THE VALE OF GLAMORGAN COUNCIL

CABINET: 22ND MARCH 2021

REFERENCE FROM AUDIT COMMITTEE: 1ST MARCH 2021

"440   CORPORATE RISK REGISTER QUARTER 3 UPDATE (MD) -

The purpose of the report was to update the Audit Committee on the Quarter 3 position of Corporate Risks for April 2020 - December 2020 contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report.

The report provided Members with an overview of the Corporate Risk Register for Quarter 3 (April 2020-December 2020). A risk analysis was incorporated within the Corporate Risk Summary Report (Annex A to the report). This enabled officers and Members to identify and assess trends and the cross-cutting nature of risks with the ability to drill down to the detail of risks as and when required.

The report recommended that Audit Committee:

- Note the Quarter 3 position of corporate risks for the period April 2020-December 2020 and the emerging issues contained within the report.
- Refer any other comments to Cabinet for their consideration and endorsement at the meeting when Cabinet would consider a report on the Corporate Risk Register for Quarter 3.

Councillor Wilson queried what was happening with South Lodge in Penarth, and he asked why was there a five-year work force plan as opposed to a longer term one. In reply, the Head of Policy and Business Transformation advised that the lease for South Lodge was in the process of being transferred. In terms of a five-year Workforce Plan, he stated that the workforce strategy would also contain elements of the action plan. A five-year plan had been agreed to reflect some of the issues to have been highlighted from the Reshaping Services review, including points around skills and experiences, and so this was a way to bridge the gap between the Council's current position and where it wanted to be in five years' time.

Councillor Dr. Johnson referred to environmental sustainability and the recent flooding event across the Vale which occurred last December. He asked for the Risk Register to reflect the impact of flooding in more detail.

The Committee agreed that as part of the next Risk Register update, issues affecting Additional Learning Needs, including the impact during the Covid-19 pandemic on those learners with Welsh as a first language, would be considered in greater detail.

Having considered the Risk Register update report, it was

RESOLVED –

(1)   T H A T the Quarter 3 position of corporate risks for the period April 2020-December 2020 as outlined in Annex A to the report be noted.

(2)   T H A T any other comments be referred to Cabinet for their consideration and endorsement at the meeting when Cabinet consider a report on the Corporate Risk Register for Q3.

(3)   T H A T the implications of new legislation relating to Additional Learning Needs be explored in further detail by the Audit Committee, including impact on those learners with Welsh as a first language during the Covid-19 pandemic.

<u>Reasons for decisions</u>

(1)   To identify the Quarter 3 position of corporate risks across the Council and highlight any emerging issues and actions to be taken as outlined in Annex A.

(2)   To ensure Cabinet receives the comments of the Audit Committee when considering the Quarter 3 position.

(3)   To allow Audit Committee to explore in more detail issues relating to Additional Learning Needs."

Attached as Appendix – Report to Audit Committee, 1st March, 2021

Meeting of:	**Audit Committee**
Date of Meeting:	**Monday, 01 March 2021**
Relevant Scrutiny Committee:	Corporate Performance and Resources
Report Title:	Corporate Risk Register Quarter 3 Update
Purpose of Report:	To update Audit Committee on the quarter 3 position of Corporate Risks for April 2020 - December 2020 contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report.
Report Owner:	Rob Thomas, Managing Director
Responsible Officer:	Tom Bowring, Head of Policy & Business Transformation
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.

Executive Summary:

- This report provides Members with an overview of the Corporate Risk Register for Quarter 3 (April 2020-December 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 risks with the ability to drill down to the detail of risks as and when required.

The report recommends that Audit Committee:

- Note the Quarter 3 position of corporate risks for the period April 2020- December 2020 and the emerging issues contained within the report.

- Refer any other comments to Cabinet for their consideration and endorsement at the meeting when Cabinet will consider a report on the Corporate Risk Register for Quarter 3.

Recommendations

1. Note the Quarter 3 position of corporate risks for the period April 2020-December 2020 as outlined in Annex A.

2. Refer any other comments to Cabinet for their consideration and endorsement at the meeting when Cabinet will consider a report on the Corporate Risk Register for Q3.

Reasons for Recommendations

1. To identify the Quarter 3 position of corporate risks across the Council and highlight any emerging issues and actions to be taken as outlined in Annex A.

2. To ensure Cabinet receives the comments of the Audit Committee when considering the Quarter 3 position.

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 score, effectiveness of control score and residual 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 quadrant 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 quadrant 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 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 3 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. Audit Committee are requested to consider the quarter 3 position of the Risk Register, whilst noting the following developments.

2.11   **Covid-19**- By the end of the quarter 3 period (December 2020), a series of new restrictions had been put in place to control the rapid rising rates of coronavirus infections. This saw a return of lockdown scenarios (similar to that experienced in March) across the whole of Wales with the closure of all non-essential retail and hospitality from 20th December 2020. In January, Schools were due to return on a phased basis after the Christmas break. However, with the emergence of the new Kent variant that was showing signs of rapid transmission, this quickly

prompted the Welsh Government to relook at plans. In response, the Welsh Government announced on the 8th January that schools would not see a phased return on 18th January as intended but would remain closed until at least February half term unless there was a significant drop in cases[1]. Following a review, the Minister for Education announced on the 5th February that primary schools will begin a phased return for Foundation Phase learners from 22nd February[2]. The Welsh Government indicated that a steady fall in Covid-19 case numbers since December has provided sufficient 'head room' to allow a partial return of learners in what has been described in as a 'phased, flexible and progressive way'.

2.12   The drop in cases in the Vale of Glamorgan mirrors the pattern across Wales**.** In the week commencing 1st-7th February there were 101.8 cases per 100,000 reported[3]. There has been a drop in infection rates, but Welsh Government have indicated at present there will be no other significant changes to restrictions. This is in part due to the emergence of 13 confirmed cases of the South African variant in Wales, which the Welsh Government is maintaining a watching brief on[4]. In response to the emergence of this variant alongside a Brazilian variant, the four governments in the UK suspended the travel corridor scheme and instead all UK arrivals are required to quarantine for 10 days[4]. Since then, further developments have seen the introduction of new rule that will require all arrivals to show proof of a negative Covid-19 test to be allowed entry and then take two further coronavirus tests whilst in quarantine[5]. Those found not abiding by the quarantine rules will be subject to stricter penalties that could result in up to a 10-year prison sentence[5]. In addition, from 15th February all arrivals from 33 counties on the 'red list' will now be required to quarantine in hotels approved by the government at the expense of the traveller costing £1,750 per passenger for 10 nights[5].

2.13   The vaccination programme has progressed at pace, and as at the 16th February, 114,012 vaccines were administered to residents in the Cardiff and Vale University Health Board area. To support the acceleration in the vaccination programme in the Vale of Glamorgan, in addition to GP surgeries offering vaccinations, a mass vaccination centre opened in Barry on the 8th February. The next phase of the vaccination programme will see the roll out of vaccinations to will see the programme focus on providing phase

2.14   **Brexit**-Despite there being a trade deal (Trade and Cooperation Agreement) in place, transition from the EU has not been without initial issues. During the first month of the UK's new trading relationship with the EU, there have been complaints from British Exporters regarding increased bureaucracy associated with additional customs checks and the new paperwork requirements, which has led to delays across the border in getting products and supplies to the EU. This is

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[1] Covid: Wales' schools and colleges shut until half term unless cases fall. BBC News article published on 8th January 2021.
[2] Schools: Coronavirus Guidance, Welsh Government
[3] Public Health Wales Rapid Covid-19 surveillance Confirmed Case Data by Local Authority area, Accessed on 11th February 2021
[4] New variants of concern in Wales. Welsh Government: Written Statement
[5] What are the new rules for testing and hotel quarantine? BBC News article published 10th February 2021

reported to have been particularly problematic for some smaller SMEs that are getting to grips with the new regulatory requirements[6].

2.15 Although, the initial concerns regarding the queuing at ports has been avoided, there has been a noticeable drop in the flow of lorries during this period, with French authorities in Calais reporting flows being 70% of normal levels[7]. The more noticeable disruption to date has been in relation to fresh goods such as fish, meat and cheese where more checks and health certification is required. As a consequence of this, there have been problems with some fresh goods not leaving the UK and perishing at ports.[7] In response, the government has set up a £23m fund to compensate fishing firms for any losses[7].

2.16 More recently the most significant disruption has been in relation to the transport of fresh produce from England, Wales or Scotland into Northern Ireland. Some foods entering Northern Ireland still require certain checks and paperwork as they are required to follow the EU rules. In some cases, this has led to substantial delays as some companies were unaware of the new requirements. Consequently, there has been some disruption to fresh produce reaching Northern Ireland, which had resulted in some empty supermarket shelves in January.

In addition to the new trade arrangements with the EU, the UK has also made some progress on expanding trade relationships with other countries. At the time the UK left the EU, the EU had over 40 trade deals with over 70 countries[7]. Since the UK's exit, the UK has entered into a 'roll over arrangement' that took effect from the 1st January 2021, which has allowed for a continuation of trading with 63 of these countries[8]. There are also four other counties (Albania, Canada, Jordan and Mexico) that are also in the pipeline but yet to take effect[8]. The UK government also announced that it would be applying to join a free trade area known as the Comprehensive Progressive Agreement for Trans-Pacific Partnership (CPTPP) that includes 11 Asia and Pacific nations such as Australia, Canada, Japan and New Zealand[8]. In addition to this, the UK government is also continuing to hold talks separately with the US, New Zealand and Australia[8]. It is felt that this Partnership would be beneficial to the UK, as the CPTTP nations account for approximately 9% of UK exports[8].

