenancy/repossessions and homelessness. The challenge facing our housing services is how can we proactively work together to respond effectively to this crisis and support our citizens to maintain their homes/tenancies and prevent homelessness.

|  |                           |                             |                          |                           |  |   |
|--|---------------------------|-----------------------------|--------------------------|---------------------------|--|---|
| <b>1.2 Risk Owner</b>  |                           | <b>Head of Finance (CL)</b> |                          |                           |  |   |
| <b>1.3 Impact on our contribution to the Wellbeing Goals</b> |                           |                             |                          |                           |  |   |
| <b>A Globally Responsible Wales</b>                          | <b>A Prosperous Wales</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 and Thriving Welsh Language</b> |
| No   | Yes                       | Yes                         | Yes                      | Yes                       | Yes                                    | No  |

| <b>1.4 Risk Categories</b>         |               |   |
|------------------------------------|---------------|---|
| <b>Categories</b>                  | <b>Yes/No</b> | <b>Definition</b>   |
| <b>Political &amp; Legislative</b> | Yes           | Failure to ensure service continuity during the transitional period due to poor project planning resulting in political and legislative repercussions.  |
| <b>Resources</b>                   | Yes           | Failure to mobilise our resources effectively and work collaboratively across Council departments and our partners in order to implement welfare reform in a seamless manner.<br><br>Changes in welfare reform are likely to impact on the resourcing and workforce needs/requirements for delivery of the programme. |

| 1.4 Risk Categories                   |        |   |
|---------------------------------------|--------|---|
| Categories                            | Yes/No | Definition  |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>Failure to safeguard principles of social inclusion as a result of welfare reform.</p> <p>Welfare reform could have a detrimental impact on service user's finances and affect their ability to sustain tenancies and pay bills.</p> <p>Social impact of welfare reform could impact on tenant's health, their ability to heat their homes, live in good quality housing and feed themselves.</p> <p>Poor communication of the welfare reform changes to clients could result in them getting into debt.</p> <p>Increased number of citizens unemployed due to COVID crisis pushes more people into debt and poverty. Any detrimental impact to their finances could impact on their ability to pay their mortgages/ sustain tenancies, pay bills and afford food. This in turn puts our benefits and housing and homelessness services under increased pressure to source solutions that will enable them to continue to live in their homes, prevent homelessness and access food.</p> |
| <b>Reputation</b>                     | Yes    | <p>Poor implementation of welfare reform measures having an adverse impact on equalities commitments and our reputation as a Council.</p> <p>Failure to effectively communicate and manage delivery of welfare reform changes could damage the client's relationship and trust of the Council and ultimately its reputation.</p>  |

| 2 – Risk Evaluation                      |                           |                 |                           |
|--|---------------------------|-----------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                           |                 |                           |
| Category                                 | Likelihood                | Impact          | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>          |
| <b>Resources</b>                         | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>          |
| <b>Service Delivery &amp; Well-being</b> | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>          |
| <b>Reputation</b>                        | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>          |
| <b>Overall Inherent Risk Score</b>       | <b>4 (Almost certain)</b> | <b>3 (High)</b> | <b>12 (High)</b>          |

| 2.2 Controlling Inherent Risk      |  |                           |              |             |
|------------------------------------|--|---------------------------|--------------|-------------|
| Category                           | Current Controls   | Effectiveness of controls |              |             |
|                                    |  | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>• Identification and prioritisation of key risks associated with welfare reform.</li> <li>• Progress reports are monitored by Scrutiny Corporate Performance and Resources.</li> <li>• Public Services Board has oversight of the issues/developments in relation to Welfare Reform as it is linked to the Well-being Plan Objective to reduce poverty and tackle inequalities linked to deprivation.</li> <li>• DWP Partnership Group and Overarching Housing Forum monitors the implementation of UC and address any issues.</li> </ul>   | 2                         | 2            | 4           |
| <b>Resources</b>                   | <ul style="list-style-type: none"> <li>• Budgets have been allocated to deal with expected impact of homelessness and rent arrears.</li> <li>• Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes.</li> <li>• Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed.</li> <li>• Impact of the Council Tax Reduction Scheme and future WG funding reviewed.</li> <li>• Strengthened how welfare reform risks are managed by developing a more corporate-level approach that co-ordinates activity across the council (where one report is now presented to Corporate Performance and Resources Scrutiny Committee)</li> <li>• The Council has access to the Department of Work and Pensions' (DWP's) landlord portal and is able to check the status of claims and confirm rents and to process claims quickly. A system of managed payments (APA's) has been established so that housing costs for vulnerable tenants can be paid directly to the landlord to minimise arrears.</li> <li>• Improved our systems for monitoring rents and further automated the rent recovery process.</li> <li>• Provided access to a Customer Portal for tenants to retrieve up to date information on their rent account.</li> <li>• A Homelessness Prevention Strategy and Action Plan has been developed which incorporates homeless prevention and housing support requirements.</li> </ul> | 2                         | 2            | 4           |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | Alongside this a Housing Support Grant Delivery Plan has been developed.   |                           |              |             |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>Improved the management and access to and use of Discretionary Housing Payments.</li> <li>Improved engagement with tenants affected by the removal of the spare-room subsidy through: the provision of regular advice and information on the options open to them to address the financial impact of the change in their circumstances; the promotion of the 'Your benefits are changing' helpline; and the provision of support to tenants specifically affected by the removal of the spare-room subsidy to participate in regional/national employment schemes.</li> <li>Supported the effective roll out of Universal Credit across the Vale of Glamorgan.</li> <li>There are various initiatives/support mechanisms in place for families who are experiencing financial hardships such as the Sofa scheme, provision of advice and sustaining our partnership with the Food Bank.</li> <li>The Multi-Agency Landlord group meets regularly to discuss and identify how we mitigate the adverse impacts of welfare reform on tenants. For example working on a joint communication campaign to raise awareness of welfare reform.</li> <li>Community Investment Team works with tenants to support them through accessing employment, promoting digital inclusion and working with tenants to participate in Time banking schemes.</li> <li>Universal Credit went live on the 10 October 2018. Citizens requiring digital or personal budgeting support are assisted by the Citizens Advice Bureau.</li> <li>The Council website contains up to date information and advice on Universal Credit with links to Gov.uk along with signposting to other places to get further information and help.</li> <li>We continue to work alongside the DWP and act in accordance with the DWP legislation for Universal Credit only accepting claims from those who are exempt from claiming it. We also ensure Housing Benefit claims are cancelled correctly when we are notified of</li> </ul> | 3                         | 2            | 6           |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <p>Universal Credit claims and send the notifications back to DWP.</p> <ul style="list-style-type: none"> <li>• Applicants are signposted for help at Citizens Advice Bureau if they need additional assistance for helping to claim UC as access is all online. If they just require access to a PC or WIFI customers are signposted to the libraries where they can access these services.</li> <li>• Worked with the Department of Work and Pensions to provide a range of work placement/work experience opportunities in the Council for volunteers in receipt of state benefits.</li> <li>• The Income Team/Money Advice Team (Housing Services) work with households in financial difficulty by provided advice and assistance on budgeting, accessing additional benefits, identifying preferential tariffs, support for backdated claims/appeals.</li> <li>• A Homelessness Prevention Strategy and Action Plan is in place which incorporates homeless prevention and housing support requirements. The Housing Support Grant Delivery Plan has been developed and circulated to all Members.</li> </ul> |                           |              |             |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>• Council's website is updated with information guides on Welfare Reform for Vale residents.</li> </ul>   | 2                         | 2            | 4           |
| <b>Overall Effectiveness of Controls</b> |  | <b>2</b>                  | <b>2</b>     | <b>4</b>    |



| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |       |                                 |        |       |                     |        |                      |                     |                              |
|--|----------------------|--------|-------|---------------------------------|--------|-------|---------------------|--------|----------------------|---------------------|------------------------------|
| Category   | Inherent Risk Scores |        |       | Effectiveness of controls Score |        |       | Residual Risk Score |        |                      | Direction of Travel | Forecast Direction of Travel |
|  | Likelihood           | Impact | Total | Likelihood                      | Impact | Total | Likelihood          | Impact | Total                |                     |                              |
| 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                    | 3      | 12    | 3                               | 2      | 6     | 1                   | 2      | 2                    | ↔                   | ↑                            |
| Reputation   | 4                    | 3      | 12    | 2                               | 2      | 4     | 2                   | 2      | 4                    | ↔                   | ↑                            |
| <b>Average risk score/<br/>direction of travel</b> | 4                    | 3      | 12    | 2                               | 2      | 4     | 2                   | 2      | 4<br><b>(Medium)</b> | ↔                   | ↑                            |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| WRR/FIT0 01           | Expand the range of methods used to engage and communicate with Vale of Glamorgan citizens about our services, using digital technology.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | The service has continued to use social media to ensure information is readily available to citizens   |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |         |                 |                  |
| WRR/FIT0 02           | Continue to signpost applicants to enable them to fully access support on the digital service for UC applications.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | This work has been stepped up due to Covid 19 and all claimants are now accessing services via a digital platform  |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |         |                 |                  |
| WRR/FIT0 03           | Continue to work with colleagues across the Council to raise awareness of Welfare Reform changes, along with coordinated money advice and employment initiatives in order to maximise rental income and reduce rent arrears. | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | Work has been done on this in preparation for a report to be presented to Corporate Performance and Resources Scrutiny Committee.  |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |         |                 |                  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|---|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |   |
| WRR/HS0 01            | Develop a centrally located housing advice and support hub for all residents of the Vale of Glamorgan to ensure that citizens are able to access appropriate money advice and support.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MI      | March 2021      | <b>GREEN (On track)</b>   |
| <b>ACTION UPDATE:</b> | The One Stop Shop advice service commenced on schedule on 6th April 2020 managed by Pobl. However due to the pandemic the support services, including Money Advice offered by the Council have been delivered remotely as far as possible. The provider now has keys to the building and is working on designing the project so that is able to open while adhering to social distancing regulations |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |   |
| WRR/HS0 02            | Develop a housing support programme strategy to prevent homelessness in the Vale of Glamorgan.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MI      | March 2021      | <b>GREEN (Completed)</b><br>Action completed and will be reflected as a control in the Register |
| <b>ACTION UPDATE:</b> | A Homelessness Prevention Strategy and Action Plan is in place which incorporates homeless prevention and housing support requirements. In addition, the Housing Support Grant Delivery Plan has been developed and circulated to all Members.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |   |
| WRR/HS0 03            | Prioritise tenants receiving Universal Credit for Money Advice.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MI      | March 2021      | <b>GREEN (On track)</b>   |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status |
|-----------------------|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|--------|
|                       |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |        |
| <b>ACTION UPDATE:</b> | All tenants moving onto Universal Credit are still contacted by a Money Advisor and offered a package of assistance and advice designed to ensure the pay their rent in a timely way. Referrals of existing tenants are also made by Income Officers and followed up within days to ensure that peoples personal circumstances do not deteriorate. |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |

**1 – Risk Overview**

**1.1 Risk Description**

Public Buildings Compliance relates to our responsibilities and duties as a public organisation for ensuring that all our assets are satisfactorily compliant with all current legislative building requirements. The primary risk associated with public buildings compliance is that we fail to comply with our statutory responsibilities for ensuring the health, safety and welfare of both staff and the public when using our premises.

The Health and Safety at Work Act 1974 places specific duties on managers in the control of buildings to ensure; employees, building users and other members of the general public do not come into harm whilst using the building. Over the years, this act has been supplemented by a number of supporting regulations to ensure the safe management of; electricity, gas, asbestos, legionella, fire, lifts, etc. These duties cannot be discharged to third parties and it is the premises manager/duty-holder that is ultimately responsible for managing the risks and discharging the requirements of all the regulations associated with the building.

Whilst the legal duty to manage a building's compliance does not in all cases sit directly with the Council's Client Teams, for example: for Schools where the duty holder would be the Head teacher, the Council has a vicarious responsibility to ensure the protection of all users of its corporate buildings. There will also be cases where as a Council we externally commission services to be delivered by a Third Party. Although we are not the responsible Premises Manager/Owner of these sites, we do hold a reputational stake in ensuring that our reputation is protected. Therefore, we need to assure that there are suitable processes and procedures in place to both establish the extent of the risks that the Council is exposed to and how those risks are being effectively managed. Equally issues around leasehold and service agreements also need to be considered in terms of any potential risk implications this has the Council where we have a vested interest in the building where services are being operated from. E.g. Community Libraries.

During September 2017 a report was tabled at the Council's Corporate Management Team and it was agreed a major review would be undertaken of the Council's current management of compliance arrangements, led by the Director of Environment and Housing.

The arrangements for the management of compliance and specifically the 'compliance data' for the Council's Corporate Building Stock has significantly improved and work continues to control identified gaps in compliance. Data on compliance of our corporate buildings was not previously held centrally, and this has been a matter of concern raised by the Wales Audit Office in a recent review and was subsequently identified as a proposal for improvement in the Council's Corporate Assessment. In response to these concerns it was agreed to manage corporate compliance through a central team.

The risks associated with public buildings compliance have been further compounded by the effects of COVID-19 and in particular has impacted on our ability to manage and monitor buildings compliance. During the

|  |  |                          |                          |                           |  |   |
|--|--|--------------------------|--------------------------|---------------------------|--|---|
|  | pandemic contact with some sites has been made more difficult, where there were no staff on-site. This is also applicable to some premises where the council leases the buildings to a business. |                          |                          |                           |  |   |
| <b>1.2 Risk Owner</b>                      | <b>Director of Environment and Housing (MP)</b>  |                          |                          |                           |  |   |
| <b>1.3 Alignment with Well-being Goals</b> |  |                          |                          |                           |  |   |
| <b>A Globally Responsible Wales</b>        | <b>A Prosperous Wales</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 and Thriving Welsh Language</b> |
| Yes  | No   | Yes                      | Yes                      | No                        | No                                     | No  |

| <b>1.3 Risk Categories</b>                   |               |   |
|--|---------------|---|
| <b>Categories</b>                            | <b>Yes/No</b> | <b>Definition</b>   |
| <b><i>Political &amp; Legislative</i></b>    | Yes           | Political and legislative repercussions of failing to ensure the Council owned corporate buildings are not compliant with current duties/requirements as part of the Health and Safety at Work Act 1974.  |
| <b><i>Resources</i></b>                      | Yes           | <p>Limited availability of accurate and up to date compliance data in relation to both Council-owned assets and Third-Party provision results in the Council not being able to meet its building compliance obligations.</p> <p>Budgetary pressures impacting on the availability of asset renewal funding will impact on how the Council prioritises and meets its building compliance obligations.</p> <p>Failure to adopt a strategic approach to the management of building compliance in relation to our existing Council-owned assets.</p> <p>Insufficient resources available to effectively, monitor, prioritise and project manage completion of building compliance work.</p>   |
| <b><i>Service Delivery and Wellbeing</i></b> | Yes           | <p>Failure to fully deliver our building compliance responsibilities. This is pertinent in the context of COVID-19 when contact and access to buildings has been problematic which in turn has made the monitoring compliance more difficult.</p> <p>Failure to put in place adequate quality assurance mechanisms to assure the Council the Third-Party providers and Schools are effectively managing any building compliance issues and associated risks. This is relevant in the context of COVID-19, as contact with sites has become more difficult due to school closures.</p> <p>Failure to safeguard the wellbeing of our service users/residents/pupils in Council-owned assets and other associated public buildings as a result of an incident arising from non-compliance.</p> |

| 1.3 Risk Categories |        |   |
|---------------------|--------|---|
| Categories          | Yes/No | Definition  |
|                     |        | Inability to sustain service delivery/business continuity from premises as a result of an incident associated with non-compliance.  |
| <b>Reputation</b>   | Yes    | Erosion of public confidence and trust in the Council as a result of a compliance failure which would damage its reputation and attract negative criticism from Welsh Government our regulators.<br><br>Reputational risk of failing to address/monitor compliance in any buildings where the Council has a vested interest/stake in the premises and/or the services that are being delivered. |

| 2 – Risk Evaluation                      |                     |                  |                           |
|--|---------------------|------------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                     |                  |                           |
| Category                                 | Likelihood          | Impact           | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 3 (Probable)        | 3 (High)         | <b>9 (Medium/High)</b>    |
| <b>Resources</b>                         | 3 (Probable)        | 3 (High)         | <b>9 (Medium/High)</b>    |
| <b>Service Delivery &amp; Well-being</b> | 3 (Probable)        | 4 (Catastrophic) | <b>12 (High)</b>          |
| <b>Reputation</b>                        | 3 (Probable)        | 3 (High)         | <b>9 (Medium/High)</b>    |
| <b>Overall Inherent Risk Score</b>       | <b>3 (Probable)</b> | <b>3 (High)</b>  | <b>9 (Medium/High)</b>    |

| 2.2 Controlling Inherent Risk      |  |                           |              |             |
|------------------------------------|--|---------------------------|--------------|-------------|
| Category                           | Current Controls   | Effectiveness of controls |              |             |
|                                    |  | Likelihood Score          | Impact Score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>Regular reporting of progress/updates via Insight Board, CMT and Schools Operational Investment Board.</li> <li>Regular operational meetings with project team.</li> <li>Monthly reporting to the School Investment Operational Board on compliance status.</li> <li>Monthly compliance review meetings within Social Services Directorate to consider and review any compliance issues.</li> <li>Effective monitoring of compliance in relation to schools. Regular updates continue to be received and are having the required impact with schools. This is operating well and being monitored</li> </ul> | 2                         | 2            | 4           |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact Score | Total Score |
|  | effectively by the School Investment Operational Board. Monthly reporting received by the Learning and Skills Directorate via the School Investment Operational Board on compliance status.  |                           |              |             |
| <b>Resources</b>                         | <ul style="list-style-type: none"> <li>• Successful appointment of a Compliance Officer and two administrators.</li> <li>• Building Compliance Service is fully funded through central recharges and fee recovery on additional work delivery</li> <li>• Effective mechanism for the collection of compliance data from schools.</li> <li>• Process/mechanism established for the collection/reporting of data from Schools.</li> <li>• Discussions regarding cost mechanisms for service are ongoing.</li> <li>• Ongoing work continues to review and collate compliance data and information. A compliance system is in place to ensure that our compliance knowledge is maintained and up to date. We manage the asset record and the data to support it.</li> <li>• IPF database has been populated and relevant paperwork scanned onto the system.</li> <li>• A report has been developed to identify the status of each site and provide alerts where certificates are about to expire. Individual directorates are now receiving updates on the compliance status of their service area. Service Managers are now working well with the team to provide timely certification and reports to support their individual compliance actions.</li> <li>• Schools who have signed up to an agreement with us and are charged a 'minder's fee' for compliance. Any school not signed up to this are subject to regular monitoring visits.</li> <li>• Effective Monitoring of building compliance within Schools. Raised awareness with Premises Managers of compliance risks.</li> </ul> | 3                         | 2            | 6           |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>• Site visits are conducted on all school sites and corporate (Council owned) assets where Corporate Compliance team have been engaged.</li> <li>• IPF database is fully populated and documentation is entered onto the system to capture compliance evidence/information with service dates being updated at the same time. Individual site managers are provided regular updates on compliance</li> </ul>  | 2                         | 2            | 4           |



| <b>2.2 Controlling Inherent Risk</b>     |   |                                  |                     |                    |
|--|---|----------------------------------|---------------------|--------------------|
| <b>Category</b>                          | <b>Current Controls</b>   | <b>Effectiveness of controls</b> |                     |                    |
|  |   | <b>Likelihood Score</b>          | <b>Impact Score</b> | <b>Total Score</b> |
|  | <p>position with advance notification of certificate expiry.</p> <ul style="list-style-type: none"> <li>• Officers are working with individual sites to address any issues which have been identified during the visits.</li> <li>• Regular reminders sent to duty holders of premises for up and coming services/inspections.</li> <li>• Inventory for Social Services assets has now been completed to provide full picture of compliance in relation to Social Services.</li> <li>• Monitor corporate building compliance within schools. Schools have welcomed and engaged with the second cycle of visits. Operating these site visits has enabled us to develop a good understanding and picture of compliance across schools in the Vale of Glamorgan.</li> <li>• Regular and up to date reporting with respect to the position of building compliance in relation to the Learning &amp; Skills Directorate's building assets (including schools). It is reviewed monthly at School Investment Operational Board.</li> </ul> |                                  |                     |                    |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>• The response from schools and other sites has been very well received and better than expected.</li> </ul>   | 2                                | 2                   | 4                  |
| <b>Overall Effectiveness of controls</b> |   | <b>2</b>                         | <b>2</b>            | <b>4</b>           |

| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |          |                                 |        |          |                     |        |                       |                     |                              |
|--|----------------------|--------|----------|---------------------------------|--------|----------|---------------------|--------|-----------------------|---------------------|------------------------------|
|  | Inherent Risk Scores |        |          | Effectiveness of controls Score |        |          | Residual Risk Score |        |                       | Direction of Travel | Forecast Direction of Travel |
| Category   | Likelihood           | Impact | Total    | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total                 |                     |                              |
| 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                    | 4      | 12       | 2                               | 2      | 4        | 2                   | 2      | 4                     | ↔                   | ↔                            |
| Reputation   | 3                    | 3      | 9        | 2                               | 2      | 4        | 2                   | 2      | 4                     | ↔                   | ↔                            |
| <b>Average risk score/<br/>direction of travel</b> | 3                    | 3      | <b>9</b> | 2                               | 2      | <b>4</b> | 2                   | 2      | <b>4<br/>(Medium)</b> | ↔                   | ↔                            |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |             |                                     |                                     | Officer | Completion Date | Status                  |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                       |   | Political & Legal                   | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement | Prevention                          | Long-Term                           |         |                 |                         |
| BCR/FIT001            | Continue to support the monitoring of corporate building compliance data including supporting managers to use the CIPFA (IPF) asset management system to record asset information.                | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL/LC   | March 2021      | <b>GREEN (On Track)</b> |
| <b>ACTION UPDATE:</b> | Logins have been created for all properties; some technical difficulties have prevented some buildings from being accessed. Work is ongoing to resolve these issues. Target for completion Q3/Q4. |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |                         |
| BCR/FIT002            | Review the way in which compliance issues are managed across the authority.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | CL/LC   | March 2021      | <b>N/A</b>              |
| <b>ACTION UPDATE:</b> | Action is not yet due to commence. Review of compliance issues is conducted annually.   |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |                         |
| BCR/RMS001            | Lead on putting in place effective and robust building compliance arrangements in relation to our Social Services buildings that we operate services in and from.                                 | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP      | March 2021      | <b>GREEN (On track)</b> |

| 3. Risk Management Plan – Mitigating Actions |   |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |   |
|--|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------|-------------------------------------|-------------------------------------|---------|-----------------|---|
| Risk Action Ref.                             | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |             |                                     |                                     | Officer | Completion Date | Status  |
|  |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement | Prevention                          | Long-Term                           |         |                 |   |
| <b>ACTION UPDATE:</b>                        | Some progress made but not all buildings are occupied at present due to the Pandemic, but all compliance data is up to date.  |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |   |
| BCR/HS001                                    | Monitor corporate building compliance within Schools to raise awareness with premises Managers of any compliance risks.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MI      | March 2021      | <b>GREEN (Completed)</b><br>Action completed and will be reflected as a control in the Register |
| <b>ACTION UPDATE:</b>                        | The pandemic has enabled the team to work with all schools and Premises Managers raising the awareness and importance of building compliance. Specifically, the importance of legionella management and Gas servicing has been brought to the fore with awareness about the importance of continued management of water services particularly when buildings are empty. |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |   |
| BCR/HS002                                    | Provide regular compliance updates to the School Investment Operational Board (SIOB).   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MI      | March 2021      | <b>GREEN (On track)</b>   |
| <b>ACTION UPDATE:</b>                        | Monthly updates are being provided to the SIOB for review and to understand where individual schools are in relation to compliance. This has become more important during the pandemic to ensure schools are safe to reopen as quickly as possible.   |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |   |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |             |                                     |                                     | Officer | Completion Date | Status  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------|-------------------------------------|-------------------------------------|---------|-----------------|---|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement | Prevention                          | Long-Term                           |         |                 |   |
| BCR/HS003             | Review funding arrangements to ensure long term building compliance sustainability.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MI      | March 2021      | <b>GREEN (Completed)</b><br>Action completed and will be reflected as a control in the Register |
| <b>ACTION UPDATE:</b> | Service is now fully funded through central recharges and fee recovery on additional work delivery   |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |   |
| BCR/HS004             | Undertake regular public buildings inspections to ensure we meet our building compliance responsibilities.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | ER      | March 2021      | <b>GREEN (On track)</b>   |
| <b>ACTION UPDATE:</b> | Regular site inspections continue to take place with individual building managers being informed of any shortfall where necessary. All school site visits have been completed for the year |                                     |                                     |                                     |                                     |                                     |               |             |                                     |                                     |         |                 |   |
| BCR/SL001             | Maintain and report an up to date position with respect to building compliance in  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |             | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TB      | March 2021      | <b>GREEN (Completed)</b>  |

| 3. Risk Management Plan – Mitigating Actions |  |                  |           |                      |            |                                    |               |             |            |           |         |                 |   |
|--|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|---|
| Risk Action Ref.                             | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status  |
|  |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |   |
|  | relation to the Learning & Skills Directorate's building assets and within schools.  |                  |           |                      |            |                                    |               |             |            |           |         |                 | Action completed and will be reflected as a control in the Register |
| <b>ACTION UPDATE:</b>                        | Regular reporting is now in place and is reviewed monthly at School Investment Operational Board. This proved to be of significant benefit in ensuring all schools were safe to reopen after the lengthy period of closure. This is now firmly embedded and can be considered business as usual. |                  |           |                      |            |                                    |               |             |            |           |         |                 |   |

| 1 – Risk Overview    |   |
|----------------------|---|
| 1.1 Risk Description | <p>The Council has produced a Corporate Safeguarding policy including the Safer Recruitment Policy, the Staff Supervision Policy and the Referral of Safeguarding Concerns procedure. These policies and procedures are in place to ensure the Council meets its safeguarding responsibilities in relation to the protection of children, young people and adults at risk by ensuring that recruiting managers comply with pre-employment DBS and reference checks and once in post, employees are supervised in terms of their practice with people considered to be ‘at risk’. The Council will also have a responsibility to comply with the Wales Safeguarding procedures when they are launched in November 2019.</p> <p>The Provider Performance Protocol provides a framework for escalating concerns about safeguarding issues and the impact on vulnerable people arising within care homes and other relevant commissioned services.</p> <p>Should these procedures not be followed there could a risk of injury or harm to individuals. Injury or harm could also lead to financial loss to the council in terms of compensation claims and reputational damage to the council, leading to a loss of public confidence in key services. The likelihood of this risk occurring increases if policies and procedures are not frequently reviewed and updated, or if compliance with these policies is not fully implemented across the council. Therefore, the overarching risk is that corporate safeguarding procedures may not be sufficient, followed, or are ineffective.</p> <p>Of huge concern is the impact that the pandemic will have on children and young people at risk of abuse and or child sexual exploitation. During the pandemic, children may be at a higher risk as traditional face to face contacts with statutory services such as teachers, health care professionals, which help mitigate and respond to any emerging risks have been reduced. Although, services have adapted their processes to operate digitally, it does not replace the benefit of regular face to face contact when it comes to safeguarding matters. The pandemic has heightened our awareness of the ‘Duty to Report’ and we have undertaken a Facebook campaign to enhance the public’s awareness of Social Services and the ‘101 telephone number’ to report any concerns about the safety/welfare of children, young people and adults. The concern is that the impact of COVID-19 and the associated restrictions will contribute to a surge in demand for our children and young people services.</p> |
| 1.2 Risk Owner       | <b>Head of Resource Management and Safeguarding (AP)</b>  |

| 1.3 Impact on our contribution to the Wellbeing Goals |                    |                   |                   |                    |                                 |  |
|---|--------------------|-------------------|-------------------|--------------------|---------------------------------|--|
| A Globally Responsible Wales                          | A Prosperous Wales | A Resilient Wales | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
| No  | No                 | No                | Yes               | Yes                | Yes                             | No   |

| 1.4 Risk Categories                |        |   |
|------------------------------------|--------|---|
| Categories                         | Yes/No | Definition  |
| <b>Political &amp; Legislative</b> | Yes    | <p>The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse. Other organisations are unable to meet their responsibilities for responding effectively to situations where people are at risk of neglect or abuse.</p> <p>Political and legislative repercussions of failing to meet the requirements of key legislation and the Wales Safeguarding procedures which could lead to litigation and/or political instability.</p> <p>Inability to implement safeguarding requirements of the Social Services and Well-being (Wales) Act 2014.</p> <p>Our Corporate Safeguarding procedures are insufficient, not followed or are ineffective.</p> <p>Risk of judicial review as a result of insufficient capacity in care settings to deliver services that effectively meet the identified care and support needs of service users.</p> |
| <b>Resources</b>                   | Yes    | <p>Recruiting managers are not sufficiently trained to apply the relevant safeguarding procedures resulting in these procedures being breached.</p> <p>Inability to provide levels of training for staff or independent sector to ensure quality of care for citizens provided by Council.</p> <p>Failure to safeguard vulnerable groups as a result of recruiting unsuitable staff.</p> <p>Failure to have suitable information sharing mechanisms in place to ensure safeguarding concerns are reported to the right people at the right time.</p> <p>Insufficient operational staff capacity to ensure timely assessments and risk management plans are completed.</p> <p>Increase in numbers and complexity of care proceedings in the context of reduced court timescales impacting on court costs,</p>  |



| 1.4 Risk Categories                   |        |   |
|---------------------------------------|--------|---|
| Categories                            | Yes/No | Definition  |
|                                       |        | <p>Social Worker caseloads and ensuring that other cases receive the attention they require.</p> <p>Availability of other partners to support the preventative services agenda.</p> <p>Ability to fully operate preventative/early family help services e.g. Families First/Flying Start services may be undermined by impact of COVID-19 and the strain this puts on our resources. This in turn could detrimentally impact on our opportunities to engage with children and their families at an early stage.</p> <p>Failure to effectively support and safeguard the most vulnerable in society who have been advised to isolate within their own homes for 12 weeks as per government guidance. Poorly co-ordinated support networks could result in our most vulnerable citizens unable to access essential supplies and medicines if they have little or no social networks they can rely on.</p> |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>Care homes may be embargoed or closed down due to concerns which have not been resolved through the Provider Performance process, resulting in disruption to the living arrangements of adults.</p> <p>Domiciliary care providers are unable to provide a high-quality standard of service to our residents.</p> <p>Failure to put in place appropriate safeguards and follow the Wales Safeguarding Procedures for children, young people and adults at risk resulting in potential harm/injury.</p> <p>Increased incidences of family abuse, neglect and domestic violence, places increased pressure on our safeguarding services. This combined with the social distancing measures challenges how we operate our services and safeguard children, young people and adults at risk.</p>  |
| <b>Reputation</b>                     | Yes    | <p>The erosion of public confidence and trust in the Council as a result of a safeguarding incident would damage the reputation of the Council and attract negative criticism from our regulators.</p>  |

| 2 – Risk Evaluation                      |                     |                  |                           |
|--|---------------------|------------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                     |                  |                           |
| Category                                 | Likelihood          | Impact           | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 2 (Possible)        | 3 (High)         | <b>6 (Medium)</b>         |
| <b>Resources</b>                         | 3 (Probable)        | 3 (High)         | <b>9 (Medium/High)</b>    |
| <b>Service Delivery &amp; Well-being</b> | 3 (Probable)        | 3 (High)         | <b>9 (Medium/High)</b>    |
| <b>Reputation</b>                        | 2 (Possible)        | 4 (Catastrophic) | <b>8 (Medium/High)</b>    |
| <b>Overall Inherent Risk Score</b>       | <b>3 (Probable)</b> | <b>3 (High)</b>  | <b>9 (Medium/High)</b>    |

| 2.2 Controlling Inherent Risk      |  |                           |              |             |
|------------------------------------|--|---------------------------|--------------|-------------|
| Category                           | Current Controls   | Effectiveness of controls |              |             |
|                                    |  | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>• Ongoing review of the Wales Safeguarding Procedures Management Group and contribute to national developments.</li> <li>• Implement and embed new Wales Safeguarding Procedures</li> <li>• Build and develop on the Regional Safeguarding Boards model.</li> <li>• Work with the Regional Safeguarding Boards, the Council's Corporate Safeguarding Steering Group and schools to deliver our safeguarding responsibilities.</li> <li>• We have contributed to developing the priorities outlined in the Regional Safeguarding Board's Annual plan.</li> <li>• Established a corporate-wide policy on safeguarding covering all council services that provides a clear strategic direction and clear lines of accountability across the council.</li> <li>• Six monthly reporting to Cabinet of application of the safer recruitment policy</li> </ul> | 3                         | 2            | 6           |

| 2.2 Controlling Inherent Risk |   |                           |              |             |
|-------------------------------|---|---------------------------|--------------|-------------|
| Category                      | Current Controls  | Effectiveness of controls |              |             |
|                               |   | Likelihood Score          | Impact score | Total Score |
|                               | <p>and corporate safeguarding arrangements.</p> <ul style="list-style-type: none"> <li>• The Corporate Safeguarding Group (CSG) meet quarterly and they have developed a work plan to help monitor the implementation of the Corporate Safeguarding Policy. A designated safeguarding page has been designed which will hold all the details of the CSG policy, personnel with links to relevant policy/procedures and other guidance to support safeguarding practice and awareness.</li> <li>• On-going regular CSG meetings taking place which a review of the action plan. A smaller task and finish group has been developed to concentrate on specific actions within directorates across the local authority. Progress on the action plan and the CSG remit is reported annually to each cabinet and scrutiny committee.</li> <li>• Child Practice Review and Adult Practice Review Sub-groups are well established. On an ongoing basis, thematic learning from these and associated reviews are collated and presented to the Safeguarding Board to inform the work programme of the Safeguarding Board sub-groups.</li> </ul> |                           |              |             |
| <b>Resources</b>              | <ul style="list-style-type: none"> <li>• Safer Recruitment Policy is in place to ensure safeguarding checks are carried out on staff working with the public and vulnerable people. All schools in the Vale of Glamorgan have also adopted the policy.</li> <li>• The Council's Duty to Report Safeguarding Concerns procedure is in place to provide employees with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V.</li> <li>• Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable people.</li> <li>• All elected members and staff who come into contact with children on a regular</li> </ul>   | 3                         | 2            | 6           |

| 2.2 Controlling Inherent Risk |  |                           |              |             |
|-------------------------------|--|---------------------------|--------------|-------------|
| Category                      | Current Controls   | Effectiveness of controls |              |             |
|                               |  | Likelihood Score          | Impact score | Total Score |
|                               | <p>basis receive training on safeguarding and child protection issues and the Council's corporate policy on safeguarding. For staff there is mandatory safeguarding training on Regional Safeguarding Board training, safer recruitment training given through mandatory recruitment and selection course; e-learning module in relation to safeguarding children.</p> <ul style="list-style-type: none"> <li>• Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy.</li> <li>• The application of the Safer Recruitment policy continues to be promoted within Service areas and is monitored on an ongoing basis, with reports to Cabinet and the relevant Scrutiny Committee on a six-monthly basis. The Safer Recruitment policy has been adopted in all schools within the Vale of Glamorgan.</li> <li>• 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.</li> <li>• Launched a new Safeguarding hotline to support staff to have a single point of contact to report any concerns they have regarding the wellbeing of an adult or a child and fulfil the Duty to Report.</li> <li>• Staff continue to be supported via training sessions to ensure all staff are trained in the four core modules of the new Act.</li> <li>• The Regional safeguarding board has facilitated the opportunity to attend updated APSO training for nominated adult services staff. This training has enabled designated personnel to maintain their requirement for annual training. The Welsh Community Care Information System (WCCIS) has streamlined the adult safeguarding process in terms of recording enquiries and decision making within 7 days.</li> </ul> |                           |              |             |

| 2.2 Controlling Inherent Risk            |   |                           |              |             |
|--|---|---------------------------|--------------|-------------|
| Category                                 | Current Controls  | Effectiveness of controls |              |             |
|  |   | Likelihood Score          | Impact score | Total Score |
|  | <ul style="list-style-type: none"> <li>The i-Dev mandatory module for Safeguarding was rolled out to all Vale of Glamorgan employees in November 2017.</li> <li>Data linked to CSE is collated on a monthly basis and is reported through annual reporting. The Regional Safeguarding Children's Board has recently piloted a 'deep dive' case audit using the CEF tool and findings from this audit will be considered and how to implement within the local authority. Recommendations from this audit have been presented to the Business Planning Group of the Regional Safeguarding Board.</li> <li>The new Wales Safeguarding Procedures were launched in November 2019, led by Cardiff &amp; Vale Safeguarding Board with the chair of the Project Board being the Director of Social Services from the Vale of Glamorgan. These national procedures will be formally adopted and then implemented by regional safeguarding boards by March 2020.</li> </ul>             |                           |              |             |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>Provider Performance Protocol procedures are embedded in relation to the managing of commissioned services.</li> <li>Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely and appropriate action.</li> <li>Obtain the views of children and adults at risk/their families and implement protocols in respect of abuse and neglect</li> <li>A Child Sexual Exploitation Strategy has been developed and a Sexual Exploitation Risk Assessment Framework referral process is in place.</li> <li>Information sharing protocols are in place and used appropriately.</li> <li>Ongoing implementation of the actions arising from Operation Jasmine with a particular emphasis on bringing together policies and processes and reviewing the escalating Concerns Policy.</li> <li>The application of the Safer Recruitment policy continues to be promoted within</li> </ul> | 3                         | 2            | 6           |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <p>Service areas and is monitored on an ongoing basis, with reports to Cabinet and the relevant Scrutiny Committee on a six-monthly basis. All Schools are compliant with the Safer Recruitment Policy. The process is now fully established and operational but will be subject to continual monitoring and review to ensure full compliance remains showing our commitment to the protection, welfare and safeguarding of children and adults at risk.</p> <ul style="list-style-type: none"> <li>• Developed a mechanism to utilise learning associated with safeguarding.</li> </ul> |                           |              |             |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>• Obtain the views of children and adults at risk /their families and implement protocols in respect of neglect and child sexual exploitation.</li> <li>• Information sharing protocols are in place and used appropriately.</li> </ul>   | 3                         | 1            | 3           |
| <b>Overall Effectiveness of Controls</b> |  | <b>3</b>                  | <b>2</b>     | <b>6</b>    |

| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |          |                                 |        |          |                     |        |                            |                     |                              |
|--|----------------------|--------|----------|---------------------------------|--------|----------|---------------------|--------|----------------------------|---------------------|------------------------------|
|  | Inherent Risk Scores |        |          | Effectiveness of controls Score |        |          | Residual Risk Score |        |                            | Direction of Travel | Forecast Direction of Travel |
| Category   | Likelihood           | Impact | Total    | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total                      |                     |                              |
| 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                          |                     |                              |
| Reputation   | 2                    | 4      | 8        | 3                               | 1      | 3        | 1                   | 4      | 4                          |                     |                              |
| <b>Average risk score/<br/>direction of travel</b> | 3                    | 3      | <b>9</b> | 3                               | 2      | <b>6</b> | 1                   | 3      | <b>3<br/>(Medium /Low)</b> |                     |                              |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| SR/ALN001<br>SR/SP001 | Implement the Wales Safeguarding Procedures are embedded in practice within all education settings and in-house and monitor and challenge compliance.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD/MH   | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | Within the Learning and Skills Directorate, at the end of summer term, there was 100% compliance for level 1 and level 2 Safeguarding training across schools. The training during Autumn term was also well attended and compliance remains high. Within the Standards and Provision Division safeguarding training compliance was 75% for level 1 and 50% for level 2. We continue to push to increase compliance rates across the whole Directorate. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| SR/AS001              | Implement/adhere to the Wales Safeguarding Procedures as it relates to Adult Services.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | Social Care Wales have developed training material and awaiting further information from the Regional Training Unit regarding plans for rolling out this training.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| SR/RMS001             | Support the full roll out of the Wales Safeguarding Procedures to our workforce. (Milestone Action)<br><i>Contributes to SP Action: Embedding a consistent approach to safeguarding to ensure that we can effectively safeguard our citizens from abuse, harm and neglect.</i>  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP      | March 2021      | RED (Slipped)    |



### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|---|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |   |
| <b>ACTION UPDATE:</b> | Progress during Qtr2 in residential services has slipped due to our ongoing emergency response to COVID concerns. The Digital Medication Administration System is 'on hold' until it is possible to facilitate roll out. Digital learning programme for staff has been rolled out and has been successful. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |   |
| SR/RMS002             | Develop a mechanism to utilise learning associated with safeguarding. (Milestone)<br><i>Contributes to SP Action: Embedding a consistent approach to safeguarding to ensure that we can effectively safeguard our citizens from abuse, harm and neglect.</i>   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP      | March 2021      | <b>GREEN (Completed)</b><br><br>Action completed and will be reflected as a control in the Register |
| <b>ACTION UPDATE:</b> | Learning is regularly disseminated, mechanisms for sharing within various platforms to be explored.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |   |
| SR/RMS003             | Support the implementation of the Exploitation Strategy and associated action plan. (Milestone action)<br><i>Contributes to SP Action: Work with partners to developing a thematic approach to how we enhance our knowledge and understanding of</i>   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP/NJ   | March 2021      | <b>GREEN (On track)</b>   |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status                  |
|-----------------------|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|-------------------------|
|                       |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |                         |
|                       | <i>exploitation and how this can be used to inform information policy and practice.</i>  |                  |           |                      |            |                                    |               |             |            |           |         |                 |                         |
| <b>ACTION UPDATE:</b> | Regional Exploitation Strategy has been ratified by the Regional Safeguarding Boards. A project group has been set up to identify the priorities for the region and develop an associated action plan  |                  |           |                      |            |                                    |               |             |            |           |         |                 |                         |
| SR/RMS004             | Support the delivery of exploitation priorities as identified by the Corporate Safeguarding Group. (Milestone action)<br><br><i>Contributes to SP Action: Work with partners to developing a thematic approach to how we enhance our knowledge and understanding of exploitation and how this can be used to inform information policy and practice.</i> | ✓                | ✓         | ✓                    | ✓          | ✓                                  |               | ✓           | ✓          | ✓         | AP/NJ   | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | Corporate Safeguarding Group are aligning priorities and actions to the Regional Exploitation Strategy. We intend to engage with all directorates in its delivery through awareness raising and training sessions.   |                  |           |                      |            |                                    |               |             |            |           |         |                 |                         |
| SR/HR001              | Support the Corporate Safeguarding Group to monitor and challenge compliance with the  | ✓                | ✓         | ✓                    | ✓          | ✓                                  |               | ✓           | ✓          | ✓         | TD      | March 2021      | <b>GREEN (On track)</b> |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                        |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                               |
|                       | <p>Council’s Safeguarding Policy in line with our responsibilities.</p> <p><i>Milestone Action: Ensure robust procedures are followed in the recruitment of key posts requiring DBS checks.</i></p>  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                               |
| <b>ACTION UPDATE:</b> | Monitoring compliance has continued throughout the Covid-19 pandemic. The latest Safer Recruitment figures will be fed back to Corporate Safeguarding in due course.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                               |
| SR/SRS001             | Support the three Councils to meet the Audit Wales recommendations placed upon them in respect of safeguarding.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DH      | March 2021      | <b>Amber (Minor slippage)</b> |
| <b>ACTION UPDATE:</b> | This action has not progressed further during Qtr2 due to the Covid-19 pandemic. Notwithstanding this, the service has prior to this financial year strengthened improvements in safeguarding of children by improving the written knowledge test for taxi drivers to include a section on CSE in both Bridgend and Cardiff. Furthermore, Bridgend has also offered training to the Taxi community and engaged with workers in the nighttime economy by providing information on CSE. There remains further work to be done in Cardiff and the Vale to meet the recommendations and this will commence as soon as practicable. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                               |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                 |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                        |
| SR/SRS002             | Undertake a series of activities to safeguard the vulnerable to ensure that children are protected from harmful substances and products, older people are protected from rogue traders and scams and vulnerable people are not subject to exploitation, slavery and trafficking.<br><i>Milestone Action: Deliver the Shared Regulatory Service Business Plan actions (set out in section 6.2 of the Plan).</i>  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DH      | March 2021      | Amber (Minor Slippage) |
| <b>ACTION UPDATE:</b> | Elements of the SRS Business Plan 2020-21 have been delivered as far as possible alongside the SRS response to the Covid-19 pandemic which has included a significant amount of enforcement of the Health Protection Coronavirus Restrictions (Wales) Regulations and providing staff to work on the Test Trace, Protect initiative. Just as SRS was at the forefront of the initial business closure work during Qtr 1, it has been playing a crucial role in supporting businesses as they prepared to re-open to the public during Qtr 2, with the focus changing to one where businesses are being challenged as to the continued adequacy of the measures they have in place as well as their ability to control the behaviours of customers through the issue of Improvement Notices and Closure Orders. Other work includes resolving complaints and service requests surrounding the coronavirus pandemic from consumers and traders requesting advice about covid related matters including non-compliance with social distancing; premises trading in breach of the regulations and refunds for holidays that were cancelled as a result of the pandemic. Further work has included market surveillance of hand sanitisers and face masks that have been supplied as PPE which resulted in several brands of hand sanitiser being identified as ineffective against viruses including Covid-19. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                        |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer  | Completion Date | Status                  |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|----------|-----------------|-------------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |          |                 |                         |
| SR/SL001              | Continue to work in partnership to maintain rigorous safeguarding protocols as part of the 21 <sup>st</sup> Century School Investment programme governance scheme and monitor compliance.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | T. Baker | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | The School Investment Operational Board and the School Investment Project Board continue to meet to ensure priority schemes and compliance monitoring remain under scrutiny. Effective communication between Learning & Skills and Building Services during quarter 1 and 2 ensured that schools could reopen safely with all required legionella testing and certification in place. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |          |                 |                         |
| SR/SL002              | Continue to monitor and enforce policies for schools visits and support safer recruitment in schools via a new training system.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | T. Baker | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | This project has progressed to plan, and the project team have prepared the necessary data for all school-based staff and the IDEV safer recruitment and safeguarding modules will be launched in quarter 3 and 4 as planned.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |          |                 |                         |

Return to Risk Summary Report

| 1 – Risk Overview    |  |
|----------------------|--|
| 1.1 Risk Description | <p>Adult Services are becoming increasingly integrated with health services in order to provide service users and patients with seamless care arrangements. There is also an emphasis as part of the Social Services Wellbeing Act to focus on looking at integrated ways of working through collaboration. The recommendations arising from the recent Parliamentary Review of Health and Social Care has further cemented the need for further developing our approach to integrating health and social care services. The Parliamentary review identified that the focus needs to be on ‘empowering individuals to take decisions, tailoring care to the individual’s expressed needs, whilst being more proactive and preventative. The review also emphasised the need for care provision to be ‘seamless’, of high quality and as close to home as possible.</p> <p>Existing HR and IT arrangements may need to be reviewed as organisations work more closely together. The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&amp;V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by Cwm Taf Morgannwg. Integration with C&amp;V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services. The focus continues to be on accessing funding such as Integrated Care Fund and Transformation Fund in order to further expand and develop our integrated service models. For example, Regional Partners previously submitted a bid to access Transformation Funding to support implementation of the Parliamentary Review recommendations. As a result, the region was awarded £7million to deliver 7 projects across the Cardiff and Vale region with the vision of developing more ‘seamless care’ for our citizens. This first bid focussed primarily on older persons. £1.3million of this Transformation funding was secured by the Vale of Glamorgan in partnership with the Health Board to lead on piloting a new GP triaging scheme using the Council’s Customer Contact Centre (C1V). Additionally, we have been able to secure continued funding for ICF projects and develop some new under slippage/new monies.</p> <p>Although, significant strides have been made by the Vale of Glamorgan in relation to integrated health and social care services, there continue to be risks and challenges associated with its delivery. For example, developing a more integrated approach to service provision is likely to propose further challenges with technology, information sharing, staffing structures and governance re policies and financial management. Financial scrutiny will be required to ensure that any risks associated with mandated pooled funding are properly considered. There are also risks associated with the overall sustainability of these new ways of working, given that a significant amount of investment in new ways of working is via Grant funding and therefore short term and finite.</p> <p>These challenges and associated risks have been compounded by the COVID-19 pandemic, but also provided some opportunities where change has been accelerated. Despite our progressive approach of working with our partners, collaboration in relation to developing alternative models of service delivery is likely to remain an ongoing challenge especially in light of COVID-19 as partner organisations seek to put in place their recovery</p> |

|  |  |                          |                          |                           |  |   |
|--|--|--------------------------|--------------------------|---------------------------|--|---|
|  | strategies from the Pandemic. Equally, managing customer expectations for accessing health and social care at a time when there continues to be demand for our services will continue to be an ongoing challenge as we manoeuvre our way through the COVID-19 crisis and seek to change how we deliver services in the future. |                          |                          |                           |  |   |
| <b>1.2 Risk Owner</b>  | <b>Head of Adult Services (SC)</b>   |                          |                          |                           |  |   |
| <b>1.3 Impact on our contribution to the Wellbeing Goals</b> |  |                          |                          |                           |  |   |
| <b>A Globally Responsible Wales</b>                          | <b>A Prosperous Wales</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 and Thriving Welsh Language</b> |
| No   | No   | No                       | Yes                      | Yes                       | Yes                                    | No  |

| <b>1.4 Risk Categories</b>                |               |  |
|---|---------------|--|
| <b>Categories</b>                         | <b>Yes/No</b> | <b>Definition</b>  |
| <b><i>Political &amp; Legislative</i></b> | Yes           | <p>Inability and capacity of key partners to work effectively together to deliver integrated health and social care services across the region. This is particularly pertinent in the context of COVID, as our resources and the resources of our health partners have been reprioritised and redirected to address pressures related to COVID.</p> <p>Failure to put in place effective governance structures to ensure accountability and transparency in decision making which could have a detrimental impact on the ability to integrate health and social care services.</p>   |
| <b><i>Resources</i></b>                   | Yes           | <p>Failure to effectively project plan, manage and communicate changes to models of service delivery resulting in delays and/or compromising the quality and delivery of integrated health and social care services.</p> <p>Inability of staff to work effectively across organisational boundaries to deliver the integrated health and social care programme, as a result of capacity of key team members whilst managing operational issues, and lack of experience in managing projects. Collaboration by partners could become increasingly more challenging in light of COVID-19, as we along with our partner organisation seek to focus our resources on our recovery from the pandemic, if we work in silos this may compromise identification of opportunities to deliver services differently and not effectively use resources in a collaborative way. In addition, differences in ability to work in a more agile manner causes issues as health staff remain in buildings whereas Council staff are effectively able to work from home. This furthers the potential for silo working and undermines the partnership/integration if the access to effective IT/digital solutions is not equitable.</p> <p>Failure of partners to implement the statutorily required integrated IT information system that is accessible to staff across the health and social care organisational boundaries.</p> |

| 1.4 Risk Categories                   |        |  |
|---------------------------------------|--------|--|
| Categories                            | Yes/No | Definition   |
|                                       |        | <p>Failure to agree further pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny.</p> <p>Ineffective scrutiny of the utilisation and expenditure of properly pooled budgets.</p> <p>The volatility of grant funding streams impacts on our ability to develop, commission and sustain integrated health and social care services into the longer term due to the short-term and time-limited nature of funding e.g. ICF and Transformation funding. This volatility will be further compounded in the advent of COVID, as it became necessary to redeploy staff to support COVID related work and the Welsh Government redirected earmarked transformation monies into COVID-specific recovery efforts. In addition, some existing grant funded posts were redirected to support critical functions to respond to the pandemic, which has impacted on some progress made by ICF and Transformation projects. This coupled with the fact that ICF and Transformation grants were due to cease in March 2021, raises concerns over the sustainability of our transformation work. However, we now understand that these grant funding streams will be continued until 2022 and are awaiting further clarity for these before confirming future plans.</p> <p>Capacity to deliver fully integrated service models with existing assets and infrastructure and in line with the University Health Board's 'Shaping our Future Well-being' agenda that will see the development of Well-being Hubs/Health Centres. This is applicable in the context of COVID, when our resources and those of our health partners have been diverted to the frontline. This could potentially impact on our capacity to progress transformation projects including service developments such as implementing the 'Shaping our Future Well-being' Agenda particularly in relation to timelines.</p> |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>Failure to maintain business continuity and strengthen service resilience as a result of changes made to service delivery models during the transitional period.</p> <p>Risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics.</p> <p>Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services.</p> <p>Disproportionate funding split in relation to partners spending/commissioning of care arrangements impacting on the ability to deliver integrated health and social care services that meet the diverse needs of the community.</p> <p>Poor communication with staff and service users regarding changes to how services will be delivered could impact on the</p>   |



| 1.4 Risk Categories |        |  |
|---------------------|--------|--|
| Categories          | Yes/No | Definition   |
|                     |        | quality and consistency of service delivery and on the awareness/take up of services.<br><br>Failure to adequately resource the Customer Contact Centre for dealing with health and social care queries impacting on access to services and waiting times. |
| <b>Reputation</b>   | Yes    | Failure to manage expectations of service delivery as part of the new delivery models impacting on the Council's reputation.   |

| 2 – Risk Evaluation                      |                     |                 |                           |
|--|---------------------|-----------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                     |                 |                           |
| Category                                 | Likelihood          | Impact          | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Resources</b>                         | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Service Delivery &amp; Well-being</b> | 3 (Probable)        | 3 (High)        | <b>6 (Medium/High)</b>    |
| <b>Reputation</b>                        | 3 (Probable)        | 3 (High)        | <b>6 (Medium)</b>         |
| <b>Overall Inherent Risk Score</b>       | <b>3 (Probable)</b> | <b>3 (High)</b> | <b>9 (Medium/High)</b>    |

| 2.2 Controlling Inherent Risk      |   |                           |              |             |
|------------------------------------|---|---------------------------|--------------|-------------|
| Category                           | Current Controls  | Effectiveness of controls |              |             |
|                                    |   | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>Information Sharing Protocols developed and operational.</li> <li>Integration of Health and Social Care is considered at all levels of the organisation through the leadership group and the strategic implementation group.</li> <li>Arrangements are reviewed through regular reports to Scrutiny Committee Healthy Living and Social Care Committee.</li> <li>Significant changes to structure and staff arrangements are considered by Cabinet.</li> <li>Cabinet Member and Managing Director are members of the Regional Partnership Board that oversees integration and the</li> </ul> | 2                         | 2            | 4           |




| 2.2 Controlling Inherent Risk |  |                           |              |             |
|-------------------------------|--|---------------------------|--------------|-------------|
| Category                      | Current Controls   | Effectiveness of controls |              |             |
|                               |  | Likelihood Score          | Impact score | Total Score |
|                               | <p>work of the Integrated Health and Social Care Partnership, including access to resources for the Integrated Care Fund (ICF) and Transformation Fund.</p> <ul style="list-style-type: none"> <li>Senior managers are linked into the Dementia Action Groups as appropriate. Head of Adults Services attends the Welsh Government Steering Group - Dementia Oversight and Implementation Group on behalf of all Heads of Adults Services across Wales and more recently co-opted onto the Learning Disability Ministerial Advisory Group.</li> </ul>  |                           |              |             |
| <b>Resources</b>              | <ul style="list-style-type: none"> <li>Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board.</li> <li>Developed the ability to view both database systems via Vale IT.</li> <li>Implemented WCCIS within the Vale of Glamorgan Council whilst awaiting regional implementation by partner organisations.</li> <li>IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development.</li> <li>Joint Commissioning Board meets regularly to progress work for pooled arrangements.</li> <li>Contact Centre Development meetings are held fortnightly to review and monitor functions and future business streams. To further improve integrated services at our 'front door', we have commenced engagement work across the Contact Centre in relation to C1V Call Handlers, Customer Service Representatives for Adult Social Care and Call Handlers in relation to Health Services in order to further develop and enhance a more 'seamless' model of service provision in line with the recommendations arising from the Parliamentary Review. Progress has stalled due to the pandemic.</li> <li>Regular quarterly data from Paris on the number of Health to Health transfers is being received.</li> <li>Grant funding was awarded during 2018 to continue the development of the Single Point of Access Services to meet the recommendation of the Parliamentary Review of health and Social Care .We have established a Joint Staff Forum and</li> </ul> | 1                         | 1            | 1           |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <p>work plan with a joint induction and training programme planned.</p> <ul style="list-style-type: none"> <li>We have welcomed additional health staff into the Ty Jenner Hub and the Locality team and links with the PCIC Clinical Board are extended. In response to the Pandemic, these staff have been displaced to accommodate the VCRS team that have been relocated from Barry Hospital to create additional ward capacity at the Hospital in the event COVID cases rise.</li> <li>We have invested in the Locality structure and explored the development of a Vale Alliance to strengthen integration and to provide capacity and strategic leadership.</li> <li>We monitor implementation of the ICF Revenue, Capital and Slippage Schemes and work positively with partners including Cardiff Council, Cardiff and Vale UHB and Third Sector Organisations to deliver good quality services for the residents of our Region.</li> <li>Work on Exit Strategies from short term funding is ongoing to ensure we are able to effectively plan for the future.</li> </ul> |                           |              |             |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>DEWIS Cymru Portal is providing more effective signposting for service users to adult services.</li> <li>Continued to develop the Customer Contact Centre as a single point of access for community health and social care services through expanding the range of services that are available.</li> <li>Reviewed and put in place new assessment processes and IT infrastructure to ensure compliance with the Social Services Wellbeing Act.</li> <li>Effectively use funding including the Integrated Care Fund and Transformation Fund to explore new models/ways of working to further enhance integrated service delivery. Integrated Community Resource Teams and wellbeing co-ordinators that are linked to GP practices which has increased the capacity to support people to become more independent. The ICF has also been used to develop a commissioning strategy for accommodations with care and the creation of 6 intermediate care beds at the Ty Dyfan reablement unit to support</li> </ul>                              | 2                         | 2            | 4           |

| 2.2 Controlling Inherent Risk |  |                           |              |             |
|-------------------------------|--|---------------------------|--------------|-------------|
| Category                      | Current Controls   | Effectiveness of controls |              |             |
|                               |  | Likelihood Score          | Impact score | Total Score |
|                               | <p>older people following hospital discharge to regain their independence. (Currently repurposed to assist with patients needing to isolate on discharge due to Welsh Government guidance regarding managing discharges during a pandemic).</p> <ul style="list-style-type: none"> <li>• The Welsh Community Care and Information System was launched in November 2017 to enable the safe sharing of information to deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act. There is also ongoing developed in relation to the financial functionality of the system. We continue to raise concerns about the non-implementation on a Regional basis and feed into the National team.</li> <li>• Joint Care Package approval process has been agreed with Cardiff and Vale University Health Board (UHB) for use on complex hospital discharges. This work is aimed to reduce the numbers of delayed transfers of care for social care reasons.</li> <li>• Established a successful Outcome Focused Case Management project called 'Your Choice'. This approach has received significant attention from external organisations interested in replicating the model to demonstrate the measurement of outcomes for service users and we won a Social Care Wales award. The pandemic has accelerated the implementation of this project, through the development of contingency plans' as our plans for responding to the pandemic and the likelihood of our workforce (internal and externally commissioned) being adversely affected due to the number of COVID related cases. However, we now need to consolidate this and ensure that the financial monitoring is in place to complement the case management approach – this is a priority for quarter 3.</li> <li>• All Community Mental Health Teams are based at Barry Hospital to form the Integrated Mental Health team. The Vale's Locality Mental Health Team has been established and is now operational.</li> </ul> |                           |              |             |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <ul style="list-style-type: none"> <li>Get Me Home Plus has been implemented and established into discharge structures.</li> </ul> |                           |              |             |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>Senior Officer and Councillor representation on the Regional Partnership Board.</li> </ul>  | 1                         | 2            | 1           |
| <b>Overall Effectiveness of Controls</b> |  | <b>2</b>                  | <b>2</b>     | <b>4</b>    |