The Welsh Government has published a document 'The New Relationship with the EU: What it means for Wales', that sets out the implications of the new relationship between the UK and the EU as agreed as part the new trading agreement (Trade and Cooperation Agreement). It also provides a very high-level overview of the key issues from a Welsh perspective and how they are likely to impact on businesses, citizens and communities across Wales.

2.17 The impact of the Covid-19 and Brexit developments as highlighted above, will be taken into consideration when reviewing the Risk Register for quarter 4.

2.18 Attached at **Annex A** is the **Quarter 3 Risk Summary Report**. **Annex B** provides the complete **Corporate Risk Register**.

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[6] Brexit: How much disruption has there been so far? BBC News article published 1st February 2021
[7] Brexit: What trade deals has the UK done so far? BBC News article published 9th February 2021
[8] UK wants to join the club-but what is the CPTPP? BBC News article published 30th January 2021

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 Manging 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

VALE OF GLAMORGAN COUNCIL

CORPORATE RISK SUMMARY REPORT

QUARTER 3 APRIL 2020- DECEMBER 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 third quarter of the year, the COVID-19 pandemic continues to have had a significant impact on all aspects of risk on the Register. 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. We anticipate that 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 Welfare Reform risk which has increased its risk position from a score of 4 to a 6 on the Register. This change in risk score has not changed its overall medium risk status.
- This risk score has been amended to reflect the impact Covid-19 is having on the service delivery, wellbeing and resources aspects of this risk. The downturn in the economy has resulted in an increase in unemployment and a growth in the numbers of people claiming Universal Credit and Council Tax relief. There is the concern that a rise in those claiming Universal Credit and other forms of relief are likely to exacerbate issues around debt and poverty potentially leaving people in a position that they are unable to pay their mortgages/sustain tenancies, cover bills and afford food. This in turn puts pressure on housing and homelessness services to source solutions that will enable people to continue to live in their homes and prevent homelessness. From a resources perspective, the rise in Universal Credit and Council Tax relief claimants, also challenges our workforce capacity in responding to the increased demand for financial support and could have income implications in relation to collection of council tax.

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 continue to be forecast to drop, whilst environmental sustainability, welfare reform, Brexit, Reshaping Services and Covid are all still anticipated to rise over time.
- **Information security**- Good progress has been made in migrating staff to 365 and rolling out the Advanced Threat Protection (now known as Microsoft Defender). It is likely that the full effect of the mitigations associated with Microsoft Defender will be realised by quarter 4. Therefore, we anticipate that this risk will maintain a static position until the Microsoft Defender is implemented across all 365 users.   The service is confident that these controls will continue long lasting mitigating effect against cyber-attacks.
- **Waste**-   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. The roll out of the new Waste Blueprint was successfully completed in October 2020. However, the roll out of source segregation in Penarth is dependent on the completion of the Waste Transfer station, which is not likely to occur until 2021/2. It is anticipated that the Waste Transfer Station will take at least 10 months to complete and is subject to gaining planning permission. A planning application was submitted for the Waste Transfer Station

during quarter 4 and a decision is expected during quarter 4. In addition, Neighbourhood Services were successful in securing £1.1m in new grants from the Welsh Government and the service has commenced the procurement of three projects 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 invest in new sorting equipment for the proposed Waste Transfer Station. This grant funding will support our efforts in ensuring that we can put in place the infrastructure needed to support the delivery of the national waste agenda. This will also be complemented by a 10- year Waste Strategy that is currently under development. As the impetus of the waste blueprint moves forward, we are likely to see a further decrease in the risk to more acceptable levels. However, the service area doesn't anticipate that there will be any significant movement in the risk score until the Waste Transfer Station is fully operational before the benefits of the 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 continued to cause 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 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. During quarter 3, Social Services received confirmation of the continuation of the transformation fund into 2021-2022, which has helped to alleviate those initial concerns. The service area intends to utilise the quarter 4 period to plan for the implementation of project work for the next 12 months. Although the risks associated with funding have diminished, the impact of COVID on our workforce capacity continues to impede our ability to progress some integrated health and social care projects and so impacts on the service delivery and well-being aspect of this risk. The development of an 'alliance model has been delayed due to operational pressures and a lack of capacity of key staff as a result of COVID. Similarly, the creation of an integrated model for a single point of access to the Wellbeing Matters Services (via the Contact Centre), has also been delayed due to ongoing COVID pressures as a result of the repurposing of staff in response to the pandemic. It is not anticipated that this project will be progressed in the current financial year due to the need to support ongoing response to the pandemic in the form of supporting the Track and Trace process and Mass Immunisation and Testing programme. Therefore, the forecast direction of travel for the service delivery and wellbeing elements of this risk are unlikely to change until we see the lockdown restrictions ease and repurposed staff return to their positions and projects/services that we have put on hold resume again. Despite this, overall, it is still anticipated that this risk will further diminish over time as the pressures associated with supporting the ongoing efforts regarding the pandemic.
- **Environmental Sustainability**- This risk has maintained its upward trajectory to reflect to reflect that the pressures associated with climate change will continue to escalate over time. Work has progressed 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 was reported to Cabinet in November 2020. A number of online engagement sessions have been held with colleagues from across the organisation to kick start the development of ideas for the action plan. A more detailed overview of the more recent climate change developments has been outlined in the next section below.
- **Welfare Reform –** It is forecast that this risk could continue to rise as a result of the risks associated with financial and social effects from the welfare reform changes that are further compounded by implications from Covid-19.

- **Brexit**- It is forecast that this risk will maintain a heightened static position in the first few months following the end of the transition period. A more detailed analysis of the quarter 3 position is outlined in the next section.
- **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 increase over the winter period, as COVID infections have escalated over the winter months. The emergence of a second wave of infections during the peak flu season, has exacerbated existing winter pressures in hospitals, putting the NHS at risk of becoming overwhelmed by the number of hospital admission and the demand for intensive care beds. This in turn will impact on the Health Service's ability to continue to provide ongoing care/treatment for other conditions. In order to protect the NHS from becoming overwhelmed, a series of measures/restrictions were reintroduced during quarter 3 to enable us to suppress the R value[1] and growth rate[2] of COVID. A more detailed position on the quarter 3 position is outlined in the next section.
- **Reshaping Services**-We anticipate that this risk is likely to rise in relation to the resource and service delivery and well-being aspects of the risk. It is forecast that the service delivery and well-being aspect of this risk will continue to 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 still increase to reflect how our resources have been increasingly squeezed in response to the pandemic. Looking forwards we expect that the cost pressure the Pandemic has placed on 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 3 in relation to the actions associated with the Risk Management Plans across all aspects of the Register.
- In total there are 139 mitigating actions currently being monitored via the Register, the majority of which are also aligned to a Corporate Plan activity. During quarter 3, we have been able to assign a RAG status to 138 of these mitigating actions. Where it has not be 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 3, a total of 7% actions (10) were completed, 64% (89) were on track and allocated a Green status. 7% (9) of actions were allocated an amber status for minor slippage and 22% (30) 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 has continued to challenge continuity of our services and put pressure on how we can deliver services to our citizens during the ongoing crisis. Through effectively planning, repurposing our workforce working in new and innovative ways and by maximising our use of technology to support service delivery we have been able to minimise disruption to service delivery. Sustaining levels of service delivery whilst managing demand for services at a time when resources are stretched is likely to be an

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[1] 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.
[2] 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.

- ongoing challenge, throughout this crisis. By learning from the experience of the first wave, we have been able to rapidly adapt our response to the evolving Covid situation.

- As well as ensuring we continue to respond to the ongoing challenges of the pandemic, we have continued to focus our efforts on planning for recovery. Following the approval of the Recovery Strategy (and accompanying community and economic impact assessments) by Cabinet, work has progressed during quarter 3 on aligning our Recovery Priorities with the development of a new Annual Delivery Plan for 2021-22. The Annual Delivery Plan has been refreshed to include a series of COVID-related recovery priorities, where there will be a focus on utilising the learning from the Pandemic to shape new ways of working and maximising opportunities to enhance our use of technology and developing new models of service delivery. A public consultation on the draft Annual Delivery Plan ran for 4 weeks between December and the end of January including a consultation with Scrutiny Committees 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. Since the start of the quarter 3 period, a series of new restrictions had been implemented to control the rising rates of coronavirus infections. During October, a two week 'Firebreak' was introduced, 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.

- In the lead up to the Christmas period the rates began to accelerate again with the emergence of a new more highly infectious variant (that was initially identified in Kent). The rate of new cases in the Vale of Glamorgan was 521 cases per 100,000 population (for the 7-day period between 21st to 27th December), which placed us higher than our neighbouring Cardiff.[3] There was also a high positivity rate for tests at 22.1%. This rise was replicated across the rest of Wales and it is what prompted the Welsh Government to review the restrictions across the whole of Wales. In response, the Welsh Government reintroduced level 4 lockdown measures from the 20th 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).

- During this period, the Council has once again adapted 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.

- 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 28th December and 3rd January), which placed us higher than our neighbouring Cardiff[4].

- 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 8th

[3] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area, Accessed on 19th January 2021.
[4] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area, Accessed on 19th January 2021.

December[5] following its regulatory approval on 2nd December[6]. On the 30th 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.

- Following the announcement of approval of the vaccines at the latter end of the quarter, we quickly accelerated our efforts by working closely with our health colleagues to support the planning and delivery of the mass vaccination programme. 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.

- During December, in liaison with the Cardiff and Vale Health Board, we commenced our first tranche of vaccinations of social care staff working who are working on the front line such. To support the co-ordination and delivery of vaccines to our social care staff, the Council rapidly developed an online booking mechanism to enable staff to book their appointments which has also enabled us to make the best use of our resources and vaccine availability.

- 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. This will be followed by the immunisation of over 50s and younger people with pre-existing health conditions which it is anticipated will be completed by the Spring of 2021[4]. During quarter 4, 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. As the vaccine roll out gathers pace, a more detailed picture of progress will be available at the next quarter's update.

- Based on the above developments, it is recommended that this risk maintains its medium/high status (8). It is forecast we could see a further escalation of this risk in the short term, if infection rates and hospital admissions continue to rise. However, it is anticipated that this risk will diminish over time as the vaccine roll out begins to take effect. However, we are unlikely to see any significant shift change in this risk until at least Spring 2021, when it is hoped most of the Joint Committee on Vaccination and Immunisation priority groups should have been vaccinated.

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 as planned. 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. An update on Brexit developments and implications was outlined in a report to Cabinet on the 30th November. The report set out the current position on Brexit as at 16th November 2020 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

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[5] Covid-19 vaccine roll out begins in Wales. Welsh Government Press Release published on 8th December 2020.
[6] COVID Pfizer vaccine judged safe to use in UK from next week in UK. BBC News article published on 2nd December 2020.

- arrangements'[7]. After months of negotiating, a post-Brexit trade deal was finally announced on 24th December 2020[8]. 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. 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[9].
- Although having a trade deal has mitigated against some of the risks associated with Brexit it has not diminished all of them. For instance, although there will be no tariffs on products, additional checks at borders (safety checks and custom checks) could result in potential delays in the supply chain if paperwork is incomplete/incorrect.
- There are still some concerns that the cost of these additional checks could be passed onto the consumer resulting in some price rises[9]. In relation to services and qualification businesses in the UK such as banking, architecture and accounting will lose their automatic right of access to EU markets and will now face additional restrictions[9]. In terms of travel the deal allows for UK nationals to stay up to 90 days in an EU country without a visa. However, the UK will no longer be subject to the ban on additional roaming charges (by mobile phone operators). Therefore, there is the risk that mobile phone companies will be able to charge for roaming data[9]. In relation to fisheries, the UK will regain a greater share of fish from its own waters over the next 5 and a half years[9]. In relation to legal aspects, the European Court of Justice (ECJ) will no longer play a role in the UK, and any disputes between the EU and UK will need to be referred to an independent tribunal[9]. For Education, the new arrangements will see the end of the Erasmus Exchange Programme (scheme that helps students study in other countries) for UK students. Finally, in relation to data flows, the UK will no longer be obliged to comply with EU standards of data protection[9]. In line with the deal the UK can continue to exchange data over the next 6 months under the previous interim arrangements, whilst the UK applies for a data adequacy decision. The risk is that if after 6 months a non-adequacy decision is reached, it is likely to lead to restriction on how data can be exchanged between the EU and UK and has the potential to disrupt access to any data that is held in the EU by third party companies on our behalf.
- The other main aspect of our new relationship with the EU that is mostly likely to impact on the Council and how we deliver services are in relation to citizen's applying via the EUSS scheme for their right to remain in the UK. Regardless of any Trade Deal, there will still be a requirement for EU/EEA citizens to apply for settled status via the EUSS scheme. This will require all eligible citizens to reside in the UK by 31st December 2020 and they have until 30th June 2021 to apply via the EUSS scheme. ONS estimates within the Vale of Glamorgan indicate that there are approximately 3,000 EU citizens that reside in the Vale of Glamorgan (estimated as at June 2020). The most recent Home Office data on applications via the EUSS scheme suggest that a total of 1,330 EUSS applications had been made up until end September 2020 for those residing in the Vale of Glamorgan. This would suggest just under half of all estimated EU eligible citizens have already applied for settled status, but the data also indicates there a number still yet to apply.
- There are concerns that there are 'hard to reach' individuals that are still yet to apply. In the lead up to June 2021, to mitigate this the Council will be focusing its messaging on

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[7] Refers to a set of common rules and standards by which countries can operate by to prevent businesses in one country undercutting their rivals in another country.

[8] UK and EU agree post-Brexit trade deal. BBC news article published on 24th December 2020.
[9] Brexit: What are the key points of the deal? BBC news article published on 30th December 2020

- promoting and raising awareness of the EUSS scheme via its main digital and social media channels. In addition to this, discussions are underway with CAB to run a series of awareness raising digital Webinars aimed at front line staff who speak to the public on a regular basis and are in contact with some of those most 'hard to reach groups'. The purpose of these webinars is to raise awareness of the EUSS scheme in terms of who is eligible to apply and to also make staff aware of their role in supporting citizens by signposting them to EUSS specialist advice and support.

- Another area of potential disruption post-transition, is access to data/information that is held/stored by a Third-Party Company/provider on our behalf in an EU Country. At the end of the transition period, the UK will become a 'third country' in relation to data protection. The UK is currently seeking an 'data adequacy' decision from the EU under the General Data Protection Regulation and the Law Enforcement Directive, which if secured will allow frictionless flows of personal data between the EU/EEA and the UK. However, if no adequacy decision is reached before the 31st December 2020, there are likely to be restrictions to the transfer of data from the EU to the UK unless safeguards are put in place. This data adequacy decision is independent of any negotiated deal regarding Brexit.

- To address this, a series of safeguards will need to be put in place to mitigate against any potential disruption. The Home Office guidance recommends that public bodies identify their data flows from outside the UK by conducting an audit of personal data that is held that pays particular attention to the geographic origin of the data and the legal basis for the transfer.

- To gain assurance of our data systems, the Council has commenced a data flows mapping exercise to identify if there are any potential systems where personal data is held by a Third-Party Company/Provider in the EU. Following completion of this exercise the information will be reviewed to determine what appropriate mitigations will need to be put in place to safeguard access to personal data whilst the UK awaits a data adequacy decision.

- The other major change for the UK yet to be fully felt will be the changes to EU structural funding that were designed to support economic development in EU member countries and reduce the economic inequalities that exist across regions of the EU. The UK had continued to receive EU structural funds during the transition period, that ended on 31st December after which there will be no future arrangement to access EU funds. The UK Government made a pledge to create a Shared Prosperity Fund that will replace this structural fund that is intended to continue to support regions economically across the UK by reducing inequalities across the four nations and to support 'sustainable and inclusive growth'[10] To date the UK had committed to holding a consultation on the design of the fund, which is still yet to take place. By the end of last year, the UK Internal Market Bill had gained royal assent that will give UK Government Ministers powers to make payments to any person, including the devolved nations in policy areas that are devolved, to support economic development[10] . By November 2020, the UK set out that it intended to use these powers to deliver the Shared Prosperity Fund and intends to publish further information by Spring 2021[10]. Although, the UK Government has indicated the new Shared Prosperity Fund will work in a way to respect the devolution settlements, the Welsh Government have questioned whether the funding issued to Wales will match that previously received by the EU and there are concerns that the UK Government will bypass the devolved administrations like the Welsh Government to spend directly money directly in devolved policy areas[10]. Despite these concerns, the Welsh Government has outlined through its consultation paper 'Securing Wales' Future: A Framework for Regional Investment in Wales' that intends to build on the legacy of the structural funding but with a focus on developing

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[10] European Structural Funds after Brexit: the UK Shared Prosperity Fund. Institute for Government accessed on 2nd February 2021.

a regional investment policy in Wales. The level of funding Wales is likely to receive is still unknown and although the Council has limited influence over these matters, we continue to have constructive conversations with the WLGA and Welsh Government at a regional level to lobby them regarding getting a fair funding settlement across the region and for the Vale of Glamorgan. With no new funding programmes on the horizon and many EU funding schemes fully spent this will undoubtedly leave a gap in both capital funding available and support to businesses. We will continue to lobby for additional support so that businesses, farmers and communities within the Vale of Glamorgan are no worse off as a result of leaving the EU.

- Considering some of the above implications and the uncertainty associated with Brexit and any trade deal, it is recommended that this risk retains it medium/high status (8) with an upward forecast direction of travel. An analysis of Brexit and any emerging implications, following the post-transition period (after 31st December 2020), will be explored in the quarter 4 Risk Register update.

Environmental Sustainability Risk-
- A key driver of the environmental sustainability risk is climate change. Climate change broadly 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.
- In response to 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 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 29th July 2019. In relation to this declaration, the Council's Insight Board has undertaken work to identify key areas of activity across the Council that will contribute to this declaration. A key action that has emerged was the need to develop a Charter that will encapsulate our response to the climate change emergency in the form of a climate change action plan. However, due to Covid-19, it has not been possible to progress this work as originally envisaged. In response to the pandemic, the Council has published its Recovery Strategy that outlines a series of recovery priorities that will in turn support the work to tackle climate change. The Council intends to build on the foundations of this Recovery Strategy by developing a climate change action plan, which will reflect on our learning from our response to the pandemic and how this can be used to inform our response to the climate change and new potential ways of working and how we live in the future. The development of this action plan will be undertaken alongside the PSB's workstream on climate change.
- Despite the disruption associated with Covid-19, work resumed during the quarter on the development of an action plan. To date a number of activities have been undertaken to bring this work together including discussions at Insight Board and the PSB, and engagement with staff through Insight 'Lab' sessions. These engagement sessions have helped to identify opportunities for developing more innovative approaches to tackling climate change that have seen suggested changes to how staff travel, work with partners, businesses and community groups through to how we procure products and reduce our waste. As well as these activities, a draft Annual Delivery Plan was consulted on in December 2020, that outlines our proposed actions to address climate change. It is hoped that this consultation with our citizens and other key stakeholders will also help to inform our developmental work on the action plan.