### 2.3 Residual Risk Scoring & Direction of Travel

| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |          |                                 |        |          |                     |        |                       |   |   |
|--|----------------------|--------|----------|---------------------------------|--------|----------|---------------------|--------|-----------------------|---|---|
|  | Inherent Risk Scores |        |          | Effectiveness of controls Score |        |          | Residual Risk Score |        |                       | Direction of Travel   | Forecast Direction of Travel  |
| Category   | Likelihood           | Impact | Total    | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total                 |   |   |
| Political & Legislative                            | 3                    | 3      | 9        | 2                               | 2      | 4        | 2                   | 2      | 4                     |    |    |
| Resources  | 3                    | 3      | 9        | 1                               | 1      | 1        | 3                   | 3      | 9                     |    |    |
| Service Delivery & Well-being                      | 3                    | 3      | 9        | 2                               | 2      | 4        | 2                   | 2      | 4                     |    |    |
| Reputation   | 3                    | 3      | 9        | 1                               | 2      | 2        | 3                   | 2      | 6                     |    |    |
| <b>Average risk score/<br/>direction of travel</b> | 3                    | 3      | <b>9</b> | 2                               | 2      | <b>4</b> | 3                   | 2      | <b>6<br/>(Medium)</b> |  |  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| IHSR/ASO 01           | Extend the GP triaging pilot through effective implementation and evaluation.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC      | March 2021      | Red (Slipped)    |
| <b>ACTION UPDATE:</b> | The GP Triage pilot has remained paused during quarter 2, as many resources were diverted to respond to the Pandemic and remain so. However, the project team has been working on other models of care and evaluation of the initial phases, and also assisting the cluster in assessing their responses to the pandemic. the pilot will not be re-instated this financial year, but if there is funding available in 2021-22 then a proposal will be submitted for the RPB consideration to further pilot the project. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| IHSR/ASO 02           | Develop more 'closer to home' and strengths-based services.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | A programme of staff training in strength-based and outcome-focussed approaches to care management will be undertaken during qtr3 to support the implementation of these approaches throughout Adult Services. Castle Avenue property - contract has been awarded for the refurbishment and is awaiting sign off. This house will assist in preventing people leaving the Vale and/or bring people back to the Vale. The house should be completed by March 2021.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| IHSR/ASO 03           | Development of an 'alliance model' within the Vale locality that will enable us to operate more effectively across organisational boundaries.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC      | March 2021      | Red (Slipped)    |
| <b>ACTION UPDATE:</b> | The Locality Manager post did not become full time in quarter 2, and will remain part-time for some time yet, due to the need to support testing within the Region. However, some progress has been made towards the development of the Alliance model and further progress is planned for quarter 3 to regain some of the momentum lost due to the response to the pandemic.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |

| 3. Risk Management Plan – Mitigating Actions     |  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
|--|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
| Risk Action Ref.                                 | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|  |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| IHSR/ASO 04<br>Links to Legislative Change Risk) | Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC      | March 2021      | RED (Slipped)    |
| <b>ACTION UPDATE:</b>                            | We have been unable to re-commence this project in quarter 2 as envisaged, as the pressures in the system remain. The commitment to re-establish this project remains, however resources have had to be redeployed at present to meet other service pressures, and this prevents the capacity to release staff for engagement workshops and project team to have the space to think innovatively and dedicate the time to this project at this time. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| IHSR/ASO 05                                      | Review and develop our commissioning strategies to ensure that we can continue to meet the needs of our citizens both now and in the future.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b>                            | The Cardiff and Vale Advocacy Network has developed a draft Adults Advocacy Strategy, that sets out the regional vision for advocacy and Independent Professional Advocacy. A series of consultation exercises will take place in Qtr 3 to ensure a wide stakeholder involvement in the development of the final draft. The strategy will form the basis of the region's future commissioning of advocacy services for the next 5 years.             |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| IHSR/RMS 001                                     | Implement an outcomes-based approach to commissioning contracting services across both a regional and localised footprint.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP      | March 2021      | Red (Slipped)    |



### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status |
|-----------------------|---|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|--------|
|                       |   | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |        |
| <b>ACTION UPDATE:</b> | Additional clarification has been required regarding the use of the Individual Client Contract, but the issue is currently being resolved. It is expected this will be completed by the end of October. |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |

| 1 – Risk Overview           |  |
|-----------------------------|--|
| <p>1.1 Risk Description</p> | <p><b>Deprivation of Liberty Safeguards</b></p> <p>The Deprivation of Liberty Safeguards (DoLS) (2009) introduced a legal mechanism to protect people who do not have the mental capacity to consent to their care and support in registered care homes and hospital wards. Specifically, the DoLS safeguards aim to prevent breaches of Article 5 of European Convention of Human Rights – <i>The Right to Liberty and Security</i>. They acknowledge that care and support arrangements sometimes are required to deprive a person of their liberty to ensure the person’s best interests and safety, but that any deprivation of liberty must be in accordance with a prescribed legal procedure (Art 5(1)) and shall entitle the deprived person to take legal proceedings to determine lawfulness of the deprivation ((Art 5 (4)).</p> <p>The Safeguards place a duty on the local authority to perform to a prescribed legal procedure when informed by a Care Home (described as Managing Authorities under the Safeguards) that a resident may be being deprived of their liberty in the care home. The local authority (known in the Safeguards as the Supervisory Body) has 7 days for Urgent Authorisation requests and 21 days for Standard Authorisation requests to coordinate a suite of 8 assessments to determine if the care arrangement is in the persons best interest and to legally ‘Authorise’ the deprivation of liberty. In March 2014, the Supreme Court (P v Cheshire West and Chester Council and P &amp; Q v Surrey County Council) made a ruling, effectively setting a new and much lower threshold for determining a deprivation of liberty which has led to a substantial increase in the number of requests for DoLS Authorisations. In the Vale of Glamorgan, this has meant an increase from 6 requests in 2013/14 to an average of over 500 in each of the last three years.</p> <p>Adult Services have invested into the DoLS team to go some way to meet this increased demand, but the team is not able to coordinate DoLS assessments and Authorisation within the statutory timescales which places the local authority at risk of legal challenge in the Court of Protection.</p> <p><b>Deprivation of Liberty in ‘Domestic Settings’</b></p> <p>The Cheshire West Supreme Court ruling in March 2014 made it clear that the local authority must seek Authorisation from the Court of Protection whenever it knows or ought to know that a person who does not have mental capacity to consent is living with care and support that deprives them of their liberty within their own home. It is difficult to be certain but current estimates would indicate that between 50 and 100 people living in the Vale of Glamorgan potentially fall into this category which includes people with learning disabilities or mental health problems and older people with mental health problems.</p> <p>Without Court of Protection Authorisation, the local authority is at risk of legal challenge for care and support that potentially breaches a person Article 5 right to liberty and security.</p> <p>Adhering to the Deprivation of Liberty (DoLS) continues to place significant pressure on Social Services in terms of officer work load/capacity and</p> |

|  |   |                          |                          |                           |  |   |
|--|---|--------------------------|--------------------------|---------------------------|--|---|
|  | budgets. This has continued to be an ongoing risk that has been further compounded by the COVID-19 pandemic. Unlike other areas within Social Services, there a greater likelihood of us defaulting on our statutory responsibilities in relation to DoLs. This has continued to be a concern during the Pandemic as health and social care resources needed to be reprioritised and redirected to the frontline to deal with COVID-related issues. |                          |                          |                           |  |   |
| <b>1.2 Risk Owner</b>  | <b>Head of Resource Management and Safeguarding (AP)</b>  |                          |                          |                           |  |   |
| <b>1.3 Impact on our contribution to the Wellbeing Goals</b> |   |                          |                          |                           |  |   |
| <b>A Globally Responsible Wales</b>                          | <b>A Prosperous Wales</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 and Thriving Welsh Language</b> |
| No   | No  | No                       | Yes                      | Yes                       | Yes                                    | No  |

| <b>1.4 Risk Categories</b>                   |               |  |
|--|---------------|--|
| <b>Categories</b>                            | <b>Yes/No</b> | <b>Definition</b>  |
| <b><i>Political &amp; Legislative</i></b>    | Yes           | <p>Risk of legal challenge as a result of a failure to adhere to the Deprivation of Liberty Safeguards for relevant care home residents or for those living in their own homes (where authorisation from the Court of Protection has not been sought) and for young people lacking capacity.</p> <p>Political repercussions as a consequence of failing to adhere to the Deprivation of Liberty Safeguards.</p>  |
| <b><i>Resources</i></b>                      | Yes           | <p>Inability and capacity of key partners to effectively work together to safeguard adults who are at risk of deprivation of liberty. This is particularly pertinent in the context of COVID-19, when the much of our workforce and resources as well as those of our health colleagues have been reprioritised and redirected to address COVID issues.</p> <p>Financial repercussions as a result of court proceedings where there has been a failure to safeguard clients and there has been an unauthorised deprivation of liberty.</p> <p>Lack of suitably qualified staff to undertake best interest assessments within designated timescales.</p> <p>Increased demand for best interest assessments as a result of changes in law impacting on staff capacity and putting pressure on budget thresholds.</p> |
| <b><i>Service Delivery and Wellbeing</i></b> | Yes           | <p>Failure to undertake assessments resulting in unauthorised deprivation of liberty that could have detrimental impact on the health and wellbeing of the individual. This is applicable in the</p>   |

| 1.4 Risk Categories |        |   |
|---------------------|--------|---|
| Categories          | Yes/No | Definition  |
|                     |        | <p>context of COVID-19, where there are challenges associated with assessing a person's capacity when conducted remotely by telephone or video link rather than face to face.</p> <p>The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.</p> <p>Implications arising from the Court of Protection associated with Deprivation of Liberty of people living in domestic settings.</p> <p>Failure to appropriately identify individuals living in domestic settings where authorisation from the Court of Protection should be sought. There is the concern that COVID-19 further compounds this risk, as inability to identify individuals in domestic settings is applicable in the context</p> <p>Excessive waiting times for an assessment impacting on unlawful deprivation of liberty. This is particularly applicable in the context of COVID-19, as our resources and the resources of our health colleagues were diverted to the frontline to address COVID issues which could impact on timeliness of assessments.</p> |
| <b>Reputation</b>   | Yes    | A failure to adhere to the Deprivation of Liberty Safeguards for relevant people living in a care home or to seek authorisation from the Court of Protection for relevant people living in their own homes is unlawful and unequal. This would have a detrimental impact on reputation of the Council and would draw criticism by our regulators.   |

| 2 – Risk Evaluation                      |                    |          |                           |
|--|--------------------|----------|---------------------------|
| 2.1 Inherent Risk Scoring                |                    |          |                           |
| Category                                 | Likelihood         | Impact   | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 3 (Probable)       | 3 (High) | <b>9 (Medium/High)</b>    |
| <b>Resources</b>                         | 4 (Almost certain) | 3 (High) | <b>12 (High)</b>          |
| <b>Service Delivery &amp; Well-being</b> | 4 (Almost certain) | 3 (High) | <b>12 (High)</b>          |
| <b>Reputation</b>                        | 3 (Probable)       | 3 (High) | <b>9 (Medium/High)</b>    |

|                                    |                           |                 |                  |
|------------------------------------|---------------------------|-----------------|------------------|
| <b>Overall Inherent Risk Score</b> | <b>4 (Almost certain)</b> | <b>3 (High)</b> | <b>12 (High)</b> |
|------------------------------------|---------------------------|-----------------|------------------|

| <b>2.2 Controlling Inherent Risk</b>     |   |                                  |                     |                    |
|--|---|----------------------------------|---------------------|--------------------|
| <b>Category</b>                          | <b>Current Controls</b>   | <b>Effectiveness of controls</b> |                     |                    |
|  |   | <b>Likelihood Score</b>          | <b>Impact score</b> | <b>Total Score</b> |
| <b>Political &amp; Legislative</b>       | <p>Regular scrutiny and CMT reports to highlight the key issues affecting DOLs.</p> <p>The DOLs Management Board oversees DOLs development.</p>   | 1                                | 2                   | 2                  |
| <b>Resources</b>                         | <p>Additional Best Interest Assessors have been recruited to meet the increased demand for additional assessments.</p> <p>Efficient use and co-ordination of resources on a regional basis via a collaborative arrangement with Cardiff Council and Cardiff and Vale University Health Board.</p> <p>Light touch review of systems and processes undertaken to put in place more robust processes to support the timely completion of assessments.</p> <p>Financial contributions by partners are reviewed at every DOLs Board with ongoing discussion.</p> <p>Findings &amp; recommendations from the business improvement review have been adopted and implemented.</p> <p>Secured additional legal resource that has added capacity to process applications to court in timely way.</p> <p>The ADSS Matrix Prioritisation Tool is used consistently to prioritise applications being received.</p> | 1                                | 2                   | 2                  |
| <b>Service Delivery &amp; Well-being</b> | <p>Ongoing prioritisation of cases based on levels of risk and deprivation assisted by an effective case management system.</p> <p>The CMHT for Older People has relocated from Ty Jenner to Llanfair Unit at Llandough Hospital.</p> <p>Advocacy Gateway provider has been identified through market analysis with plan to go live with Gateway in June 2018.</p>  | 1                                | 2                   | 2                  |

| 2.2 Controlling Inherent Risk            |   |                           |              |             |
|--|---|---------------------------|--------------|-------------|
| Category                                 | Current Controls  | Effectiveness of controls |              |             |
|  |   | Likelihood Score          | Impact score | Total Score |
|  | <p>Existing providers are to continue to provide advocacy and Independent Professional Advocacy as accessed through the Gateway.</p> <p>Gateway provider will monitor demand for advocacy and Independent Advocacy to inform future commissioning intentions. This work will lead to the Cost-effective commissioning of advocacy Services that meets the needs of service users.</p> <p>Established a robust monthly monitoring mechanism to provide effective monitoring of DoLS across the partnership with quarterly reporting via the Deprivation of Liberty Safeguarding Partnership Board.</p> |                           |              |             |
| <b>Reputation</b>                        | We have formed good relationship with Welsh Government, Regulators and Key Partners and feed into the Association of Directors of Social Services (ADSS).   | 1                         | 2            | 2           |
| <b>Overall Effectiveness of Controls</b> |   | <b>1</b>                  | <b>2</b>     | <b>2</b>    |

### 2.3 Residual Risk Scoring & Direction of Travel

| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |       |                                 |        |       |                     |        |                    |                     |                              |
|--|----------------------|--------|-------|---------------------------------|--------|-------|---------------------|--------|--------------------|---------------------|------------------------------|
|  | Inherent Risk Scores |        |       | Effectiveness of controls Score |        |       | Residual Risk Score |        |                    | Direction of Travel | Forecast Direction of Travel |
| Category   | Likelihood           | Impact | Total | Likelihood                      | Impact | Total | Likelihood          | Impact | Total              |                     |                              |
| Political & Legislative                            | 3                    | 3      | 9     | 1                               | 2      | 2     | 3                   | 2      | 6                  |                     |                              |
| Resources  | 4                    | 3      | 12    | 1                               | 2      | 2     | 4                   | 2      | 8                  |                     |                              |
| Service Delivery & Well-being                      | 4                    | 3      | 12    | 1                               | 2      | 2     | 4                   | 2      | 8                  |                     |                              |
| Reputation   | 3                    | 3      | 9     | 1                               | 2      | 2     | 3                   | 2      | 6                  |                     |                              |
| <b>Average risk score/<br/>direction of travel</b> | 4                    | 3      | 12    | 1                               | 2      | 2     | 4                   | 2      | 8<br>(Medium High) |                     |                              |

### 3. Risk Management Plan – Mitigating Actions

|                       |   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status  |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|---|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |   |
| DOLR/RM S001          | Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP      | March 2021      | <b>RED (Slipped)</b>  |
| <b>ACTION UPDATE:</b> | Code of Practice to support LPS are still awaited. The COVID-19 pandemic has meant that the Welsh Government has pushed back the original implementation date of Oct 2020 and we are awaiting further information. It has been announced that LPS will now be implemented in April 2022. Work has begun on reviewing team structure and resource and the partnership board meet regular to have a strategic overview. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |   |
| DOLR/RM S002          | Implement, with the advice of Legal Services, the requirements of the Liberty Protection Safeguards (subject to publication of the relevant Code of Practice)   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP      | March 2021      | <b>RED (Slipped)</b>  |
| <b>ACTION UPDATE</b>  | Code of Practice to support LPS are still awaited. The COVID-19 pandemic has meant that WG has pushed back the original implementation date of Oct 2020 and we are awaiting further information. Work has begun on reviewing team structure and resource and the partnership board meet regular to have a strategic overview.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |   |
| DOLR/RM S003          | Utilise the ADSS Matrix Prioritisation Tool when assigning resources to meet demand under the current DOL processes.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP      | March 2021      | <b>GREEN (Completed)</b><br>Action completed and will be reflected as a |



### 3. Risk Management Plan – Mitigating Actions

|                       |  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|---|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |   |
|                       |  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 | control in the Register   |
| <b>ACTION UPDATE:</b> | The ADSS Matrix Prioritisation Tool is used consistently to prioritise applications being received. This has resulted in a more equitable output for each of the partners, however, the demand for DoLS authorisations, continue to outweigh the ability to meet all within appropriate timescales |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |   |
| DOLR/RM S004          | Establish a robust monitoring mechanism over a regional footprint to provide effective monitoring of DoLS across the region overseen by the Deprivation of Liberty Safeguarding Board.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP      | March 2021      | <b>GREEN (Completed)</b><br>Action completed and will be reflected as a control in the Register |
| <b>ACTION UPDATE:</b> | Monthly data reporting has been put in place across the partnership, with quarterly monitoring taking place through the DoLS partnership board.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |   |
| DOLR/RM S005          | Identify and utilise data from the DoLS team to monitor outstanding requests for deprivations.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP      | March 2021      | <b>Green (On Track)</b>   |

### 3. Risk Management Plan – Mitigating Actions

|                       |   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status |
|-----------------------|---|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|--------|
|                       |   | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |        |
| <b>ACTION UPDATE:</b> | Monthly data reporting has been put in place across the partnership, with quarterly monitoring taking place through the DoLS partnership board. Monthly monitoring information is sent to all partners and to understand the current situation and respond accordingly across our strategic partnership |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |

Return to Risk Summary Report

| 1 – Risk Overview    |  |
|----------------------|--|
| 1.1 Risk Description | <p>The Social Services &amp; Wellbeing (Wales) Act 2014 has integration of health and social care at its core. The effective sharing of information is a fundamental foundation of integrated working and should be applied on a “once for Wales” basis. Welsh Government has significantly invested in the capital programme to support the development and implementation of an integrated information system across health and social care services. This system is known as Welsh Community Care Information System (WCCIS) and is the replacement to the social care information system known as SWIFT.</p> <p>The new system will provide an integrated electronic record system for social care, primary and community health services, mental health services across both adult and children and young people services. This will be a national system intended to be used across all Welsh local authorities and Health Boards. It is essential that we implement a fully integrated electronic record system to ensure information is shared appropriately and that residents of the Cardiff and Vale are safeguarded.</p> <p>The WCCIS procurement process ended in 2015. All 22 local authorities and health boards are enabled to procure WCCIS, as a replacement for their existing information system.</p> <p>The Cardiff and Vale region have agreed in principle to collectively contract with WCCIS to enable integrated working to become a reality. However, to date Vale of Glamorgan Council is the only partner to have signed a deployment order with the supplier, Careworks. Cardiff and Vale UHB and Cardiff Council have completed their determination processes and will not be adopting WCCIS as their management information system.</p> <p>Initially there were some delays with the implementation of the system, which have since been addressed. And although WCCIS went live during November 2017, there were a series of obstacles to overcome in order to ensure full transition to the new system so that all aspects of the system are fully utilised and embedded. The risk previously was in relation to the inability to interface with the legacy system (SWIFT), and to fully embed and utilise the system to its full potential in integrated health and social care, which has since been resolved. There were previously issues problems associated with performance reporting, but this has since been resolved as a significant amount of data cleansing work has been undertaken to verify the accuracy of the data. We have also upskilled our staff to create and design data and dashboard style reporting. The emphasis of the risk has now shifted onto a more regional focus where the risk is the ‘Inability to safeguard our citizens across Cardiff and the Vale as result of not implementing an integrated case recording system over a regional foot print which will impact on our ability to share information effectively across organisational boundaries’.</p> <p>The next phase of development will focus on exploring the financial functionality of WCCIS to ensure all our social care charging and invoicing is one place, but this requires further work and additional consultancy costs to</p> |

|  |  |                          |                          |                           |  |   |
|--|--|--------------------------|--------------------------|---------------------------|--|---|
|  | explore and implement. The arrival of COVID-19 will to of some extent delayed progress in developing the new financial module and the system's functionality. But once the Council's emphasis shifts towards recovery, we will have capacity to resume and progress its development. |                          |                          |                           |  |   |
| <b>1.2 Risk Owner</b>                      | <b>Head of Resource Management and Safeguarding (AP)</b>   |                          |                          |                           |  |   |
| <b>1.3 Alignment with Well-being Goals</b> |  |                          |                          |                           |  |   |
| <b>A Globally Responsible Wales</b>        | <b>A Prosperous Wales</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 and Thriving Welsh Language</b> |
| No   | No   | Yes                      | Yes                      | Yes                       | Yes                                    | No  |

| <b>1.3 Risk Categories</b>                   |               |  |
|--|---------------|--|
| <b>Categories</b>                            | <b>Yes/No</b> | <b>Definition</b>  |
| <b><i>Political &amp; Legislative</i></b>    | Yes           | <p>Political and legislative repercussions of failing to fully implement WCCIS across the Directorate fully within required timescales. Delays in developing key aspects of the system as a consequence of COVID-19 are likely to add to the likelihood of this aspect of risk.</p> <p>Failure to put effective information security safeguards in place resulting in personal/sensitive and confidential information being leaked/revealed in the public domain could cause political instability and loss of credibility.</p> <p>Failure of other regional partners to implement the system, thus not maximising the benefits of the systems particularly in relation to integrated teams.</p> |
| <b><i>Resources</i></b>                      | Yes           | <p>Failure to fully maximise and mobilise our existing resources to ensure full implementation/development of WCCIS across the Directorate. Delays in developing key aspects of the system as a consequence of COVID-19 are likely to add to the likelihood of this aspect of risk.</p> <p>Increased risk of data protection breaches following transition to new WCCIS system due to the large volume of users and the financial impact of these breaches.</p> <p>Limited skill resilience to extract and report relevant data from the system.</p>   |
| <b><i>Service Delivery and Wellbeing</i></b> | Yes           | <p>Failure to fully develop WCCIS and its potential could impact the ability of service users to access services readily. Delays in developing key aspects of the system as a consequence of COVID-19 are likely to add to the likelihood of this aspect of risk.</p>  |

| 1.3 Risk Categories |        |   |
|---------------------|--------|---|
| Categories          | Yes/No | Definition  |
|                     |        | <p>Loss of data could impact of the delivery of key services as well as the impact this has on service users.</p> <p>Failure to safeguard our citizens across Cardiff and the Vale as result of not implementing an integrated case recording system over a regional footprint which will impact on our ability to share information effectively across organisational boundaries.</p>  |
| <b>Reputation</b>   | Yes    | Reputational impact arising from findings from Adult Practice and Child Practice Reviews as a result of failing to record/share information effectively using WCCIS. This could result in a loss of confidence and trust in our ability to safeguard our citizens resulting in negative publicity. And ultimately have a detrimental impact on our credibility and leaves us open to potential criticism from our external regulator CIW, the Welsh Government and the Ombudsman. |








| 2 – Risk Evaluation                      |                           |                         |                           |
|--|---------------------------|-------------------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                           |                         |                           |
| Category                                 | Likelihood                | Impact                  | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 4 (Almost certain)        | 3 (High)                | <b>12 (High)</b>          |
| <b>Resources</b>                         | 4 (Almost certain)        | 4 (Catastrophic)        | <b>16 (Very High)</b>     |
| <b>Service Delivery &amp; Well-being</b> | 4 (Almost certain)        | 3 (High)                | <b>12 (High)</b>          |
| <b>Reputation</b>                        | 4 (Almost certain)        | 4 (Catastrophic)        | <b>16 (Very High)</b>     |
| <b>Overall Inherent Risk Score</b>       | <b>4 (Almost certain)</b> | <b>4 (Catastrophic)</b> | <b>16 (Very High)</b>     |

| 2.2 Controlling Inherent Risk      |   |                           |              |             |
|------------------------------------|---|---------------------------|--------------|-------------|
| Category                           | Current Controls  | Effectiveness of controls |              |             |
|                                    |   | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>Delivery of other developmental phases of the system continue to be monitored on an ongoing basis via operational meetings.</li> </ul> | 2                         | 1            | 2           |

| 2.2 Controlling Inherent Risk            |   |                           |              |             |
|--|---|---------------------------|--------------|-------------|
| Category                                 | Current Controls  | Effectiveness of controls |              |             |
|  |   | Likelihood Score          | Impact score | Total Score |
|  | <ul style="list-style-type: none"> <li>Regular reporting of progress/updates via Insight, CMT and Cabinet.</li> <li>Regional partners have further delayed implementation of WCCIS.</li> </ul>  |                           |              |             |
| <b>Resources</b>                         | <ul style="list-style-type: none"> <li>WCCIS system is now fully embedded across all of Social Services.</li> <li>Identified Super users for the system maintain links with the national and regional team.</li> <li>Successfully trained all staff on using WCCIS now that it is operational.</li> <li>Training has been delivered on performance reporting and officers continue to access support from other local authorities to develop their expertise on the system.</li> <li>Performance staff have been trained in SQL to build performance related reports.</li> <li>Performance staff liaise with other WCCIS sites (local authorities) to access additional support and to gain greater understanding of how to build reports and access data.</li> <li>Senior Systems Support Officer is responsible for progressing WCCIS project delivery.</li> </ul>                              | 2                         | 2            | 4           |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>Directorate adheres to the Council's Information Management Strategy.</li> <li>We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.</li> <li>Data disclosure agreements in place with all other organisations that are using WCCIS.</li> <li>Information Manager attends Information Governance Groups to ensure the IAA is signed and fit for purpose to give us an additional layer of protection.</li> <li>Representatives Attend Regional and National Operational Meetings to identify and discuss any operational issues with the system and impact on service delivery.</li> <li>Fortnightly operational meetings post-implementation to identify and address system-based issues as they arise. Such as changes to social work practice and</li> </ul> | 2                         | 1            | 2           |

| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <p>including the development of new forms etc.</p> <ul style="list-style-type: none"> <li>Established a 'clinic' for users to attend to discuss their forms and requirements.</li> <li>Dashboards within WCCIS have been developed to enable staff to manage their own data have been completed.</li> <li>A WCCIS Wizards Group for Superusers is well established to help practitioners with the development of the system.</li> <li>WCCIS Operational Group is well established that enables the identification and resolution of areas of concern.</li> </ul>   |                           |              |             |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>Effectively managed expectations and raised awareness with our Regulator (Care Inspectorate Wales) and Welsh Government regarding any limitations associated with reporting.</li> <li>We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.</li> <li>Performance staff are being trained and continue to learn and develop their expertise in building reports in order to access data and prepare reports using SQL databases. Linked with other WCCIS sites to share knowledge and skills.</li> <li>Work regarding the implementation of the Finance Module will be restarted when the Covid 9 response has dissipated.</li> </ul> | 2                         | 1            | 2           |
| <b>Overall Effectiveness of Controls</b> |  | <b>2</b>                  | <b>1</b>     | <b>2</b>    |

### 2.3 Residual Risk Scoring & Direction of Travel

| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |           |                                 |        |          |                     |        |                       |   |   |
|--|----------------------|--------|-----------|---------------------------------|--------|----------|---------------------|--------|-----------------------|---|---|
|  | Inherent Risk Scores |        |           | Effectiveness of controls Score |        |          | Residual Risk Score |        |                       | Direction of Travel   | Forecast Direction of Travel  |
| Category   | Likelihood           | Impact | Total     | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total                 |   |   |
| Political & Legislative                            | 4                    | 3      | 12        | 2                               | 1      | 2        | 2                   | 3      | 6                     |    |    |
| Resources  | 4                    | 4      | 16        | 2                               | 2      | 4        | 2                   | 2      | 4                     |    |    |
| Service Delivery & Well-being                      | 4                    | 3      | 12        | 2                               | 1      | 2        | 2                   | 3      | 6                     |    |    |
| Reputation   | 4                    | 4      | 16        | 2                               | 1      | 2        | 2                   | 4      | 8                     |    |    |
| <b>Average risk score/<br/>direction of travel</b> | 4                    | 4      | <b>16</b> | 2                               | 1      | <b>2</b> | 2                   | 3      | <b>6<br/>(Medium)</b> |  |  |



| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |                                     |            |                                     | Officer | Completion Date | Status           |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------------------------------|------------|-------------------------------------|---------|-----------------|------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement                         | Prevention | Long-Term                           |         |                 |                  |
| WCSR/RMS 001          | Develop our use of technology to optimise how we contribute to improving the planning and co-ordination of social care services to our citizens.<br><br><i>Associated Milestone: Explore the use of technology to support payment for certain services. (e.g. WCCIS Financial Module development)</i>  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> |            | <input checked="" type="checkbox"/> | AP      | March 2021      | Red (Slipped)    |
| <b>ACTION UPDATE:</b> | Progress in quarter 2 in residential services has been delayed due to our ongoing emergency response to COVID concerns. Digital Medication Administration System 'on hold' until it is possible to facilitate roll out. Digital learning programme for staff has been rolled out and has been successful.  |                                     |                                     |                                     |                                     |                                     |               |                                     |            |                                     |         |                 |                  |
| WCSR/RMS 002          | Co-ordinate the implementation of a new Welsh Government Performance Measurement Framework across Social Services.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               |                                     |            | <input checked="" type="checkbox"/> | AP      | March 2021      | Green (On Track) |
| <b>ACTION UPDATE:</b> | Local Authorities will be required to collect and report on all of the metrics in the performance and improvement framework for 2020/21 to the best of their ability given the COVID context. At present Welsh Government are not planning on introducing any new COVID specific metrics. The additional SITREP data collected in the weekly reports, including workforce data continue to publish final metric definitions document as soon as possible. Work is progressing with the development of the reports in WCCIS to support the new framework. |                                     |                                     |                                     |                                     |                                     |               |                                     |            |                                     |         |                 |                  |

Return to Risk Summary Report

| 1 – Risk Overview           |  |
|-----------------------------|--|
| <p>1.1 Risk Description</p> | <p>This risk focuses on how we respond to uncertainty and emerging issues surrounding Brexit that has the potential to impact on how we deliver services to our citizens. There is a risk that we fail to effectively identify and respond to the changing policy and legislative landscape as a result of the 'Brexit' process. This could also impact significantly on our ability to deliver our Well-being Outcomes and strategic objectives of our Corporate Plan. By developing a better understanding of the potential pressures Brexit places on specific services this will enable us to better prepare and respond to the changing climate and minimise disruption to service delivery.</p> <p>The uncertainty and implications associated with Brexit have been the subject of much discussion across the Council. The Council has maintained a watching brief as the process has continued and this has been documented to date as part of the legislative Change risk on the Register. However, at Audit Committee in February 2019 a suggestion was made that Brexit should now be identified as a risk in its own right on the Register.</p> <p>CMT have adopted a proportionate approach for planning for Brexit and service areas have undertaken an impact assessment in the context of overall business continuity planning.</p> <p>The WLGA have provided grant funding to all Local Authorities to support the preparatory work associated with Brexit. The Local Resilience Forum have also committed resources to support coordination and communications across the region.</p> <p>A response was submitted to the Wales Audit Office in terms of our readiness work, which included a series of discussions at Insight to formulate an Impact Assessment and a presentation to CMT/Cabinet by the WLGA. It is this preparatory work that has helped to inform how we define and understand this risk. As a result of this impact assessment work, an Action Plan has been developed to mitigate against the potential risks associated with Brexit (and in particular a no-deal scenario). Progress against this action plan is monitored by the Strategic Leadership Team (SLT) and feeds into regional reporting we provide to the WLGA as part of EU Preparedness Advisory Panel.</p> <p>Grant Thornton have been commissioned by the WLGA to explore the impact of Brexit on trade in Wales. The findings from this work will be published during the quarter 3 period. The findings from this work along with the current Brexit position will be used to inform a risk analysis and a refresh of the Brexit Action Plan (aligned to the Risk Management Plan attached to this risk).</p> <p>We recognise that residents and businesses will look to us a community leader for advice, support and assistance whilst the negotiations remain ongoing. Therefore, since the referendum, our focus has been on ensuring that we participate in opportunities to feed into discussions at both the national and local level regarding the potential impact of Brexit on Council services. For example, the Council is represented by the Director of Environment and Housing Services on the Local Resilience Forum, a regional emergency</p> |

|  |   |
|--|---|
|  | <p>planning group Brexit remains a regular agenda item at both SLT and Insight Board which prompts our wider mitigating activity as an authority.</p> <p>The Pandemic struck at a time when the UK was still negotiating with the European Union a Brexit trade deal. These talks stalled whilst the UK and the rest of Europe, shifted their attention towards tackling the Pandemic. Although talks between the UK and EU have now resumed it is still uncertain as to whether a trade deal will be secured in time before the end of the transition period (December 2020). There is a risk that whilst our attention and resources are drawn to immediately address the priorities arising from the pandemic, compromises our capacity to prepare and adapt to the uncertainty associated with Brexit and any future policy and legislative changes that arise as a result of either deal or no trade deal.</p> |
|--|---|

|                       |   |
|-----------------------|---|
| <b>1.2 Risk Owner</b> | <b>Head of Policy &amp; Business Transformation (TB).</b> |
|-----------------------|---|

| 1.3 Impact on our contribution to the Wellbeing Goals |                    |                   |                   |                    |                                 |  |
|---|--------------------|-------------------|-------------------|--------------------|---------------------------------|--|
| A Globally Responsible Wales                          | A Prosperous Wales | A Resilient Wales | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
| Yes   | Yes                | Yes               | Yes               | Yes                | Yes                             | Yes  |

| 1.4 Risk Categories                |        |  |
|------------------------------------|--------|--|
| Categories                         | Yes/No | Definition   |
| <b>Political &amp; Legislative</b> | Yes    | <p>Significant political uncertainty associated with Brexit and the impact this has on our ability to forward plan.</p> <p>Failure to comply with any legislative changes arising from the UK leaving the EU and impact this has at the local level. This risk is of particular relevance at a time when the Council is beginning its work to recover from the pandemic.</p> <p>Failure to fully embrace and participate in discussions/collaborative opportunities associated with Brexit could be detrimental to the profile and status of the Council.</p> <p>Failure to represent the Council's position in relation to the policy developments/changes associated with Brexit, which could impact on our ability to maximise opportunities for future investment and to deliver our strategic objectives outlined in the Corporate Plan.</p> <p>Failure to effectively lobby for and secure access to funding previously sourced from the EU programmes post-Brexit (including any successor programmes).</p> <p>Changes to consumer protection requirements across the EU affecting residents and local businesses.</p> <p>Potential changes to the regulatory procurement regime/framework that we operate by could have a negative</p> |

| 1.4 Risk Categories |        |  |
|---------------------|--------|--|
| Categories          | Yes/No | Definition   |
|                     |        | impact on how we tender for and access products/services from EU markets.  |
| <b>Resources</b>    | Yes    | <p>Financial impact of leaving the European Union on the Council's European funded projects/initiatives (regeneration). Leaving the EU could impact our ability to secure funding to further progress the development/investment in regeneration projects e.g. Creative Rural Communities.</p> <p>Uncertainty post-Brexit impacts on our ability to attract private sector investment to improve our connectivity (transport/infrastructure and technology), skills investment, innovation, regeneration, housing investment and energy related projects) and in particular projects/programmes associated with the City Deal. A potential longer-term downturn in the economy as a result of coronavirus, has the potential to further exacerbate this risk and affect our ability to attract inward investment.</p> <p>Rising costs associated with importing supplies and services e.g. Fuel, Food products from EU countries due to higher trade tariffs and payment of customs duties which places further pressure on our budgets.</p> <p>Loss of staff from EU countries impacting not just on the council's operational capacity but also on the wider business community e.g. health and social care, construction, tourism etc. A reduction in labour supply could have a detrimental impact on the local economy. COVID has highlighted the value and significance of health and social care sector during the crisis, which is also a sector that employs a greater proportion of EU nationals. There is the risk that the impact of COVID combined with Brexit could exacerbate labour supply issues particularly within the care sector.</p> <p>Difficulties in recruiting staff (or commissioning from the market) in 'hard to recruit' areas and where skill shortages exist and the impact this has on our capacity to deliver services/projects/schemes.</p> <p>Inability to put in place effective civil contingency plans (emergency planning) to take account of the potential impact of Brexit.</p> <p>Market volatility, inflation and financial uncertainty could impact on council revenue budgets and borrowing costs for capital schemes.</p> <p>Inability to effectively manage demand and sustain service delivery post Brexit.</p> <p>Risk that grant funding allocated by Welsh Government for Brexit is repurposed to support local authorities' emergency response to COVID, impacting on preparedness for Brexit.</p> <p>Risk that whilst resources are immediately drawn to addressing the priorities arising from the pandemic, that our</p> |

| 1.4 Risk Categories                   |        |  |
|---------------------------------------|--------|--|
| Categories                            | Yes/No | Definition   |
|                                       |        | capacity to prepare and adapt to forthcoming policy and legislative changes as a result of Brexit could be compromised.  |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>Uncertainty in the economic/financial climate as a result of the Brexit process impacts on our ability to attract inward private investment and lever fewer jobs in the area.</p> <p>Impact of Brexit on the supply chain, disrupting access supplies and services from EU. This has the potential to significantly disrupt service delivery particularly in relation to vulnerable groups.</p> <p>Disruption in food supply could impact on our ability to provide cooked meals to children in schools, adults in residential care settings and our Tourist attractions/Country Parks. Increased risk of food contamination due to changes in food inspection regimes at ports.</p> <p>Disruption to fuel supply could impact on our ability to deliver services such as waste collections and the ability of staff to get to work.</p> <p>Shortages in medical supplies/specialist equipment could have a detrimental impact on discharge from hospital and ultimately on the health and well-being of our citizens. Issues experienced around the availability of key medical supplies such as PPE during COVID could further aggravate the supply chain concerns post-Brexit.</p> <p>Increased risk of counterfeit/fraud of goods/supplies such as pharmaceutical products, materials (building materials, electronic parts, vehicle parts), food and supplies such as cleaning products, sanitary products impacts not only on quality but also on overall service provision.</p> <p>Failure to appropriately support children in the local authority care who are EU nationals through applying on their behalf for the right to remain through the EU Settled Status Scheme.</p> <p>Inability to support citizens who are impacted by the changes resulting from Brexit and its uncertainty. Increased demand for support / advice services due to an economic downturn as a result of withdrawal from the EU. Any loss of jobs to the area will impact on the local communities and could result in a greater number of citizens and families living in poverty with higher rent arrears and a potential increase in homelessness presentations. As a consequence of COVID there has been a rise in the number of Universal Credit claimants as a result of a downturn in the economy.</p> <p>Delays/disruption to distribution of goods/supplies through the supply chain due to increased regulation at ports/airports.<br/>Increased pressure on the capacity of the SRS Service</p> |