- In addition to this engagement work, a set of seven live discussion papers have also been produced to assist with the development of an action plan that will be regularly updated to reflect emerging ideas/innovations that could support us address the climate change challenge. It is anticipated that these discussion papers will be used as a catalyst for conversation that will enable us to develop an action plan in line with our duties under the Wellbeing of Future Generations Act. A key feature of this climate change conversation will be to hear the voice of our communities. Therefore, the Council's communications team are planning a programme of activities over the next 12 months that will enable public and community groups to participate in our work on climate change and the development of the action plan.
- This risk currently scores a 6 with a medium status, which indicates that the risk is currently well controlled with existing mitigations. However, the pandemic has undoubtedly impacted on us progressing our response to the climate change emergency. Much of this disruption has been resource-related, as at the start of the pandemic many of our own staff and partners were redeployed to areas where additional staffing were needed most. Going forward, the Pandemic continues to pose a risk in relation to our ability to progress some of our planned engagement work and in particular that wider-community climate change conversation to inform the development of an action plan. As we will be living with social distancing and other restrictions for some time to come, it will challenge us to think more creatively about how we can effectively engage a cross-section of society to inform the development of a climate change action plan. On this basis, it is anticipated that this risk continues to have the potential to escalate over time if we are unable to find an effective means through which we can progress our climate change work and the development of an action plan.
- Although the pandemic has brought with it additional challenges it has also provided us with a unique opportunity to re-evaluate our ways of working and to use the learning from the pandemic to also tackle climate change. With our organisational commitment to tackling climate change, we are confident that through our mitigations and progress made to date we will be able to further manage the risks associated with climate change.

SECTION 1: RISK DESCRIPTIONS

Risk Ref	Risk	Scope
CR1	**Reshaping Services** **Appendix 1**	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	**Legislative Change & Local Government Reform** **Appendix 2**	Inability to appropriately respond/adapt to new and emerging legislative change and reform developments across the breadth of Council services.
CR3	**School Reorganisation & Investment** **Appendix 3**	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 '21st Century Schools' agenda. Failure to effectively plan and provide sufficient school places to meet demand in relation to both English and Welsh Medium provision.
CR4	**Waste** **Appendix 4**	Failure to fund the national waste agenda and its associated targets.
CR5	**Workforce Needs** **Appendix 5**	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	**Information Security** **Appendix 6**	Failure to implement adequate information management controls and systems across the Council.
CR7	**Environmental Sustainability** **Appendix 7**	Failure to reduce our carbon footprint and mitigate against the impact/effects of climate change.
CR8	**Welfare Reform** **Appendix 8**	Roll out of Welfare Reform programme has a detrimental financial and social impact on residents.
CR9	**Public Buildings Compliance** **Appendix 9**	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	**Safeguarding** **Appendix 10**	Failure to meet our statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.
CR11	**Integrated Health & Social Care** **Appendix 11**	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	**Unauthorised Deprivation of Liberty Safeguards** **Appendix 12**	Failure to effectively safeguard adults who are at risk of deprivation of liberty.
CR13	**Welsh Community Care Information System (WCCIS)** **Appendix 13**	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	**Brexit** **Appendix 14**	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	**Additional Learning Needs (ALN)** **Appendix 15**	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	**COVD-19** **Appendix 16**	Two aspects of the COVID risk: 1) Response: Capacity to maintain service continuity of business-critical services. 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[11]	Forecast Direction of Travel[12]
				Likelihood	Impact	Total		
1	Reshaping Services	9 (M/H)	4 (M)	2	2	4 (M)	↔ static	↑ increasing
2	Legislative Change and Local Government Reform	12 (H)	2 (M/L)	2	3	6 (M)	↔ static	↔ static
3	School Reorganisation & Investment	12 (H)	4 (M)	2	2	4 (M)	↔ static	↔ static
4	Waste	12 (H)	2 (M/L)	4	2	8 (M/H)	↔ static	↓ decreasing
5	Workforce Needs	9 (M/H)	4 (M)	2	2	4 (M)	↔ static	↔ static
6	Information Security	12 (H)	2 (M/L)	2	3	6 (M)	↔ static	↓ decreasing
7	Environmental Sustainability	12 (H)	4 (M)	2	3	6 (M)	↔ static	↑ increasing
8	Welfare Reform	12 (H)	4 (M)	2	3	6 (M)	↑ increasing	↑ increasing
9	Public Buildings Compliance	9 (M/H)	4 (M)	2	2	4 (M)	↔ static	↔ static
10	Safeguarding	9 (M/H)	6 (M)	1	3	3 (M/L)	↔ static	↔ static
11	Integrated Health and Social Care	9 (M/H)	4 (M)	3	2	6 (M)	↔ static	↓ decreasing
12	Unauthorised Deprivation of Liberty Safeguards	12 (H)	2 (M/L)	4	2	8 (M/H)	↔ static	↔ static
13	Welsh Community Care Information System (WCCIS)	16 (VH)	2 (M/L)	2	3	6 (M)	↔ static	↔ static
14	Brexit	12 (H)	2 (M/L)	3	3	9 (M/H)	↔ static	↑ increasing
15	Additional Learning Needs	9 (M/H)	2 (M/L)	3	3	9 (M/H)	↔ static	↔ static
16	COVID-19	16 (VH)	2 (M/L)	2	4	8 (M/H)	↔ static	↑ increasing

[11] **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.

[12] **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 3 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.
- Welfare Reform risk has increased from a score of 4 to 6 on the heat map but has retained its medium status.
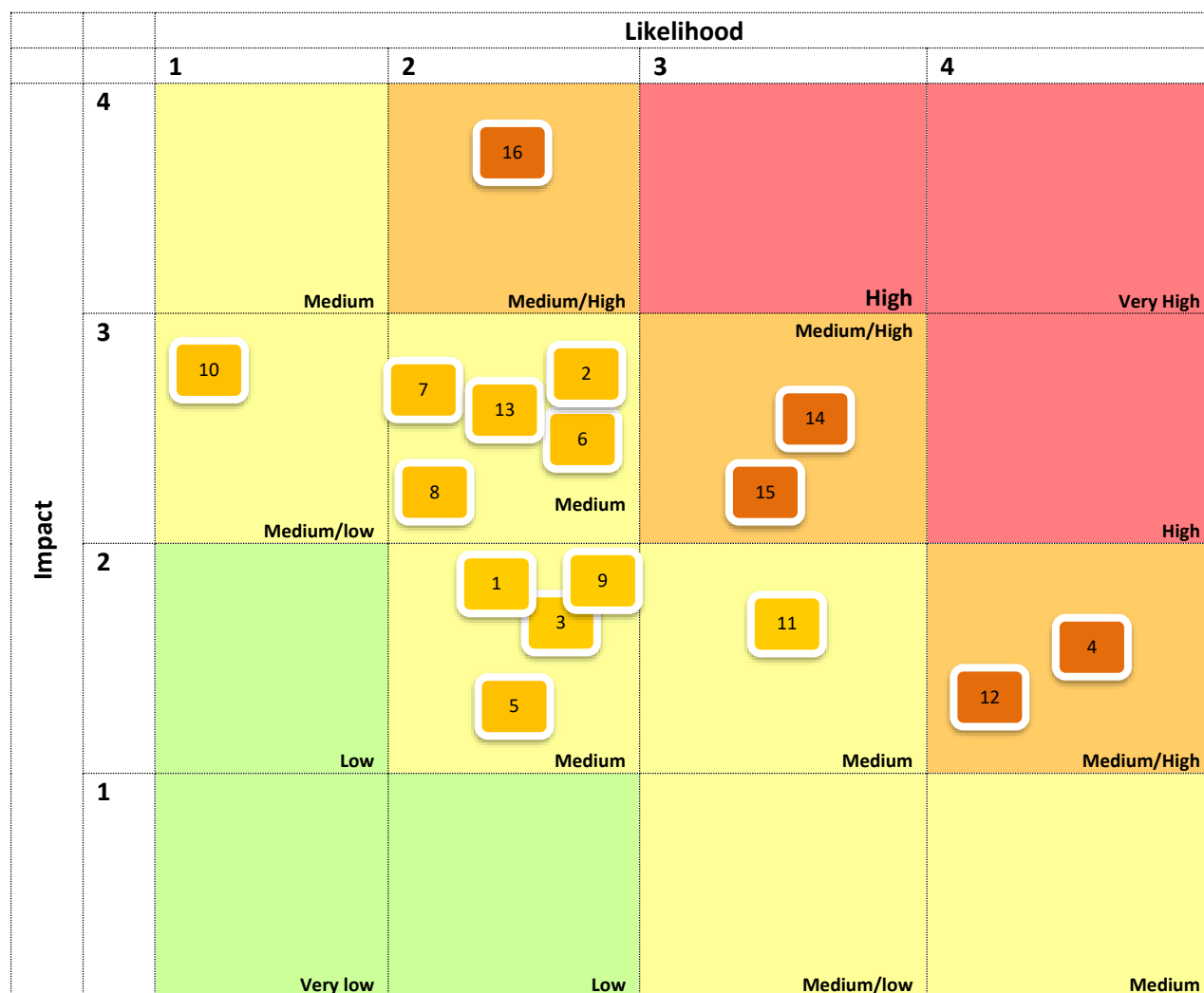
Risk Reference Glossary			
1	Reshaping Services	9	Public Buildings Compliance
2	Legislative Change and Local Government	10	Safeguarding
3	School Reorganisation & Investment	11	Integrated Health and Social Care
4	Waste	12	Unauthorised Deprivation of Liberty
5	Workforce Needs	13	WCCIS
6	Information Security	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, which reflects the impact Covid-19 has had on many risks and the disruption to service delivery .
- 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.
- CR8: the welfare reform risk has seen a shift in scoring from a 4 to a 6 in relation to resources and service delivery aspects of this risk reflecting the impact the pandemic has had on these areas.
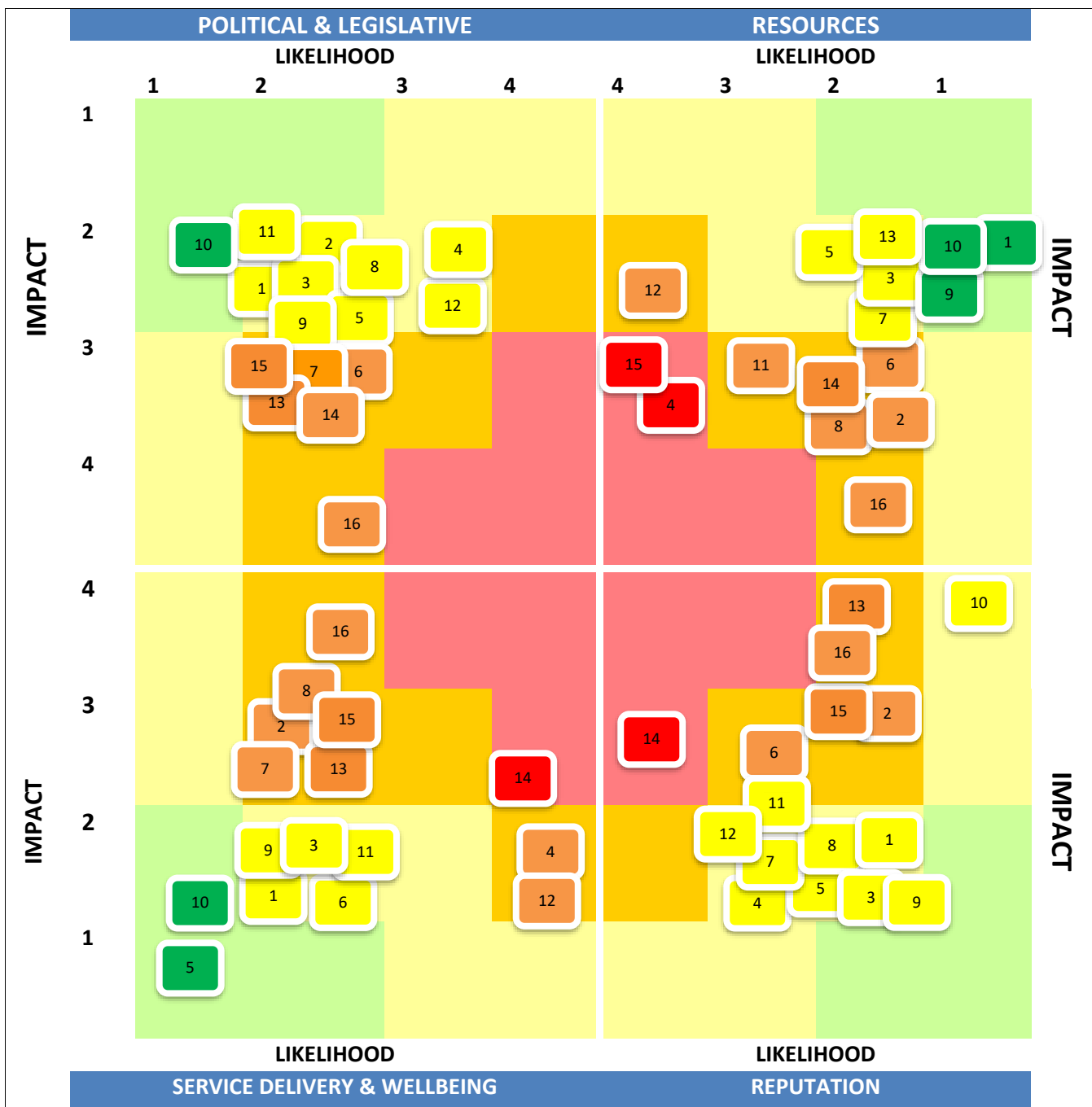
SECTION 5: RISK MANAGEMENT PLAN- RAG STATUS OVERVIEW