| 1.4 Risk Categories |        |   |
|---------------------|--------|---|
| Categories          | Yes/No | Definition  |
|                     |        | <p>(Environmental Health Officers) for the inspection of food at ports/airports.</p> <p>Contract/provider failure by delivery partners/contractors to deliver services on our behalf due to pressures from Brexit on their operational capacity. This risk is further exacerbated by the impact of COVID that has put the care sector under strain both from a capacity and financial perspective which in turn has significantly threatened the future viability of some service providers during the crisis.</p> <p>Lack of resilience amongst our partner organisations and the Third Sector in terms of their preparedness for Brexit and issues arising from it. This risk may be further compounded by the impact of COVID on the finances of the sector and their capacity to recover the crisis and their ability to prepare for the impact of Brexit.</p> <p>Risk that the needs of vulnerable people are not met due to the uncertainty regarding our statutory responsibilities in relation to EU nationals for homelessness, housing and social care services.</p> <p>COVID pandemic impairs our capacity to effectively prepare and make necessary changes to how we deliver and operate key services and functions.</p> |
| <b>Reputation</b>   | Yes    | <p>Reputational repercussions and loss of credibility as a result of failing in our Community Leader role to effectively communicate clear messages associated with the Brexit process.</p> <p>Reputational damage associated with failing to effectively support vulnerable groups/individuals through applying for EU Settled Status. This risk has been further compounded by COVID, as it has limited our ability to engage with hard to reach EU nationals to promote the EUSS scheme.</p> <p>Risk of civil unrest associated with Brexit as a result of poor communication, preparation, planning and liaison with key partners e.g. health, Police, Welsh Government impacts on the reputation of the Council.</p> <p>Loss of public confidence in our ability to deliver services effectively and sustainably post-Brexit.</p> <p>Loss of credibility as a result of handing back any unspent funding due to a lack of capacity to deliver EU grant funded schemes up until Brexit.</p>   |

| <b>2 – Risk Evaluation</b>               |                           |                 |                                  |
|--|---------------------------|-----------------|----------------------------------|
| <b>2.1 Inherent Risk Scoring</b>         |                           |                 |                                  |
| <b>Category</b>                          | <b>Likelihood</b>         | <b>Impact</b>   | <b>Total Inherent Risk Score</b> |
| <b>Political &amp; Legislative</b>       | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>                 |
| <b>Resources</b>                         | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>                 |
| <b>Service Delivery &amp; Well-being</b> | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>                 |
| <b>Reputation</b>                        | 4 (Almost certain)        | 3 (High)        | <b>12 (High)</b>                 |
| <b>Overall Inherent Risk Score</b>       | <b>4 (Almost certain)</b> | <b>3 (High)</b> | <b>12 (High)</b>                 |











| <b>2.2 Controlling Inherent Risk</b> |  |                                  |                     |                    |
|--------------------------------------|--|----------------------------------|---------------------|--------------------|
| <b>Category</b>                      | <b>Current Controls</b>  | <b>Effectiveness of controls</b> |                     |                    |
|                                      |  | <b>Likelihood Score</b>          | <b>Impact score</b> | <b>Total Score</b> |
| <b>Political &amp; Legislative</b>   | <ul style="list-style-type: none"> <li>• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>• Director of Environment and Housing is a representative for the Council on local resilience form to make connections between council and other key regional partners.</li> <li>• Developed strong links with the WLGA to access specialist advice, information and briefings.</li> <li>• Established a mechanism regionally for reporting and collating information/issues relating to Brexit. Any information is fed into and collated by South Wales Police, which is then forwarded to the Welsh Government's Emergency Control Centre.</li> </ul> | 2                                | 1                   | 2                  |
| <b>Resources</b>                     | <ul style="list-style-type: none"> <li>• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>• Completed a Directorate-wide impact assessment of Brexit.</li> <li>• Business Continuity Plans have been reviewed and updated for priority one services.</li> <li>• Maintain a high-profile presence in all relevant discussions and briefings with regard to Brexit and its implications for legislative changes. The Council has</li> </ul>   | 2                                | 1                   | 2                  |



| 2.2 Controlling Inherent Risk            |   |                           |              |             |
|--|---|---------------------------|--------------|-------------|
| Category                                 | Current Controls  | Effectiveness of controls |              |             |
|  |   | Likelihood Score          | Impact score | Total Score |
|  | <p>established good links with the Welsh Government and WLGA in relation to this.</p> <ul style="list-style-type: none"> <li>• Links with the Welsh Government and WLGA regarding economic development.</li> <li>• Brexit Impact Assessment Action Plan has been approved and is monitored by CMT on a regular basis. The monitoring of this action plan feeds into updates/reporting that we provide regionally to the WLGA in relation to the EU Preparedness Advisory Panel.</li> <li>• 100% of all priority 1 Business Continuity Plans were completed. The next steps will involve undertaking testing of Priority One Business Plans to gain assurance of existing business continuity mechanisms.</li> <li>• Impact of access to agency staff post-Brexit in relation to our residential/domiciliary care workforce has been fully investigated and identified as a low risk area.</li> <li>• Continue to work closely with managers across all service areas to help them to support potential employees who may need to apply for settled status Worked with our local Trade Unions, we have provided the ability for staff to access advice and support from HR to support them to apply for settled status.</li> <li>• HR systems have been updated to record/capture the nationality of new employees/new starters to the local authority that will enable us to take a more pro-active approach to signposting and supporting them to register via EUSS.</li> <li>• Established a monitoring mechanism for goods post-Brexit within our residential care home settings. All authorised orders are logged individually to monitor any changes to cost patterns following Brexit. Monthly review of costs with our main providers.</li> <li>• A review of the impact of Brexit on SRS functions was undertaken and all officers are properly authorised to continue their statutory duties.</li> </ul> |                           |              |             |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>• Brexit Impact Assessment Action Plan was developed and approved by CMT in September and is monitored on a regular basis.</li> <li>• Commenced a Directorate-wide impact assessment of Brexit.</li> </ul>   | 1                         | 1            | 1           |



| 2.2 Controlling Inherent Risk            |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                 | Current Controls   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <ul style="list-style-type: none"> <li>Guidance documentation has been sent to school kitchens highlighting awareness of best practice for receiving and storage of foods to assist during any period of disruption to food supplies. HACCP (Hazard Analysis and Critical Control Points) controls are in place to ensure safety of food being received and stored.</li> <li>Supply chain mapping has been undertaken within our residential care homes and within our catering service and supplies are under constant review with our suppliers (e.g. food, cleaning, Medical Devices and Clinical Consumable products).</li> <li>Developed a <a href="#">Preparing for Brexit</a> web page for the website to signpost our businesses to advice and information to the Business Wales website.</li> </ul> |                           |              |             |
| <b>Reputation</b>                        | <ul style="list-style-type: none"> <li>Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>Mechanisms are in place to ensure that we continue to share key information/messages to our Provider Forum i.e. on EU settled status etc.</li> </ul>  | 1                         | 1            | 1           |
| <b>Overall Effectiveness of Controls</b> |  | <b>2</b>                  | <b>1</b>     | <b>2</b>    |

| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |           |                                 |        |          |                     |        |                            |   |   |
|--|----------------------|--------|-----------|---------------------------------|--------|----------|---------------------|--------|----------------------------|---|---|
|  | Inherent Risk Scores |        |           | Effectiveness of controls Score |        |          | Residual Risk Score |        |                            | Direction of Travel   | Forecast Direction of Travel  |
| Category   | Likelihood           | Impact | Total     | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total                      |   |   |
| Political & Legislative                            | 4                    | 3      | 12        | 2                               | 1      | 2        | 2                   | 3      | 6                          |    |    |
| Resources  | 4                    | 3      | 12        | 2                               | 1      | 2        | 2                   | 3      | 6                          |    |    |
| Service Delivery & Well-being                      | 4                    | 3      | 12        | 1                               | 1      | 1        | 4                   | 3      | 12                         |    |    |
| Reputation   | 4                    | 3      | 12        | 1                               | 1      | 1        | 4                   | 3      | 12                         |    |    |
| <b>Average risk score/<br/>direction of travel</b> | 4                    | 3      | <b>12</b> | 2                               | 1      | <b>2</b> | 3                   | 3      | <b>9<br/>(Medium/High)</b> |  |  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.   | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer     | Completion Date | Status        |
|--|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------|-----------------|---------------|
|  |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integreation                        | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |             |                 |               |
| BXR/PB001(<br>BXR/FIT001<br><br>BXR/HR001<br><br>BXR/SL001 | Support the monitoring and reporting of the Brexit Impact Assessment Action Plan.<br><br><i>Contributes to SP<br/>Action: Co-ordinate work to ensure the Council is prepared for Brexit and ensure there are plans in place to manage any impacts.</i>   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TB/CL/TD/TB | December 2020   | Red (Slipped) |
| <b>ACTION UPDATE:</b>                                      | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, limited progress has been made during quarter 2. Some initial work has commenced on reviewing the Council’s Brexit Preparedness Plans for individual service areas. Corporate Risk continues to be monitored and the Council has participated in a variety of meetings/workshops run by WG and the WLGA. Grant Thornton have been commissioned by the WLGA to explore the impact of Brexit on trade in Wales. It is intended that this work will be published during the quarter 3 period. The findings from this work along with the current Brexit position will be used to inform a further risk analysis and a refresh of the Brexit Action Plan (aligned to the Risk Management Plan attached to this risk). A refresh of the action plan will be undertaken during quarter3 to ensure that any further preparatory actions are identified in response to emerging issues and can be progressed before the end of the transition period. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |             |                 |               |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.        | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                 |
|-------------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------------|
|                         |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                        |
| BXR/PB002               | Provide communications and information to staff, customers/citizens and businesses on Brexit issues.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TB      | December 2020   | Amber (Minor slippage) |
| <b>ACTION UPDATE:</b>   | There have been minimal government announcements regarding Brexit in light of the coronavirus pandemic. However, information continues to be communicated as it is received. It is anticipated that the volume of information for a variety of stakeholders will increase in the coming months.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                        |
| BXR/ALN001<br>BXR/SP001 | Ensure that appropriate exit strategies are in place for ESF funded projects.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | December 2020   | GREEN (On track)       |
| <b>ACTION UPDATE:</b>   | All ESF funded projects are designed with an exit strategy. The current plan is to work with other LAs and regional leads to secure a regional or national project for current ESF projects to transition into. There has been minimum movement at Westminster level to inform current thinking on the Brexit arrangements to allow any further clarity on the Framework for Regional Investment and funds that may become available. It is envisaged that further extensions will no longer exist and therefore there will be a need to seek an alternative source of funding or scale the project back to their grant or match funded level. Positively C4W+ has secured an additional £94,000 for the rest of this financial year and is likely to see this double for 2021/22. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                        |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| BXR/RMS001            | Establish a mechanism/tool for monitoring cost pressures in relation to supplies as result of Brexit.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |                                     |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | AP      | December 2020   | Red (Slipped)    |
| <b>ACTION UPDATE:</b> | As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, no significant progress has been made during quarter 2. As details of Brexit and implications of trade arrangements become clear, this work will commence in readiness for the end of the transition period. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| BXR/NS001             | Assist with the co-ordination of the Council's response to leaving the EU to ensure continuity of services for our citizens.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |         | December 2020   | RED (Slipped)    |
| <b>ACTION UPDATE:</b> | Our response to the COVID 19 emergency has dominated quarter 2 period. Brexit focused activities will be progressed in the coming months.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| BXR/RP001             | Work with Welsh Government and Welsh Local Government   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |                                     |                                     |                                     | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |         | December 2020   | GREEN (On track) |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status  |
|-----------------------|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|---|
|                       |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |   |
|                       | Association and local businesses to maximise opportunities for new grant sources after leaving the European Union.   |                  |           |                      |            |                                    |               |             |            |           |         |                 |   |
| <b>ACTION UPDATE:</b> | During the current pandemic the Economic Development and Council Tax teams have worked with Welsh and National Governments to deliver essential grant packages to businesses. This work continues with new grant opportunities being developed by Welsh Government as well as new schemes for those businesses that have not been successful in the previous grant schemes. The Team have continued to work with the WLGA to advise and inform Government of local impact of Brexit on businesses and it is expected that this process will continue as the UK exits the EU. |                  |           |                      |            |                                    |               |             |            |           |         |                 |   |
| BXR/SRS001            | Work closely with colleagues in Westminster and Welsh Government to ensure officers are properly authorised to continue their statutory duties.  | ✓                | ✓         | ✓                    | ✓          | ✓                                  | ✓             | ✓           | ✓          | ✓         | DH      | December 2020   | <b>GREEN (Completed)</b><br>Action completed and will be reflected as a control in the Register |
| <b>ACTION UPDATE:</b> | A review was undertaken, and all officers are properly authorised to continue their statutory duties.  |                  |           |                      |            |                                    |               |             |            |           |         |                 |   |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                        |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                               |
| <b>ACTION PLAN</b>    | Identify mechanisms to support those in the greatest of need/poverty to continue to be able to access food supplies etc e.g. Food Banks.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |         | December 2020   | <b>AMBER (Minor slippage)</b> |
| <b>ACTION UPDATE:</b> | We have utilised Food Poverty Grant via the WLGA associated with Brexit to address food poverty/insecurity issues. We have explored our options on how best to utilise this grant, subject to its terms and conditions. Some of this funding has already been used to support the affordability and availability of food during the coronavirus pandemic, for example via the foodbank and a community group. We have continued to build on these Vale Heroes initiatives supported during the pandemic. Exploratory work has commenced in Llantwit Major to consider a pilot project looking at aspects of food poverty and deprivation. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                               |

## 1 – Risk Overview

### 1.1 Risk Description

Welsh Government is committed to transforming the expectations, experiences and outcomes for children and young people with ALN and has created an ambitious and wide-ranging Additional Learning Needs Transformation Programme. This revolutionises the separate systems in schools and further education, to create a unified system for supporting learners from 0-25 with ALN.

The Additional Learning Needs and Education Tribunal (Wales) Act 2018 aims to create:

- a unified legislative framework to support all children of compulsory school age or below with additional learning needs (ALN) and to support young people with ALN who are in school or further education (FE)
- an integrated, collaborative process of assessment, planning and monitoring which facilitates early, timely and effective interventions; and
- a fair and transparent system for providing information and advice, and for resolving concerns and appeals.

It is expected that the ALN system set out in the Act will be fully implemented over a three-year period. The implementation period is expected to run from September 2021 to August 2024.

#### Core aims of the new ALN system

- **Introduce the term Additional Learning Needs (ALN)** – to replace the terms Special Educational Needs (SEN) and Learning Difficulties and/or Disabilities (LDD).
- **0-25 age range** – all children and young people will have the same rights to receive the provision they require, as well as improving transition between school and post-16 education.
- **A single statutory plan** – the Individual Development Plan (IDP). This will replace the variety of statutory and non-statutory plans for learners in schools and FE.
- **Increased participation of children and young people** – learners' opinions, along with those of their parents, should always be considered
- **High aspirations and improving outcomes** – delivering tangible outcomes that contribute to the learner's achievement of their full potential.
- **A bilingual system** - services must consider whether a child or young person needs additional learning provision in Welsh. If they do, this must be documented in the IDP and 'all reasonable steps' must be taken to secure the provision in Welsh.
- **Increased collaboration** – improved multi-agency working and information sharing
- **Simpler and less adversarial** – a simpler process to provide and revise an IDP to ensure it continually meets the needs of the learner.



- **Earlier disagreement resolution** – where disagreements occur the matter should be considered and resolved at the most local level possible.
- **Clear and consistent rights of appeal** – all children, their parents and young people will have a right to appeal to the Tribunal where disagreements cannot be resolved at a local level.
- **A mandatory Code** – to provide mandatory requirements and statutory guidance.

Some key aspects of the Act are outlined below:

The Additional Needs and Education Tribunal (Wales) Act 2018 (ALNET) places a statutory duty on all educational settings to maintain an Individual Development Plan (IDP) based on the principles of person-centred planning (PCP) for all pupils identified as having additional learning need (ALN).

- This significantly increases the expectations on all schools to have appropriate provision to meet need.
- If schools are unable to meet the need this could lead to increased litigation and reputational damage for the school and local authority.

The ALNET Act aim is to establish a unified system for supporting learners from 0-25. Local Authority Outreach teams are currently set up to provide services largely to local authority educational settings from 3-18. Expanding the duty on local authorities to meet need from 0-25 this will clearly extend the need to provide support to preschool and post 16 settings potentially up to the age of 25.

According to the ALNET Act the ultimate duty to meet the ALN of children and young people falls on the local authority to meet need.

The ALNET Act also states that where a school or FEI cannot meet the needs of pupils with ALN, they can request that the local authority administers the IDP. It is possible that this will lead to a dispute between schools, FEIs and LAs about who is responsible for funding provision.

An area of risk relates to further education institutions (FEIs). The Act places a duty on FEI's to use "best endeavours" to meet need but if they are unable to meet need the duty falls to the local authority. This could have significant financial implications for local authorities in future. It is crucial that clear process is created in order to manage this effectively and establish joint expectations around responsibilities and funding.

Currently, a small group of young people from the Vale of Glamorgan with complex ALN access college placements on leaving statutory education. Currently these high cost placements are funded by Welsh Government. From 2022, Welsh Government will pass on the funding and responsibility for these placements to local authorities. This exposes the local authority to increased risk as the number of young people requesting college placements is likely to increase.

The ALN Act places a much greater focus on working collaboratively, particularly in relation to health bodies. The Act also allows for greater involvement and participation amongst children and young people and gives parents/carers and young people the right to appeal against decisions made regarding their ALN and/or IDP. Local Authorities will also be required to provide access to independent advocacy services.

There is also an expectation that the new ALN system will be truly bilingual and that there will be parity of provision in English and Welsh. This expectation will be difficult to achieve at a local level and a regional approach will be needed to ensure that this aspiration is deliverable and cost effective.

Alongside the challenges faced in implementing the new duties associated with the Act, the local authority is increasingly faced with growing demand for ALN provision, particularly in relation to three key areas. These relate to children and young people with complex autism, physical and medical difficulties and those experiencing social and emotional health difficulties. Developing sufficient provision to meet demand in these growth areas will present an ongoing challenge for the service.

The COVID-19 pandemic has significantly disrupted education and learning at all levels. It has seen our schools repurposed for a period of time to care for the children of key workers and the most vulnerable. It has also seen a departure from classroom teaching to home-based learning, where children have been enabled to continue with their learning remotely. Although this has been positive, this learning approach will not replace the learning time lost from school and there is the real danger that in the longer-term educational inequalities will emerge amongst our most vulnerable learners and in particular those with Additional Learning Needs. The hurdle going forward is how to best address the growing demand for ALN provision which is exacerbated by the emerging issues and inequalities as a result of COVID.

The disruption to education due to COVID has also had a significant impact on preparations for the implementation of reform from September 2020.

Access to school staff for training purposes has been limited and many working groups both locally and regionally were suspended. These groups are now operational but significant time has been lost which will impact negatively on the preparations for implementation of the reform in September 21.