The table below provides an overview of progress against the Risk Management Plans for each Corporate Risk.
- 72% (99) of actions were allocated a Green status (either completed or on track for completion), 7% (9) were given an Amber status and 22% (30) were allocated a red status at quarter 3.
- 100% of risk actions contained in the Risk Management Plan for CR3: School Reorganisation & Investment, CR4: Waste, 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	58% (7)	17% (2)	25% (3)	12	12
CR2: Legislative Change & Local Government Reform	12.5% (1)	50% (4)	N/A	37.5% (3)	8	8
CR3: School Reorganisation & Investment	N/A	100% (6)	N/A	N/A	6	6
CR4: Waste	N/A	100% (4)	N/A	N/A	4	4
CR5: Workforce Needs	N/A	28% (5)	28% (5)	44% (8)	18	18
CR6: Information Security	N/A	60% (3)	N/A	40% (2)	5	5
CR7: Environmental Sustainability	9% (2)	67% (14)	5% (1)	19% (4)	21	21
CR8: Welfare Reform	20% (1)	60% (3)	N/A	20% (1)	5	5
CR9: Public Building Compliance	40% (2)	60% (3)	N/A	N/A	6	5
CR10:Safeguarding	9% (1)	73% (8)	N/A	18% (2)	11	11
CR11: Integrated Health & Social Care	N/A	67% (4)	N/A	33% (2)	6	6
CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs)	N/A	33% (1)	N/A	67% (2)	3	3
CR13: Welsh Community Care Information System (WCCIS)	N/A	50% (1)	N/A	50% (1)	2	2
CR14: Brexit	18% (2)	73% (8)	N/A	9% (1)	11	11
CR15: Additional Learning Needs (ALN)	N/A	88% (15)	6% (1)	6% (1)	17	17
CR16: COVID-19	25% (1)	75% (3)	N/A	N/A	4	4
Totals	7% (10)	64% (89)	7% (9)	22% (30)	139	138

SECTION 6: RISK ACTION EXCEPTIONS (RED STATUS)

Risk	Action Ref	Action Description	Commentary
CR1: Reshaping Services	RSR/FIT005	Lead on embedding the Council's approach to sustainable procurement by working with services to ensure a consistent approach to applying the WBFG Act to our procurement activities.	Work has 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.	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will be picked up during quarter 4.
	RSR/SRS001	Formulate the next three-year financial programme (2021-2024) with all three partner Councils.	The Covid 19 outbreak has placed some significant financial demands upon the SRS. External funding has been provided and a number of additional officers brought into the service to meet those demands. In December 2020, the SRS Joint Committee proposed a "standstill" budget for the service, determining that any future budget savings can only be made in a more stable public health environment. It is hoped that the financial programme will be reviewed when practicable during next year.
CR2: Legislative Change and Local Government Reform	IHSR/AS004	Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).	Unfortunately, we have not been able to progress this during Qtr3 as envisaged due to the ongoing Covid pressures and impact on the workforce which has been dispersed. Given the current pressures, it is unlikely that this will be progressed any further in the current financial year as we now know that Mass Immunisations, Testing and TTP continue to need ongoing support to meet the demands determined due to the ongoing pandemic response.
	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	Delayed by COVID. Consultation being undertaken by Welsh Government and report presented to Cabinet on proposals. Awaiting results of consultation and decisions from Welsh Government on implementation dates and further detail.

Risk	Action Ref	Action Description	Commentary
		in line with the requirements of the Local Government and Elections (Wales) Bill.	
	LCR/LD001	Undertake a Funding Assessment and allocation to deliver legislative changes.	This action will be addressed as the department makes the transition to recovery following the easing of COVID-19 Lockdown.
CR5: Workforce Needs	WFR/HR001 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. 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 3. As the Council transitions from its response to recovery phase, this work will commence later on in the year. The focus at present has been on supporting the workforce resilience as part of the Pandemic response.
	WFR/HR003 WFR/SL002	Create a new Employee Development Programme.	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. 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 3. As the Council transitions from its response to recovery phase, this work will commence in quarter 4 with the re-starting of the Attraction Strategy Working Group.
	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 3. As the Council transitions from its response to recovery phase, this work will commence later on in the year. It has been agreed that a light touch mid-year review for Chief Officer Appraisals would take place. A session was booked in January for the HR team to consider and review all people Performance processes within the council.
	WFR/HR009	Work with our schools, further education establishments, public sector agencies and local	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. Kickstart approval given and

Risk	Action Ref	Action Description	Commentary
		businesses to increase 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.	we will be commencing recruitment in the quarter 4. We will be working with DWP to identify 16 - 24s in the Vale who would be suitable for the roles.
	WFR/HR010 WFR/SL001 WFR/HS001	Expand the Council's Apprenticeship Scheme to provide a greater number and range of opportunities.	Due to the pandemic, progress on expanding the Council's Apprenticeship Scheme has been delayed. Although, some advertisements have been placed, we anticipate as the Council transitions from its response to recovery phase, further progress will be made later on in the year.
	WRF/HR012	Lead on the development of the Council's approach to supporting its employees to volunteer including the introduction of a volunteering policy.	Some volunteering options have been launched as part of the Wellbeing Activity, that has included activities such as Tree Planting.
	WFR/HS003	Undertake a restructure of Building Services.	No further restructuring is anticipated this year as a result of the Pandemic and a better-informed understanding of the recovery position and progress towards business as usual.
CR6: Information Security	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.	No action in Q3 due to pandemic
	ISR/SRS001	Undertake a review of information security against GDPR regulations.	This review has not been developed further during Q3 due to the demands placed on the service as a result of its integral role in enforcing Covid Regs and Test, Trace, Protect responsibilities and the need to prioritise these activities.
CR7: Environmental Sustainability	ESR/HR001	Review our corporate policies to invest in supporting infrastructure	No further progress made due to the pandemic.

Risk	Action Ref	Action Description	Commentary
		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.	
	ESR/NS003	Implement the main road LED lighting scheme with the use of SALIX finance.	Lanterns will be delivered by the end of January 2021. Awaiting approval for i-procs for the lighting columns and installation contractor. From receipt of order the column manufacturer can deliver within 5 weeks. The installation contractor is able to program and complete works within 12 weeks. It is anticipated that this work will be completed by the end of May 2021.
	ESR/NS008	Implement the Llanmaes Flood Risk Management Scheme.	Cooke and Arkwright were appointed in December 2020 to undertake detailed land negotiations with relevant landowners which is ongoing with the serving of formal notices planned for early 2021. AECOM have suppled full construction details in relation to the scheme in December 2020 and these are being reviewed internally prior to them issuing of the final detailed design work package in January 2021. Revised construction cost estimates have also been submitted and are also currently under review. Planning approval is required for the scheme and currently programmed to be submitted in Q4 following receipt of the final detailed design package from consultants. Subject to obtaining planning approval, resolving land take requirements as well as obtaining all other necessary consents and permissions it is anticipated that the construction phase for works will be now able to commence in Summer 2021. A report is due to be considered by Cabinet at its meeting on 25 January 2021 which provides a more detailed update on the project and obtain relevant delegations to assist prompt progress of the scheme.
	ESR/SL001	Work in partnership with colleagues in Neighbourhood Services and Transport and National Resources Wales	Work on this has slipped due to Covid. Trees have been delivered to schools for planting in the Spring. Work is also underway on the Biodiversity Strategy which will be launched in March 2021.

Risk	Action Ref	Action Description	Commentary
		to review and implement strategies to improve air quality around schools.	
CR10: Safeguarding	SR/SR001	Support the three Councils to meet the Audit Wales recommendations placed upon them in respect of safeguarding.	This review has not been developed further during Q3 due to the demands placed on the service as a result of its integral role in enforcing Covid Regs and Test, Trace, Protect responsibilities and the need to prioritise these activities.
	SR/SR002	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.	In light of the diversion of resources to respond to the Covid outbreak, the service has yet to fully return to 'business as usual' which has impacted on the delivery of many actions contained in the SRS Business Plan. During Qtr 3, as Covid-19 continued to proliferate in our communities the service has continued to be at the forefront of the enforcement of Coronavirus regulations in a range of sectors. Furthermore, we have seen the regulations change significantly at various intervals which has been challenging for the service. We continue to have a number of officers seconded to support Test, Trace and Protect including the management of risks in care homes and schools, and a significant number of officers directing their attention to dealing with clusters identified at business premises. Notwithstanding this some elements of the plan have been delivered, though it is likely that many will be rolled over to next year.
CR11: Integrated Health and Social Care	IHSR/AS004	Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).	We have not been able to progress this during Qtr3 as envisaged due to the ongoing Covid pressures and impact on the workforce which was dispersed. Given the current pressures, it is unlikely that this will be progressed any further in the current financial year as we now know that Mass Immunisations, Testing and TTP continue to need ongoing support to meet the demands determined due to the ongoing pandemic response.
	IHSR/RMS001	Implement an outcomes-based approach to commissioning contracting services across both a regional and localised footprint.	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will commence later on in the year.

Risk	Action Ref	Action Description	Commentary
CR13: WCCIS	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.	Full ICT survey completed across all homes which has identified the need for further upgrade. Funding is being explored.
CR14: Brexit	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, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will commence later on in the year. The focus at present has been on supporting the workforce resilience as part of the Pandemic response.
CR15: Additional Learning Needs (ALN)	ALNR/ALN004	Develop a regional approach to increase the ALN provision available to Welsh medium schools to ensure sufficiency of provision.	Work has progressed in quarter 3 on developing the regional document and producing training directory. Further work will be required in quarter 3, but due to COVID it is unlikely that all this work will be completed and will need to be continued into next year. The regional group has been re-established. Welsh reading tests and assessments are being developed for use in welsh medium schools. Regional training directory is being developed.

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

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)

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

1 – Risk Overview

1.1 Risk Description	**Failure to deliver the Reshaping Services Programme**

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.

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.

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.

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.

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.

1.2 Risk Owner	**Head of Policy and Business Transformation (TB)**

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**
Political & Legislative	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.
Resources	Yes	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. Fail to develop and mobilise sufficient skills and capacity to develop and deliver the Programme and manage new ways of working. Failure to maximise the use of our existing assets and technology to deliver services in a cost effective and efficient way. The pandemic disrupts the Reshaping Services programme delivery and the ability to secure in-year efficiencies and income. Loss of income and the inability to explore further income generation opportunities due to impact of the pandemic.
Service Delivery and Wellbeing	Yes	Fail to maximise opportunities to improve service delivery and mitigate the impact of budget reductions via alternative methods of service delivery. 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. The programme fails to communicate and engage effectively with service users and partners to identify and deliver the alternative ways of working. The risk that the pandemic significantly disrupts delivery of Reshaping projects. 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.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
Reputation	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**
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	3 (Probable)	3 (High)	**9 (Medium/High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**9 (Medium/High)**
Reputation	3 (Probable)	3 (High)	**9 (Medium/High)**
Overall Inherent Risk Score	**3 (Probable)**	**3 (High)**	**9 (Medium/High)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Challenge process in place to identify projects. • Mixed economy model approach to Reshaping approved. • Mix of service specific and corporate projects that lessen impact on front line services. • Risk management processes embedded in project management to identify and mitigate impacts on service users. • Programme documentation makes linkages with Well-being of Future Generations Act.	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Resources	• Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees. • Programme board and manager in place, with project team resources considered for each project. • Council's Financial Resilience considered good by WAO. • Business cases developed for projects and guidance in place. • The management development programme has concentrated on the introduction of the core competency and management competency frameworks. • Tranche 5 projects have been identified, with savings included in the revenue proposals for the budgets of 2020/21. • 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. • Website refreshed Office 365 - roll out across the organisation. • 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. • 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. • The income generation and commercial opportunities project team and project board continue to identify opportunities for income generation. • Delivery of Space project New fee structures and reporting processes are in place for income generating services.	3	2	6
Service Delivery & Well-being	• Business cases consider non-financial implications of any proposed changes. • Equality Impact Assessments embedded within the overall programme's management approach. • Communications and engagement activities inform project development.	2	2	4

2.2 Controlling Inherent Risk					
Category	**Current Controls**	**Effectiveness of controls**			
		Likelihood Score	**Impact score**	**Total Score**	
	• CAT guidance produced and implemented.				
Reputation	• Risk management contained within project documentation. • Regular updates to Cabinet and Programme Teams on status of the programme. • Consultation on the Council's budget annually includes questions relating to the approach being taken on Reshaping Services. • Programme Teams include representatives of partners (Voluntary Sector and Town & Community Councils) • Communications campaign to support the Strong Communities Grant Fund where there is a sound business case for the Council to transfer assets to others.	2	2	4	
Overall Effectiveness of Controls		**2**	**2**	**4**	

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	↔	↔
Average risk score/ direction of travel	3	3	**9**	2	2	**4**	2	2	**4** **(Medium)**	↔	↑

29

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 RSR/LD001 RSR/NS001 RSR/SL001	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. Continue to support delivery of the Tranche 5 related projects as part of the Council's Reshaping Service Agenda.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T Bowring DM ER T Baker	March 2021	**GREEN (On track)**
ACTION UPDATE:	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 report to Cabinet being prepared to request approval to commence procurement. An audit of the programme by Audit Wales was completed and has been reported to Cabinet and Committee (Corporate Performance) during the quarter. Work to develop the next iteration of Reshaping has commenced in line with the Recovery Strategy and Annual Delivery Plan. Legal Services continues to deliver on request for advice and support in respect of the Council's Reshaping Agenda. During the quarter no new instructions or requests for advice were received with some input required for BFCC. Legal Services will continue to deliver advice and support as requests are received and looking ahead will respond to the Council's development of its Reshaping Strategy as referenced it in the new Corporate Plan and Annual Delivery Plan. With a greater focus on digital programme, organisational and cultural change, and communication and engagement. Within Neighbourhood Services, Traffic Regulation Orders (TRO) have been completed for the car parks and is due to be implemented post-Covid.												

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/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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TC	March 2021	**GREEN (On track)**
ACTION UPDATE:	During Q3 Connecting Wales was formally launched at a virtual event with Julie James Welsh government Minister for Housing and Local Government. An associated marketing plan has been implemented which included creation of a website and an email campaign. The new WLGA Chief Digital Officer, Sam Hall agreed to become a member of the national steering group ensuring that Connecting Wales continues to be aligned with the developing digital agenda for Wales and can maximise its contribution. Work is ongoing to deliver the SRS proof of concept and to ensure that the product meets the requirements of Rhondda Cynon Taff CBC. Progress on these two projects are expected in Q4.												
RSR/PB003	Review the Council's Customer Contact Strategy to maximise the use of digital technology.	☑	☑	☑	☑	☑		☑	☑	☑	TC	March 2021	**GREEN (On track)**
ACTION UPDATE:	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 on-line self-service by												

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			
	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.												
RSR/AS002	Explore alternative care and support models to enable us to effectively support our citizens in their communities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	Comprehensive and dynamic Risk Assessments are in place so that those people most in need have been able to return to a revised and Covid safe Learning Disability day provision at Trysor O Le. The feedback prior to Christmas from family members was extremely positive. This critical service, alongside outreach where appropriate, will continue.												
RSR/FIT001 RSR/AS001 RSR/RMS001 RSR/HS001 RSR/RP001 RSR/RP002 RSR/LD002 RSR/SL002 RSR/SL003 RSR/SL004 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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CL SC AP MI MG DM T Baker	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			

ACTION UPDATE:	The Office 365 has been effectively rollout across Financial Services and Property, with any new requests for O365 being processed as business as usual. Teams is now being used for all Council / Committee meetings. The Microsoft Exchange upgrade is nearly complete. This will allow for split-tunnelling of all email traffic to further improve the performance of the Council's computer network and also enable additional email security functionality. The upgrade will be completed in early quarter 4. This action will be ongoing into 2021/22 and beyond to measure performance against the new Digital Strategy. Within Adult Services our digital focus continues to be on supporting the installation of our Telecare products. A review is underway, and we anticipate preparing a report for Cabinet at the end of the current financial year. The Rapid Response bid was unsuccessful in the winter monies application so has not been able to be pursued at this time. Due to the pressures of Covid, the anticipated meeting with the provider for SeeMe has not been able to happen, however, the Learning Disability Day Service prepared a report for the National Social Services Conference regarding how this was being used and valued by service users and stakeholders. We continue to work in partnership with Innovate Trust, and their ability to provide online activities through their app has been of great benefit to service users during our period of various closures. The partnership was also submitted for an award in the Regional Safeguarding Board awards. In relation to developing a Digital Transformation Strategy for Housing and Building Services, the Tender has bee advertised on Sell2 Wales and the advert for expressions of interest have now closed for the development of a new Integrated Housing System on the 10th December. Arrangements have been made for the Project Team to attend system demonstrations in January 2021. Regeneration and Planning have continued to explore the potential of using Evolutive (Content Management System) to facilitate regional working in relation to local business support and economic development. The pandemic has highlighted the potential of Evolutive and following discussions with

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			
	existing users such as Bridgend Council, we will continue to identify further uses of Evolutive within Regeneration & Planning with a view to improving efficiencies and developing contacts with local businesses.