**1.2 Risk Owner**      **David Davies (Head of Additional Learning Needs & Well-being)**

**1.3 Impact on our contribution to the Wellbeing Goals**

| A Globally Responsible Wales | A Prosperous Wales | A Resilient Wales | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
|------------------------------|--------------------|-------------------|-------------------|--------------------|---------------------------------|--|
| Yes                          | Yes                | Yes               | Yes               | Yes                | Yes                             | Yes  |

| 1.4 Risk Categories                   |        |  |
|---------------------------------------|--------|--|
| Categories                            | Yes/No | Definition   |
| <b>Political &amp; Legislative</b>    | Yes    | Political and legislative repercussions of failing to meet the requirements of the <i>Additional Learning Needs and Education Tribunal Act 2018</i> could lead to litigation, fines and/or political instability.  |
| <b>Resources</b>                      | Yes    | <p>Extending the duty of care to a wider age range of children and young people (0-25), impacts on our workforce capacity and our ability to widen our service provision to bring in more specialist skills/support. The legislation will require a significant amount of additional provision to be created without sufficient additional financial resources.</p> <p>Insufficient knowledge and expertise in the workforce to fully meet the new requirements of the Additional Learning Needs Education Tribunal Act. This could have significant training and development implications for the local authority staff as well as school-based staff.</p> <p>Insufficient funding to deliver our additional duties under the Additional Learning Needs Educational Tribunal Act. The discharge of new responsibilities/duties under the Act could present a significant financial risk to the Council where there is already a growing need for ALN provision.</p> <p>Demographic changes are having a significant impact on our capacity to meet rising demand for our services. There are rising numbers of children and young people presenting with more complex needs which is affecting our ability to meet those needs in the current financial climate in line with the Act.</p> <p>Inability to undertake/progress preparatory work in readiness for the legislative changes due to serious disruption to education services resulting in widespread school closures and the diversion of resources in response to major business continuity issue e.g. pandemic.</p> |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>There is a risk that the local authority will fail to meet its statutory duties in delivering the requirements of the Additional Learning Needs and Education Tribunal Act 2018.</p> <p>Inability to deliver a fully bilingual service as set out in the Act in terms of Additional Learning Needs, creating a lack of parity of provision across the service and a failure to meet both the requirements of the legislation and the needs of our learners.</p> <p>Risk that this legislation could lead to a dilution in support services for those who have the most complex needs (i.e. those who previously had statements) especially if all learners will now</p>   |

| 1.4 Risk Categories |        |  |
|---------------------|--------|--|
| Categories          | Yes/No | Definition   |
|                     |        | <p>require the same type of statutory plan. This could impact on the wellbeing of children and young people and their parents/carers if our services are unable to meet their basic needs.</p> <p>Lack of sufficient provision to meet the increasing numbers of children and young people across the three key growth areas of children and young people with complex autism, physical and medical difficulties and those experiencing social and emotional health difficulties. There is the concern that COVID-19 could further compounds this risk, as a consequence of school closures there is an increased likelihood of a rise in social and emotional health needs of children and young people.</p> <p>There is a financial risk associated with providing ongoing bespoke transport solutions to a growing number of children and young people with complex needs in order to access education.</p> |
| <b>Reputation</b>   | Yes    | Reputational damage associated with non-compliance with the Additional Learning Needs Education Tribunal Act and the negative criticism this could attract from our Regulators (Estyn).  |

| 2 – Risk Evaluation                      |                     |                 |                           |
|--|---------------------|-----------------|---------------------------|
| 2.1 Inherent Risk Scoring                |                     |                 |                           |
| Category                                 | Likelihood          | Impact          | Total Inherent Risk Score |
| <b>Political &amp; Legislative</b>       | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Resources</b>                         | 4 (Almost certain)  | 3 (High)        | <b>12 (High)</b>          |
| <b>Service Delivery &amp; Well-being</b> | 3 (Probable)        | 3 (High)        | <b>9 (Medium/High)</b>    |
| <b>Reputation</b>                        | 2 (Possible)        | 3 (High)        | <b>6 (Medium)</b>         |
| <b>Overall Inherent Risk Score</b>       | <b>3 (Probable)</b> | <b>3 (High)</b> | <b>9 (Medium/High)</b>    |

| 2.2 Controlling Inherent Risk            |   |                           |              |             |
|--|---|---------------------------|--------------|-------------|
| Category                                 | <ul style="list-style-type: none"> <li>Current Controls</li> </ul>  | Effectiveness of controls |              |             |
|  |   | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b>       | <ul style="list-style-type: none"> <li>Regular updates on ALN provision and progress against meeting the requirements of the Act presented to Scrutiny and Corporate Management Team.</li> <li>Work closely with the Consortium with regular progress updates and reports.</li> <li>The Transformational Project Board meetings are attended regularly, and monitoring of the plan is on target.</li> </ul>   | 2                         | 1            | 2           |
| <b>Resources</b>                         | <ul style="list-style-type: none"> <li>Budget setting process includes considerations of cost pressures arising from ALN developments.</li> <li>A readiness survey has been completed. This has identified areas of staff development and training requirements that will form the basis of a training programme.</li> <li>A PCP audit has been undertaken and results have been analysed in clusters and regionally.</li> <li>Awareness raising training has been delivered to Headteachers, ALNCOS and Governors on the Act.</li> </ul>   | 1                         | 1            | 1           |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>A three-year ALN Implementation Plan for the Central South Consortium Region was agreed in August 2018. Delivery of the Implementation Plan is monitored by the transformational lead for the Vale of Glamorgan with progress reported back to the Director of Education.</li> <li>In relation to ALN, all schools are now organised in Secondary school feeder clusters. Cluster leads are meeting regularly with the transformational Lead, working on priorities for the ALN Act. IDP format has been trialled within the special school cluster and within mainstream cluster groups.</li> <li>For the tracking and monitoring of ALN pupils, all staff can access the system called ONE. Process maps for ONE have been developed to ensure that procedures are used consistently.</li> </ul> | 2                         | 1            | 2           |

| 2.2 Controlling Inherent Risk                  |  |                           |              |             |
|--|--|---------------------------|--------------|-------------|
| Category                                       | <ul style="list-style-type: none"> <li>Current Controls</li> </ul>   | Effectiveness of controls |              |             |
|  |  | Likelihood Score          | Impact score | Total Score |
|  | <ul style="list-style-type: none"> <li>Early Years meetings continue to be attended, regionally and with Cardiff in order to plan early years provision.</li> <li>A Continuing Health Care Draft Policy has been endorsed by all key partners to improve transparency of the process as it relates to children and young people.</li> <li>Transition Protocol has been developed and agreed in conjunction with Social Services and Health.</li> </ul> |                           |              |             |
| <b>Reputation</b>                              | <ul style="list-style-type: none"> <li>A communication strategy in relation to the ALN Act is being developed.</li> </ul>  | 1                         | 1            | 1           |
| <b>Overall Effectiveness of Controls Score</b> |  | <b>2</b>                  | <b>1</b>     | <b>2</b>    |

| 2.3 Residual Risk Scoring & Direction of Travel    |                      |        |       |                                 |        |       |                     |        |                            |                     |                              |
|--|----------------------|--------|-------|---------------------------------|--------|-------|---------------------|--------|----------------------------|---------------------|------------------------------|
|  | Inherent Risk Scores |        |       | Effectiveness of controls Score |        |       | Residual Risk Score |        |                            | Direction of Travel | Forecast Direction of Travel |
| Category   | Likelihood           | Impact | Total | Likelihood                      | Impact | Total | Likelihood          | Impact | Total                      |                     |                              |
| Political & Legislative                            | 3                    | 3      | 9     | 2                               | 1      | 2     | 2                   | 3      | 6                          |                     |                              |
| Resources  | 4                    | 3      | 12    | 1                               | 1      | 1     | 4                   | 3      | 12                         |                     |                              |
| Service Delivery & Well-being                      | 3                    | 3      | 9     | 2                               | 1      | 2     | 2                   | 3      | 6                          |                     |                              |
| Reputation   | 2                    | 3      | 6     | 1                               | 1      | 2     | 2                   | 3      | 6                          |                     |                              |
| <b>Average risk score/<br/>direction of travel</b> | 3                    | 3      | 9     | 2                               | 1      | 2     | 3                   | 3      | <b>9<br/>(Medium/High)</b> |                     |                              |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| ALN/AS001             | Work with schools, families and others to improve the services and support for those with additional learning needs so we can effectively plan and prepare for legislative changes. (ALN Act)   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | SC      | March 2021      | GREEN (On track) |
| ALNR/SPO01            | Work in partnership to ensure children and families of vulnerable groups receive the information they need to make informed decisions about their children’s education.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     | MH      |                 |                  |
| <b>ACTION UPDATE:</b> | <p>The 20-21 regional and local ALN transformation plans have been developed in conjunction with the regional ALN transformation lead. This includes a range of actions which will be implemented to prepare for implementation of the reform in September 2021. The draft Transition Protocol has been consulted on with health colleagues and now a wider consultation with therapies is taking place. An easy read version will then be developed with a launch planned by the end of the financial year. Meetings regarding 16-25 educational provision between Head of ALN and Adult Services alongside other key stakeholders is due to take place in the next quarter.</p> <p>We continue to work in partnership with children and families of vulnerable groups. The VGT work in partnership to support schools and Children Services, is undertaken on a needs-led basis, to ensure the families of the 7 identified vulnerable groups receive information to make informed decisions about their child’s education.</p> |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |



### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| ALNR/AL N001          | Develop early years ALN provision in line with the expectations of the ALNET (Wales) Act.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | The toolkit and training programme has been developed. The Vale are working closely with Cardiff to develop provision. Good links have been made with early years settings and providers. A Regional Transition Pathway and model way of working has been considered with Cardiff. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| ALNR/AL N002          | Develop additional specialist resource base and special school places to meet current and projected need.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | The consultation is now complete, and reporting will be presented to Cabinet for consideration.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| ALNR/AL N003          | Support schools in the introduction of Person-Centred Planning (PCP), Individual Development Plans (IDPs) and to further develop Provision Mapping and tracking the progress of pupils with ALN.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | RED (Slipped)    |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                         |
| <b>ACTION UPDATE:</b> | The Transformational Lead has worked with Governor Support to keep Governors abreast of ongoing developments for the ALN Act. Regional work on this area is just beginning and further training will be provided.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| ALNR/AL N004          | Develop a regional approach to increase the ALN provision available to Welsh medium schools to ensure sufficiency of provision.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | <b>RED (Slipped)</b>    |
| <b>ACTION UPDATE:</b> | No further work has been undertaken on a regional level in relation to this area this term. A meeting with the Regional Transformation Lead was scheduled in October to discuss how this area of work can be progressed.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| ALNR/AL N005          | Support development of the ALNCo role in schools as set out in the ALNET (Wales) Act.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | A new IDP coordinator has been recruited and will take up post in November. Training for school on IDPs is ongoing and schools have been asked to implement the training and begin piloting the use of IDPs in specified year groups. PCP training has been revisited and PCP toolkit distributed. Additionally, ALNCO Training is being provided via cluster leads and the transformation lead. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| ALNR/AL N006          | Work with partners to develop an education and training offer for young people 16-25.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | <b>GREEN (On track)</b> |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                         |
| <b>ACTION UPDATE:</b> | A local offer has been drafted for further consideration and school transition leads are being consulted to develop links with CAVC to input into the local offer.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| ALNR/AL N007          | Develop strategic links at a regional and local level with further education colleges to develop an agreed vision for the inclusion and supporting the needs of learners with additional learning needs post 16. | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | <b>GREEN (On Track)</b> |
| <b>ACTION UPDATE:</b> | The multi-agency Transition Protocol is being shared with transition leads in secondary schools. A multi-agency forum with CAVC has been set up to review individual ALN pupils and transition.                  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| ALNR/AL N008          | Improve the quality and availability of information to parents/carers, young people and all service users about additional learning needs provision.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | Hwb SharePoint for schools and teachers has nearly been completed to share ALN resources, advice and information. The Website needs further technical IT advice in order to complete and publish information.    |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| ALNR/AL N009          | Seek the views of service users on current additional learning needs provision and on how to develop provision in future.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | <b>GREEN (On track)</b> |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                  |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                         |
| <b>ACTION UPDATE:</b> | Further consultation around ALN in relation to developing more centralised provision for wellbeing, and trauma involving the resource base at Gladstone, PRU and YYD are being undertaken.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| ALNR/AL010            | Further develop the role of outreach services, and support inclusion in all educational settings more effectively.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | Outreach services have adapted service delivery as a result of COVID and continue to support schools through a mix of remote and face to face work. The development of the "Engagement Service" is a major development in supporting schools to meet the increasing demands relating to social, emotional and mental health. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| ALNR/ALNO11           | Ensure that parents/carers are fully informed of their rights as set out in the ALNET Act and that educational settings receive training in avoiding disagreement and disagreement resolution.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | <b>Green (On track)</b> |
| <b>ACTION UPDATE:</b> | Avoiding disagreements and resolution resources have been developed, initial training has been given, mop up training has been planned. Cluster model is up and running and will address dispute resolution within its meetings. Ongoing regional and ALN transformation meetings develop guidance, regarding the ALN act.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status           |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integrat                            | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                  |
| ALNR/AL N012          | Work with schools to ensure that pupils are happy, safe and free from discrimination.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | Work is ongoing to re-write a range of policies including the safeguarding policy and anti-bullying policy in light of new guidance. This work is being undertaken in consultation with schools and young people.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |
| ALNR/SPO 02           | Work in partnership with the Central South Consortium Joint Education Service, schools, children and their families to improve the outcomes of vulnerable learners and reduce inequalities in education.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MH      | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | <ul style="list-style-type: none"> <li>• Ongoing discussions between Improvement Partners and headteachers in relation to use of the Recruit, Recover, Raise Standards: Accelerating Learning Programme grant. Strong focus on identification of vulnerable learners to be involved in any catch-up sessions / wellbeing sessions funded by the grant.</li> <li>• Initial discussions beginning between Improvement Partners and headteacher regarding the use of the PDG; discussions delayed due to the operational manner of schools due to Covid-19.</li> <li>• Further cross-authority work on ALN transformation.</li> <li>• Facilitation of a workshop on behaviour and relationships examining how we can develop effective cultures and climates in our schools. All invites extended to LA well-being staff.</li> <li>• Chairing of attendance, EOTAS and exclusion leads meetings sharing common issues across the consortium.</li> </ul> |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer | Completion Date | Status                  |
|-----------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                       |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |         |                 |                         |
|                       | <ul style="list-style-type: none"> <li>• Delivery of the Equity and Excellence strategy. Information shared with schools through Improvement Partners and CSC website. Further promotion of strategy planned during October.</li> <li>• Mapping support for adopting the whole school approach to mental health in the new curriculum for Wales.</li> <li>• Refining professional learning offer linked to equity and wellbeing.</li> <li>• Working on multiple groups involving vulnerable learners including BAME, Young Carers, More able and Talented, Service Children in Education, Children in Wales and the Child Poverty Action</li> <li>• Ongoing collation and evaluation of PDG LAC cluster plans.</li> </ul> |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| ALNR/SPO 03           | Work with partners to enhance the capacity of all educational settings to meet the social, emotional and mental health needs of all children and to maximise well-being.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | MH      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | A review of the SEMHP has been undertaken and a proposal for the implementation of a formalised panel will be presented to Cabinet in the coming weeks. Feedback from stakeholders was overwhelmingly in support of the panel.  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |
| ALNR/AL N013          | Provide training for schools to develop trauma informed approaches to meet the social emotional and mental health needs of pupils.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | <b>GREEN (On track)</b> |
| <b>ACTION UPDATE:</b> | A significant amount of training has been delivered in this area of work.<br>Professional training opportunities 19-20 (in addition to CSC offer):  |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |         |                 |                         |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status |
|------------------|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|--------|
|                  |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |        |
|                  | <ul style="list-style-type: none"> <li>• Trauma and Mental Health Informed Schools training                             <ul style="list-style-type: none"> <li>o Supporting the Return to School - 3 hours</li> <li>o Whole school- 3 hours</li> <li>o Senior Leads - 2 days</li> <li>o Practitioner - 10 days</li> </ul> </li> <li>• Therapeutic workshops at Ysgol y Deri                             <ul style="list-style-type: none"> <li>o Therapeutic music approaches for the classroom – 3 hours</li> <li>o Therapeutic play approaches for the classroom – 3 hours</li> <li>o Understanding the sensory basis of behaviours</li> <li>o Understanding the functions of behaviours</li> </ul> </li> <li>• Unpicking Neurodevelopmental Differences – 1 day</li> <li>• Whole School Autism training – 1 hour</li> <li>• Autism/SCD staff training via EIB placements – 1 day per week for duration of placement</li> <li>• Bespoke training/action learning for individual staff through Engagement Service</li> </ul> <p>Support for vulnerable learners:</p> <ul style="list-style-type: none"> <li>• Engagement Service advice and support (and other LA and outreach services)</li> <li>• Engagement Service interventions</li> <li>• Specialist SEMH assessments - Motional</li> </ul> |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action  | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |               |                                     |                                     |                                     | Officer | Completion Date | Status                  |
|------------------|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------|-------------------------------------|-------------------------------------|-------------------------------------|---------|-----------------|-------------------------|
|                  |   | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration | Involvement                         | Prevention                          | Long-Term                           |         |                 |                         |
|                  | <ul style="list-style-type: none"> <li>• Access to play and music therapy</li> <li>• Access to OT assessments and advice</li> <li>• Access to RP Team Formulation meetings</li> <li>• Intensive intervention and support through placements at SRBs</li> <li>• Support for parents of vulnerable learners through parent training, Early Bird/Early Bird Plus/Teen Life</li> </ul> <p>Additional 20-21 activities will include:</p> <ul style="list-style-type: none"> <li>• Repeat of all training and support above - virtual delivery</li> <li>• Co-delivering whole school trainings, 'Understanding distress' with Resilience Team</li> <li>• Just Right State – pupil programme and accompanied parent and staff training. Meeting sensory attachment needs of young people.</li> <li>• Rainbow curriculum – Trauma and mental health informed PSHE curriculum for KS1 and KS2 to support return to school during COVID pandemic</li> </ul> <p>3 x 2.5 hr Supervision for TIS practitioners supporting the most vulnerable and complex pupils to support their capacity to be emotionally available adults at school.</p> |                                     |                                     |                                     |                                     |                                     |               |                                     |                                     |                                     |         |                 |                         |
| ALNR/AL N014     | Implement a training programme for central staff in order to ensure readiness for the ALNET Act from September 2020/21  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |               | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | DD      | March 2021      | <b>GREEN (On Track)</b> |



### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action  | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status |
|-----------------------|---|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|--------|
|                       |   | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |        |
| <b>ACTION UPDATE:</b> | The #itsaboutme process was completed and all identified training has been reflected in learning plans. Managers are attending corporate online engagement sessions again in quarter 2/3. However, as a result of nearly all staff working remotely, planned staff development days have not taken place. |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |

Appendix 16 Corporate Risk 16: COVID-19 (Coronavirus)

Return to Risk Summary Report

1 – Risk Overview

1.1 Risk Description

COVID-19 is an infectious disease caused by a newly discovered coronavirus. The first case of the disease was first reported in China during December 2019, but very quickly spread throughout the rest of the world. Consequently, the World Health Organisation declared Coronavirus (COVID-19) to be a global pandemic that required a consistent and collaborative response.

The first cases were first seen in the UK in February 2020 but by the middle of March 2020 the cases and associated deaths began to rise significantly, and it has been described as the ‘worst public health crisis in a generation’.

Most people infected with the corona virus will experience a mild to moderate respiratory illness and recover without requiring special treatment. However, older people, and those with underlying medical problems like cardiovascular disease, diabetes, chronic respiratory disease, and cancer are more likely to develop serious illness. During March 2020 ONS data shows that, of the deaths involving COVID-19, 91% of these deaths were amongst people who had at least one pre-existing condition. This places significant strain on the NHS and social care sector in terms of their capacity to meet demand for care. In order to not overwhelm our Health Service at this most critical time, the Government introduced a series of unprecedented ‘lockdown’ measures at the end of March in order to manage and slow its spread.

Lockdown and social distancing measures have had a positive impact on slowing the spread of the virus, however, in turn has also had a huge impact on every aspect of daily life as well as the economy. The social and economic cost of the crisis will be significant over the longer term and is likely to further exacerbate existing health inequalities in society. For instance, the pandemic has further magnified health inequalities by disproportionately impacting on those living in deprivation and those from Black and Asian Minority Ethnic Groups. The reasons for this are still not fully understood, but the pandemic has exposed how disadvantage and discrimination fuel such inequalities. Given the widespread impact the coronavirus has had on people’s lives, it is anticipated this will not only impact on how local authorities fulfil their role and key statutory functions but will have a lasting effect on how we operate services in the future.