The Peripatetic Library Staff have continued to work with Community Library Volunteers during the pandemic, one member of staff has done so consistently and the other worked for a time with the track and trace service so was not as available. As with main libraries many of the community library volunteers have built up skills in using social media to provide online content and a service to users. A Welsh language group and book group have switched to virtual meetings via Zoom for instance. At Dinas Powys the peripatetically library staff member assisted in the setup of an online Art Club and it now has over 60 members who set themselves and post artwork online. This is an innovative way to keep the community together and share creativity. Wenvoe Library produced a daily advent calendar online and along with story times this gave them an opportunity to hone their filming and presenting techniques. Rhoose library have set themselves up as a charity which amazon users can support when making purchases, so everyone is doing their best to make use of available online options.

With regards to developing One's Business Intelligence modules, a back log of report requests has been reduced significantly. There are two very large report writing projects for Attendance and Exclusions still outstanding, these have been allocated to the MIS Development Officer, who is currently working closely with the Teams to complete the requests.
Reports have been written for the Youth Service to complete Welsh Government returns. The "Provider Portal" Project has been initiated. The ALN Teams have been included and a plan of action for 2021 has been made. There's a lot of database development and report writing to be done, and all before September 2021, when the ALN Act comes into action. The MIS Manager has written a business plan for the ACT Module. This will allow the LA to collect attendance and report on clients not in a Local Authority School. Additional Attendance codes have been added to Attendance reports, enabling weekly data collection for welsh Government and DMT during COVID19.Data cleansing reports continue to find Elective Home Educated students that have been missed in school processing. | | | | | | | | | | | | |

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			
	Within Strategy, Community Learning and Resources, we have continued to work in partnership with ICT services and schools to deliver infrastructure improvements within schools inline with the Welsh Government's Education Digital Agenda as follows: 1. Waves 1 -2 (network infrastructure) - 18 schools have now been recalled with Cat6 network cable, these schools have also had new switching and wireless devices installed. 2. Wave 3 (Servers) - Servers have been delivered to applicable Secondary schools with the exception of Whitmore High School. It is anticipated that all primary school servers will be deployed by the end of March 2021. 3. Wave 4 (Devices) - 1,609 Devices have been delivered to schools, it is anticipated that we would have deployed 3,567 devices by the end of January 2021, leaving 425 outstanding, with this in mind we are on track for 100% roll-out by the end of March 2021.4. Wave 5 (Teaching & Learning Tools) - No further developments from WG regarding Wave 5. On track for waves 1 - 3 with infrastructure works progressing well in schools and planned to be completed by the end of quarter 4 as per Welsh Government's expectations. End user devices have continued to be delivered when available from the suppliers and continue to be configured and delivered to schools with circa of 1,500 devices have been delivered to date.												
RSR/FIT002 RSR/RMS002 RSR/LD003 RSR/NS002 RSR/NS003 RSR/RP003 RSR/SL005 RSR/SL006	Maximise opportunities to support income generation and commercial opportunities.	☑	☑	☑	☑	☑		☑	☑	☑	CL AP DM ER ER MG T Baker T Baker	March 2021	**AMBER (Minor slippage)**

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			
ACTION PLAN:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, much of our intended work on income generation and commercial opportunities has not been progressed during quarter 3 across some areas as much as hoped. As the Council transitions from its response to recovery phase, further work will progress later on in the year. Some progress has been made in relation to income generation in Neighbourhood Services. Correspondence has been received via previous consultants in relation to sponsorship and Legal and Finance have provided a response. Penarth Roundabout R5 has been completed and the sponsorship has been installed as a gesture of good will. A Legal agreement is in the process of being provided in relation to R5. Regular meetings have been arranged with internal departments, these meetings will outline future sponsorship and make contact with companies that have made enquiries regarding sponsorship. In relation to Car Parking, a Guiding Principles and Charges policy was agreed by Cabinet at its meeting on 23rd March 2020 and the Traffic Regulation Orders required to introduce parking charges has been progressed with an objection report was due to be considered by Cabinet in October 2020. Subject to the the 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. In relation to Regeneration and Planning, work continues on reshaping services in light of reducing budgets and the need to deliver quality services to customers. The focus will remain on raising additional income through services such as advertising and consultancy work. However, it is important to note that this work is largely on hold due to the current lockdown restriction and the need to focus on grant delivery and business support during the pandemic.												
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.	☑	☑	☑	☑		☑	☑	☑		CL	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			
ACTION UPDATE:	The budget consultation process did start during this quarter with the closing date in January 2021.												
RSR/FIT004 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. 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.	☑	☑	☑	☑			☑	☑	☑	CL MG	March 2021	**AMBER (Minor Slippage)**
ACTION UPDATE:	South Lodge Contractual negotiations are complete, and awaiting completion of the planning process for the lease to be completed. The next phase of office accommodation review is ongoing with work on pilots being progressed in each of the main office buildings. Western Vale Integrated Children's Centre (WICIC) lease negotiations are complete and set for completion in early in 2021. Other CAT applications are also 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	☑	☑	☑	☑	☑		☑	☑		CL	March 2021	**RED (Slipped)**

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			
	approach to applying the WBFG Act to our procurement activities.												
ACTION UPDATE:	Work has 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. *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.*	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2021	**RED (Slipped)**
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will be picked up during quarter 4.												
RSR/SRS001	Formulate the next three-year financial programme (2021-2024) with all three partner Councils.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DH	March 2021	**RED (Slipped)**
ACTION UPDATE:	The Covid 19 outbreak has placed some significant financial demands upon the SRS. External funding has been provided and a number of additional officers brought into the service to meet those demands. In December 2020, the SRS Joint Committee proposed a "standstill" budget for the service,												

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			
	determining that any future budget savings can only be made in a more stable public health environment. It is hoped that the financial programme will be reviewed when practicable during next year.												
RSR/SRS002	Build on initiatives such as the Noise app, to ensure that future funding reductions can be mitigated by innovation and transformation in service delivery and that environmental health services are able to benefit from new technologies.	☑	☑	☑	☑				☑	☑	DH	March 2021	**GREEN (On Track)**
ACTION UPDATE:	A specification for the procurement of more portable devices to facilitate mobile working has been prepared and submitted to ICT with a view to them sourcing and costing a suitable device. There has however been delays in ICT responding due to other demands placed on them. Once this has been obtained, a report will be prepared for consideration by SMT.												

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

	• Local government finance including non-domestic rating and council tax
	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.

1.2 Risk Owner	**Senior Leadership Team**

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**
Political & Legislative	Yes	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. Failure to respond appropriately to the changes required by the Local Government & Elections Bill regarding public participation, performance management and leadership of Councils. Failure to use the General Power of Competency introduced by the Local Government & Elections Bill appropriately and/or to make use of opportunities arising from this provision. The pandemic brings with it an increased risk of challenge and the potential for litigation.
Resources	Yes	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. The financial management of responding to and resourcing across a breadth of services and developing adequate arrangements for managing these aspects will be key.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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. 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. 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.
Service Delivery and Wellbeing	Yes	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. 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. 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.
Reputation	Yes	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. Loss of confidence and trust by the public as a consequence of a failing to meet our constitutional and legislative obligations and

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
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**9 (Medium/High)**
Reputation	4 (Almost certain)	3 (High)	**12 (High)**
Overall Inherent Risk Score	**4 (Almost certain)**	**3 (High)**	**12 (High)**

2.2 Controlling Inherent Risk				
Category	• Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments relating to legislative change. • Attendance at WLGA Heads of Policy Network meetings. • Work stream groups for the implementation of the Social Services Wellbeing Act are fully operational.	2	2	4
Resources	• Training programme to support staff to meet the requirements of the Social Services Well-being (Wales) Act has been embedded. • Continue to support the ongoing development of the DEWIS information portal.	2	1	2

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Budget setting process includes considerations of cost pressures arising from legislative change. • 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. • 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. • 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. • Regional Commissioning Board continues to meet on a monthly basis to discuss fee setting and to identify areas of joint working in social care. • 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. • 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. • A new Performance Management Framework has been developed to reflect the new performance monitoring requirements of the Corporate Plan along with a new performance reporting format. • Contributing to the development of national guidance to accompany the changes required by the Bill to the performance framework for local authorities.			