The demands on our workforce and financial resources are significant features of this risk. Our workforce is our greatest asset, so a key element of managing this risk also needs to be safeguarding our workforce so we can keep them well and can maintain continuity of service. This risk also challenges us in terms of how we utilise our assets and how we operate our services by maximising technology to do this, where possible. How we respond to this risk will be critical to how we work through this crisis. This will require difficult decisions to be made by balancing demand for services versus continuity of critical services to our most vulnerable citizens in our communities. How we respond to these emerging challenges will be critical to how we work through the crisis.

|  |   |
|--|---|
|  | <p>There are two key aspects to the COVID-19 risk as outlined in this Register focuses firstly on our response in terms of how as a local authority the Council will prioritise the use of our resources (our assets, finance, technology and our workforce) at this volatile time to ensure that we are in the best position to respond to the constantly changing landscape. The emphasis here is on our capacity to maintain service continuity of business-critical services so that we can protect the organisation against legislative, financial and reputational repercussions/consequences. As this risk evolves over time, and our focus moves more towards our recovery phase the risk going forward is the local authority's capacity to address the longer-term impacts of the pandemic on our services, citizens and communities.</p> <p>Given the evolving nature of this risk, the Council's recovery from this will not be linear, instead it will most likely be influenced by various challenges that at times may impede our recovery and at other times present us with opportunities. Regular review and updating of this risk will enable the Council to ensure this risk remains current and will enable us undertake horizon scanning in relation to potential threats and additional emerging issues as this risk evolves whilst shaping our strategic response. Despite the uncertainty that lies ahead, the crisis has provided local authorities with an opportunity to reflect on how services are operated and delivered to our citizens. Seizing opportunities to improve the efficiency and effectiveness of our services will enable us to emerge from the crisis a stronger and more resilient organisation.</p> |
|--|---|

|                       |                                  |
|-----------------------|----------------------------------|
| <b>1.2 Risk Owner</b> | <b>Corporate Management Team</b> |
|-----------------------|----------------------------------|

|  |
|--|
| <b>1.3 Impact on our contribution to the Wellbeing Goals</b> |
|--|

| A Globally Responsible Wales | A Prosperous Wales | A Resilient Wales | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
|------------------------------|--------------------|-------------------|-------------------|--------------------|---------------------------------|--|
| Yes                          | Yes                | Yes               | Yes               | Yes                | Yes                             | Yes  |

|                            |
|----------------------------|
| <b>1.4 Risk Categories</b> |
|----------------------------|

| Categories                                | Yes/No | Definition   |
|---|--------|--|
| <b><i>Political &amp; Legislative</i></b> | Yes    | <p>Political and legislative repercussions of failing to discharge our statutory functions and comply with statutory requirements of service delivery.</p> <p>Political and legislative repercussions of not fulfilling our requirements as outlined in the Constitution.</p> <p>Failure to provide a consistent and timely leadership in response to the pandemic that is out of step with national policy.</p> |

| 1.4 Risk Categories |        |   |
|---------------------|--------|---|
| Categories          | Yes/No | Definition  |
|                     |        | <p>Failure to utilise our expert knowledge of our communities to make timely decisions in how we deliver services to meet the needs of our most vulnerable communities.</p> <p>The pandemic brings with it an increased risk of challenge and the potential for litigation.</p> <p>Inability to adapt our democratic/governance processes quickly and effectively to ensure timely decision-making and effective business continuity. Any adaptations to decision making/governance processes as a result of lock down restrictions would need to be robust and in keeping with our constitutional requirements, ensuring openness and transparency.</p>  |
| <b>Resources</b>    | Yes    | <p>Insufficient funding available that can be used to meet unprecedented demand in our most critical services e.g. social care services. Effective financial management will be essential to respond monitor and prioritise the resourcing of a breadth of services where there are competing demands.</p> <p>Uncertainty regarding the ongoing funding support from Welsh Government. Welsh Government has continued to financially support Local Authorities through grant funding. To date payments have been made in relation to increased costs and lost income to the end of September 2020. Whilst it is assumed that there will be funding for the remainder of this financial, the only confirmation of that is currently in relation to social care and homelessness costs.</p> <p>Collection of income for the Authority maybe a considerable risk as</p> <ul style="list-style-type: none"> <li>• households may find the payment of their Council Tax a significant financial burden If their employment status has changed as a result of the pandemic;</li> <li>• Businesses may struggle to pay business rates due to financial pressure.</li> </ul> <p>Rising costs associated with sourcing supplies via our supply chain (e.g. Personal Protective Equipment (PPE) etc.) and services (contracted out services/agency staff costs) will place further pressure on budgets.</p> <p>Financial viability of some of our key service delivery partners as we move from response to recovery.</p> |

| 1.4 Risk Categories |        |  |
|---------------------|--------|--|
| Categories          | Yes/No | Definition   |
|                     |        | <p>Failure to mobilise our assets, technology and workforce resources across our council departments and organisational boundaries to respond effectively to the crisis.</p> <p>Inability to manage demand and sustain critical services due to a loss of staff from the front line due to illness/shielding. e.g. Social Care staff, teachers etc. There is also the potential for increased insurance risks arising from claims due to failure to manage demand and sustain delivery of key services or due to transmission of the virus.</p> <p>Workforce shortages of specialist key staff impacting on our ability to deliver statutory service functions where redeployment from other areas is not possible. e.g. Social Workers.</p> <p>Inability to execute contingency plans consistently across service areas due to a lack of available resources.</p> <p>Inability to source from our supply chains appropriate levels of PPE to be distributed to our frontline workers and other providers.</p> <p>Financial impact of the crisis on the voluntary sectors impacting on their capacity and ability to provide support to citizens and communities in this crisis.</p> <p>Failure to maximise the use of our existing assets and technology to deliver services in a cost effective and efficient way.</p> <p>Lack of capacity to seize opportunities to explore and develop new ways of working to transform services that are fit for the future. Financial, asset and workforce challenges could impede our progress in improving the quality and efficiency of our services and jeopardise the viability of our services in the future.</p> <p>Although COVID presents opportunities for new and more effective ways of working, with this comes the risk that the existing workforce lacks the skills required to transform services that are fit for the future. For example, any further expansion of the digital agenda will require whole scale upskilling of the workforce and the development of a new set of skills that may not already be present in the workforce. Any emerging skills gaps could impede our progress in improving the quality and efficiency of our services and jeopardise the viability of our services in the future.</p> |

| 1.4 Risk Categories                   |        |   |
|---------------------------------------|--------|---|
| Categories                            | Yes/No | Definition  |
|                                       |        | <p>COVID-19 presents an increased risk of cyber-attacks and the potential for fraud. During the crisis, threats have been increasingly targeted at those working from home with more sophisticated attacks being identified and reported more frequently. This not only undermines the integrity of our systems, but places increased pressure on our resources to keep a step ahead of cyber threats and fraudulent activity.</p>  |
| <b>Service Delivery and Wellbeing</b> | Yes    | <p>Failure in our duty to ensure the safety and well-being of our most vulnerable citizens and an inability to meet their basic needs.</p> <p>Failure to provide education to school pupils, via distance learning and in-school learning.</p> <p>Failure to maintain/oversee quality assurance mechanisms associated with managing and monitoring service delivery by Third Parties to citizens in our communities.</p> <p>Failure to safeguard the principles of social inclusion as a result of the crisis and effectively support the most vulnerable groups on the edge of society.</p> <p>Detrimental financial impact of the crisis on the sustainability of the local economy placing increased demand on our finance/benefits teams to enable businesses to survive and financially recover from this crisis.</p> <p>Increased incidences of family abuse, neglect and domestic violence, places increased pressure on our safeguarding services. This combined with the social distancing measures challenges how we can safeguard children, young people and adults at risk.</p> <p>Increased number of citizens unemployed due to the pandemic which pushes more people into debt and poverty. Any detrimental impact to their finances could impact on their ability to pay their mortgages/ sustain tenancies, pay bills and afford food. This in turn puts our benefits and housing and homelessness services under increased pressure to source solutions that will enable them to continue to live in their homes, prevent homelessness and access food.</p> <p>Failure to effectively support and safeguard the most vulnerable in society who have been advised to shield.</p> <p>Increased pressure and lack of capacity of reablement services in the community to support the step down from critical care in</p> |

| 1.4 Risk Categories |        |   |
|---------------------|--------|---|
| Categories          | Yes/No | Definition  |
|                     |        | <p>hospitals which will ultimately impact on an individual's ability to recover and regain their independence.</p> <p>Inability to maintain new and innovative services and ways of working that have developed during the pandemic, which have proved essential for certain groups of individuals but for which future funding is not available to continue at the current time (e.g. homelessness).</p> <p>Failure to take advantage of the opportunities to transform services as a result of lessons learnt from the Council's response to COVID-19.</p> <p>Risk of contractual delay to key capital projects/construction projects due to COVID. For example, Labour and supply chain issues could cause construction projects to be delayed or contractual obligations not be met.</p> <p>Failure of a contractor to perform their contractual obligations in light of COVID-19. Non-performance could be caused by labour shortages, reduced productivity, disruption to the supply chain, closed factories/plants, travel restrictions/quarantine and or be workforce related.</p> <p>Economic impact of COVID-19 on contractors could threaten their viability and ability to fulfil contractual obligations and potentially result in contractual failure.</p> <p>Impact of Pandemic on the delivery of sports and leisure activities that are in an accessible format to all our citizens. Lock down restrictions led to a closure of leisure facilities, which has had a detrimental impact on the most vulnerable and in particular those who were reliant on exercise referral programmes to support their health and wellbeing and recovery from illness/injury.</p> <p>The pandemic threatens the viability of community-based sports groups/clubs. Small scale sports clubs/groups may lack capacity and economic resilience to recover from the crisis and operate their sports/leisure activities in a COVID-safe way.</p> <p>The pandemic has shifted our focus towards maximising our use of technology to deliver services, which increases the risk of digital exclusion. This could potentially disadvantage our most vulnerable and deprived citizens who do not have access to online services.</p> |
| <b>Reputation</b>   | Yes    | <p>Failure to communicate effective, clear and consistent messages to our key partners and other stakeholders could undermine the effectiveness of our collaborative response to the crisis and result in a poorly orchestrated delivery of services at a critical time.</p>  |

| 1.4 Risk Categories |        |  |
|---------------------|--------|--|
| Categories          | Yes/No | Definition   |
|                     |        | Loss of confidence and trust by the public as a consequence of lack of clarity and transparency of key measures being taken by the local authority to safeguard the health and well-being of our citizens. |

## 2 – Risk Evaluation

### 2.1 Inherent Risk Scoring

| Category                                 | Likelihood                | Impact                  | Total Inherent Risk Score |
|--|---------------------------|-------------------------|---------------------------|
| <b>Political &amp; Legislative</b>       | 3 (Probable)              | 4 (Catastrophic)        | <b>12 (High)</b>          |
| <b>Resources</b>                         | 4 (Almost certain)        | 4 (Catastrophic)        | <b>16 (Very High)</b>     |
| <b>Service Delivery &amp; Well-being</b> | 4 (Almost certain)        | 4 (Catastrophic)        | <b>16 (Very High)</b>     |
| <b>Reputation</b>                        | 3 (Probable)              | 4 (Catastrophic)        | <b>12 (High)</b>          |
| <b>Overall Inherent Risk Score</b>       | <b>4 (Almost certain)</b> | <b>4 (Catastrophic)</b> | <b>16 (Very High)</b>     |

### 2.2 Controlling Inherent Risk

| Category                           | Current Controls  | Effectiveness of controls |              |             |
|------------------------------------|---|---------------------------|--------------|-------------|
|                                    |   | Likelihood Score          | Impact score | Total Score |
| <b>Political &amp; Legislative</b> | <ul style="list-style-type: none"> <li>An extended Corporate Management Team, CMT Gold, maintain ongoing oversight and development of our strategic response to the developments associated with the crisis.</li> <li>Emergency Planning Team and processes are an intrinsic part of the Gold arrangements.</li> <li>Regular briefings and updates provided by the Managing Director and the Leader to all Members, WLGA and Welsh</li> </ul> | 2                         | 1            | 2           |



| 2.2 Controlling Inherent Risk |  |                           |              |             |
|-------------------------------|--|---------------------------|--------------|-------------|
| Category                      | Current Controls   | Effectiveness of controls |              |             |
|                               |  | Likelihood Score          | Impact score | Total Score |
|                               | <p>Ministers on our position and response to the crisis.</p> <ul style="list-style-type: none"> <li>• Directors in regular liaison with professional bodies and national forums to understand the latest policy position relevant to their area.</li> </ul>  |                           |              |             |
| <b>Resources</b>              | <ul style="list-style-type: none"> <li>• Critical services reviewed and prioritised for resourcing.</li> <li>• All staff where it is practical have been enabled to work from home.</li> <li>• Systems have been put in place to collect financial information in a timely manner to ensure accurate grant claims are submitted to the Welsh government on a monthly basis.</li> <li>• Where possible and required, deferred payment arrangements have been put in place in relation to council tax on business rates to provide financial support in the community but also to ensure cash flow for the council.</li> <li>• Procurement arrangements have been amended to ensure that the council is able to access services / goods as quickly as possible to ensure ongoing service delivery.</li> <li>• PPE provided and appropriate social distancing measures in place where working from home not practical.</li> <li>• Significant advice from HR published on our intranet, including new well-being and working from home guidance.</li> <li>• Risk assessment for office accommodation published.</li> <li>• Risk assessment completed for BAME colleagues.</li> <li>• Worked with the Welsh Government and the Local Health Board to secure a supply of PPE</li> <li>• Engaged effectively with private suppliers to source additional PPE.</li> <li>• Actively sought the redeployment of staff to four vital service areas: residential care, waste and cleaning services and customer support.</li> </ul> | 2                         | 1            | 2           |

| 2.2 Controlling Inherent Risk            |   |                           |              |             |
|--|---|---------------------------|--------------|-------------|
| Category                                 | Current Controls  | Effectiveness of controls |              |             |
|  |   | Likelihood Score          | Impact score | Total Score |
|  | <ul style="list-style-type: none"> <li>Investment in ICT developments to enable home working.</li> <li>Updated guidance on annual leave, flexi leave, and TOIL that has been published to reflect and adapt to the changing circumstances.</li> </ul>   |                           |              |             |
| <b>Service Delivery &amp; Well-being</b> | <ul style="list-style-type: none"> <li>Worked with our schools to co-ordinate the establishment of childcare hubs for the children of key workers across schools throughout the Vale.</li> <li>Worked with schools to enable catch up and check in facilities during the latter part of the summer term.</li> <li>Worked with schools to facilitate risk assessments associated with reopening schools from September.</li> <li>Food voucher system has been established that ensures all those children and young people who will normally receive free school meals will not miss out.</li> <li>The Business Rates team, with support from staff in Regeneration, have completed a significant piece of work to administer the various national grants being made available for businesses ensuring that over £25m of funding was received by over 2,500 businesses in the Vale.</li> <li>Worked in collaboration with GVS to launch <a href="#">Vale Heroes</a>, a new service directory that brings together information regarding volunteering in our communities and sources of assistance with food and other supplies.</li> <li>Established a Crisis Support Team who are contacting individuals who have been advised to shield, to establish their support needs and if they need any assistance with accessing additional help, food and medications.</li> </ul> | 2                         | 1            | 2           |

| 2.2 Controlling Inherent Risk                  |   |                           |              |             |
|--|---|---------------------------|--------------|-------------|
| Category                                       | Current Controls  | Effectiveness of controls |              |             |
|  |   | Likelihood Score          | Impact score | Total Score |
|  | <ul style="list-style-type: none"> <li>• Coordination of food parcel deliveries to shielding people with no other form of support.</li> <li>• For residents who have not been asked to shield for 12 weeks but are vulnerable and in crisis the Council has established a dedicated COVID Crisis Support Line to ensure that they also receive the necessary support.</li> <li>• Housing/Homeless Service secured temporary hotel accommodation to provide shelter for homeless people.</li> <li>• Secured donations from private and charitable organisations to support the provision of food to families and people who are vulnerable.</li> <li>• New services have been put in place to support homeless people throughout the lockdown. This is involved providing single person accommodation and support for individuals. This has been funded via short term revenue support from the Welsh Government.</li> </ul> |                           |              |             |
| <b>Reputation</b>                              | <ul style="list-style-type: none"> <li>• Tannoy trucks have been used to broadcast the key messages to the public of #StayHome-StaySafe demonstrating that the Council is at the forefront of the response to COVID-19.</li> <li>• Managing Director issues weekly communications/updates to staff on the ongoing developments and advice on any changes to working practice.</li> <li>• Communications Plan has been developed in response to this crisis that ensures that regular updates are provided to public, business owners and other key stakeholders on a daily basis by maximising the use of all our key communication channels.</li> </ul>  | 2                         | 1            | 2           |
| <b>Overall Effectiveness of Controls Score</b> |   | <b>2</b>                  | <b>1</b>     | <b>2</b>    |

2.3 Residual Risk Scoring & Direction of Travel Does not include the LG&E Bill and does include the ALN]

| Category   | Inherent Risk Scores |        |           | Effectiveness of controls Score |        |          | Residual Risk Score |        |                            | Direction of Travel   | Forecast Direction of Travel  |
|--|----------------------|--------|-----------|---------------------------------|--------|----------|---------------------|--------|----------------------------|---|---|
|  | Likelihood           | Impact | Total     | Likelihood                      | Impact | Total    | Likelihood          | Impact | Total                      |   |   |
| Political & Legislative                            | 3                    | 4      | 12        | 2                               | 1      | 2        | 2                   | 4      | 8                          |  |  |
| Resources  | 4                    | 4      | 16        | 2                               | 1      | 2        | 2                   | 4      | 8                          |  |  |
| Service Delivery & Well-being                      | 4                    | 4      | 16        | 2                               | 1      | 2        | 2                   | 4      | 8                          |  |  |
| Reputation   | 3                    | 4      | 12        | 2                               | 1      | 2        | 2                   | 4      | 8                          |  |  |
| <b>Average risk score/<br/>direction of travel</b> | 4                    | 4      | <b>16</b> | 2                               | 1      | <b>2</b> | 2                   | 4      | <b>8<br/>(Medium/High)</b> |  |  |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories                     |                                     |                                     |                                     | Demonstration of 5 Ways of Working  |                                     |                                     |                                     |                                     | Officer   | Completion Date | Status           |
|-----------------------|--|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-----------|-----------------|------------------|
|                       |  | Political & Legl                    | Resources                           | Service & Well-being                | Reputation                          | Integration                         | Collaboration                       | Involvement                         | Prevention                          | Long-Term                           |           |                 |                  |
| CV/PB001              | Develop the Council's Recovery Strategy as an overarching strategy to guide services through transition to recovery and report to Cabinet.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | RT        | September 2020  | GREEN (On track) |
| <b>ACTION UPDATE:</b> | The Recovery Strategy was reported to Cabinet 21st September and is being considered by all scrutiny committees in October. Work to develop Directorate Recovery Plans to 'localise' the strategy is underway and this work is also informing the development of the Annual Delivery Plan for 2021/22 and the service planning process.                      |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |           |                 |                  |
| CV/PB002              | Develop Directorate Recovery Plans to guide service areas through transition to recovery.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Directors | September 2020  | GREEN (On track) |
| <b>ACTION UPDATE:</b> | Work has commenced across the Council to develop Directorate Recovery Plans.   |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |           |                 |                  |
| CV/PB003              | Develop a suite of insight reports to monitor the community and economic impact of coronavirus.  | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TBowring  | March 2021      | GREEN (On track) |
| <b>ACTION UPDATE:</b> | A Community Impact Assessment and an Economic Impact Assessment dashboard reports have been produced during the quarter and have been used to inform the Recovery Strategy. Details of both have been shared with PSB partners and reported as part of the Recovery Strategy to Cabinet and scrutiny committees. The dashboards are regularly being updated. |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |                                     |           |                 |                  |
| CV/PB004              | Maintain a regular communications plan to accompany service changes and other important public health messages to share information.   | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | TBowring  | March 2021      | GREEN (On track) |

### 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref.      | Action   | Risk Categories  |           |                      |            | Demonstration of 5 Ways of Working |               |             |            |           | Officer | Completion Date | Status |
|-----------------------|--|------------------|-----------|----------------------|------------|------------------------------------|---------------|-------------|------------|-----------|---------|-----------------|--------|
|                       |  | Political & Legl | Resources | Service & Well-being | Reputation | Integration                        | Collaboration | Involvement | Prevention | Long-Term |         |                 |        |
| <b>ACTION UPDATE:</b> | The Council's Communications Manager is the Communications lead for a range of regional groups responding to the coronavirus pandemic. This involves the development and deployment of a range of communications to the public and targeted groups for the Test, Trace, Protect service as well as the Local Resilience Forum. |                  |           |                      |            |                                    |               |             |            |           |         |                 |        |