2.2 Controlling Inherent Risk				
Category	**• Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Service Delivery & Well-being	• Implementation of the Social Services Wellbeing (Wales) Act Action Plan. • Continue to pursue collaborative opportunities with partners in neighbouring organisations. • 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 four new Well-being Objectives and how it will contribute to delivery of the Well-being Goals. • 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. • Implemented new assessment processes to ensure compliance with the requirements of the Social Services Wellbeing Act. • 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. • 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. • We have successfully implemented transition services underpinned by a Transition Protocol, which supports best practice across agencies. • The Social Value Forum is in place and being supported through the Integrated Health and Social Care	2	1	2

2.2 Controlling Inherent Risk				
Category	• Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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. • The Council's Duty to Report Safeguarding Concerns procedure is fully embedded to provide employees with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V. • We have commissioned a Direct Family Support service to provide contact and support for children with additional needs and their families. • 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. • 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. • 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. • In line with the SSWA, Children and Young People Services have maximised their use of digital platforms to enhance their reach and			

2.2 Controlling Inherent Risk				
Category	**• Current Controls**	**Effectiveness of controls**		
	47	**Likelihood Score**	**Impact score**	**Total Score**
	engagement with and for children and young people and their families. • Established a monthly Psychology Panel implemented to oversee and monitor the work of the Psychology Service			
Reputation	• 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 the Wellbeing of Future Generations Act.	2	1	2
Overall Effectiveness of Controls Score		**2**	**1**	**2**

2.3 Residual Risk Scoring & Direction of Travel Does not include the LG&E Bill and does include the ALN]											
	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	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	↔	↔
Average risk score/ direction of travel	4	3	**12**	2	1	**2**	2	3	**6 (Medium)**	↔	↔

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.	☑	☑	☑	☑	☑				☑	TB	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	A new Performance Framework has been developed to reflect the new performance monitoring requirements of the Corporate Plan. The framework was designed to be able to extract data and action updates across a breadth of service areas that can then be fed into multiple cross-cutting aspects of the Corporate Plan. To complement this a new performance reporting template was developed in consultation with the Chairs and Vice Group to enable more holistic reporting of performance against the Council's Annual Delivery Plan in a singular report. The cross-cutting and holistic nature of the report will enable us to better demonstrate how multiple aspects of what we are doing are contributing to the achievement of our Well-being Objectives as outlined in our Corporate Plan and towards the Welsh Government's Well-being Goals. The new reporting format was launched in September and has now been further embedded during quarter 3. The singular report is now supported by a presentation that provides a bespoke performance update to each Committee's remit to enable exploration/scrutiny of emerging performance issues. In relation to risk management, a Risk Management Framework has also been developed that mirrors the new Performance Management Framework to enable the effective monitoring and tracking of risk action updates. This framework has been developed, so that risk actions can be effectively aligned to Annual Delivery Plan activities. It is intended that the Risk Management Strategy will be reviewed later on this year to reflect the new Corporate Plan and any requirements arising from the Local Government and Elections (Wales) Bill.												

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/AS004 Linked to Integrated Health)	Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**RED (Slipped)**
ACTION UPDATE:	Unfortunately, we have not been able to progress this during Qtr3 as envisaged due to the ongoing Covid pressures and impact on the workforce which has been dispersed. Given the current pressures, it is unlikely that this will be progressed any further in the current financial year as we now know that Mass Immunisations, Testing and TTP continue to need ongoing support to meet the demands determined due to the ongoing pandemic response.												
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)	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2021	**GREEN (On track)**
ACTION UPDATE:	Scoping and model development complete. Some aspects of implementation (i.e. training) delayed due to COVID-19. Approach, model and implementation plan drafted. Implementation plan to be continued in Q4												
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)	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2021	**GREEN (Completed)** Action completed and will be reflected

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			
													as a control in the Register
ACTION UPDATE:	Completed, monthly psychology panel implemented to oversee and monitor the work of the Psychology Service												
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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CL	March 2020	**RED (Slipped)**
ACTION UPDATE:	Delayed by COVID. Consultation being undertaken by Welsh Government and report presented to Cabinet on proposals. Awaiting results of consultation and decisions from Welsh Government on implementation dates and further detail.												
LCR/LD001	Undertake a Funding Assessment and allocation to deliver legislative changes.	☑	☑		☑				☑	☑	DM	March 2021	**Red (Slipped)**
ACTION UPDATE:	This action will be addressed as the department makes the transition to recovery following the easing of COVID-19 Lockdown.												
LCR/LD002	Review the work flowing from Local Government and Elections (Wales) Bill to enable electoral reform and ensure a robust governance framework.	☑	☑	☑	☑				☑	☑	DM	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			
ACTION UPDATE:	The Bill was passed on the 18th November and during Post-stage 4 it has been confirmed that the Bill is not being referred on to the Supreme Court. The Bill will receive Royal Assent imminently. Reports were taken to Cabinet on the 21 with an update on progress.												
LCR/RP001	Minimise impact of Local Government Bill and Planning Law Consolidation Bill on service delivery.	☑	☑	☑	☑	☑		☑	☑	☑	MG	March 2021	**Green (On Track)**
ACTION UPDATE:	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	This risk encompasses funding key priorities set out in the 21st 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 21st 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.
	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.
	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 21st century schools funding in the future.
	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 21st 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.

1.2 Risk Owner	**Head of Strategy, Community Learning and Resources (TB)**

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**
Political & Legislative	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**
		a breach of our duties under the Health and Safety Act Disability Discrimination Act.
		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.
Resources	Yes	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 21st Century Schools Programme. There is the concern that COVID-19 could further compounds 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. 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. The Councils 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. Failing to reduce surplus places through investment impacts on effective resource management in schools. Insufficient funds to carry out prioritised asset renewal schemes impacts on health and safety. A requirement of 21st 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.
Service Delivery and Wellbeing	Yes	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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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. Failure to meet demand for Welsh medium education. Impact of a poor learning environment on a pupil's learning experience if we fail to meet the 21st Century Schools standard. COVID-19 has the potential to impact/delay our ability to deliver some aspects of the 21st 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.
Reputation	Yes	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.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	**Likelihood**	**Impact**	**Total Inherent Risk Score**
Political & Legislative	3 (Probable)	4 (Catastrophic)	**12 (High)**
Resources	3 (Probable)	4 (Catastrophic)	**12 (High)**
Service Delivery & Well-being	3 (Probable)	4(Catastrophic)	**12 (High)**
Reputation	3 (Probable)	4 (Catastrophic)	**12 (High)**
Overall Inherent Risk Score	**3 (Probable)**	**4(Catastrophic)**	**12 (High)**

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Awareness raising session held with members, Insight board and CMT on the issues associated with the 21st Century Schools Programme with the need to release funding through the rationalisation of places and the need to generate capital receipts. • 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 . • 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).	2	2	4
Resources	• Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme. • Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects. • We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements. • 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. • The new staffing structures and their implementation for both new schools have now been completed and all	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	arrangements are firmly on track for a successful opening in Quarter 2. • Data relating to new housing developments is now available and being used to modelling options for school place planning. • A preferred alternative site for Pupil Referral Unit (PRU) has been identified subject to consultation. • Welsh Government approved the Vale WESP Action Tracker • Gained final approval for Barry Secondary Learning business cases (FBCs) and construction has commenced. • Being bilingual web page available on website with information on Welsh medium education and access to the Welsh Medium Education Survey for completion. • 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 4th November 2019. Proposals for Penarth are subject to planning permission being granted for the Cosmeston development.			
Service Delivery & Well-being	• Actively participate in the Council's Carbon Management Group. • Work closely with the Planning Officers to identify potential educational demand as a result of new housing developments in order to maximise S106 funding. • Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school). • Colcot Primary School Barry – Refurbishment (fully funded by Local Authority) • Romilly Primary School, Barry – new foundation phase block. (Band A) • New 60 place part-time Fairfield Nursery opened.	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now open and operating successfully. • 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. • New admission arrangements for 2020/21 has now been concluded and approved by Cabinet and proposals for 2021/22 are currently being formulated. • Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report.			
Reputation	• Survey demand for school places in line with the Council's Welsh Education Strategic Plan. • Periodic review rolling 25 year plan for schools asset renewal. • Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity. • Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes.	2	2	4
Overall Effectiveness of Controls		**2**	**2**	**4**

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	↔	↔
Average risk score/ direction of travel	3	4	**12**	2	2	**4**	2	2	**4 (Medium)**	↔	↔

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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	**GREEN (On track)**
ACTION UPDATE:	Consultation ended on 18th October. The proposal was shared with scrutiny committee on 15th October. Cabinet considered the consultation report on 16th November and determined progress the proposal through the publication of a statutory notice which was subsequently published on 25 November 2020. The Council received 1 objection which will be considered by Cabinet in Q4.												
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.	☑	☑	☑	☑		☑	☑	☑	☑	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			
ACTION UPDATE:	The draft strategy consultation document was approved by CMT in September and the consultation is currently underway. The results and agreed action plan will be reported in quarter 4.												
SRR/SL002	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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	**GREEN (On track)**
ACTION UPDATE:	The Accessibility strategy is out for consultation as is the admissions consultation for admission in 2022/23. This consultation presents options for changes to catchment areas to alleviate pupil demand for places in Barry in particular.												
SRR/SL003	Lead on progressing all approved school investment projects identified for Band B of the 21st 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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	**GREEN (On track)**
ACTION UPDATE:	Programme continues to progress well. Whitmore, Pencoedtre, Ysgol Gymraeg Bro Morgannwg and St David's schemes are onsite and progressing in line with agreed programme with contractor. Following issues with the S106 land transfer, this has now taken place and contractors are onsite undertaking site remediation works. St Nicholas scheme has been delayed to overcome highways concerns but the final design is scheduled to be considered by the planning												

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			
	committee in January 21. Education consultations are progressing for Centre for Learning and Wellbeing, Ysgol Y Deri expansion and Cowbridge Primary schemes and procurement is underway.												
SRR/SL004	Lead on implementing the Vale of Glamorgan Welsh in Education Strategic Plan (WESP), focusing on the six key priority areas.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	**GREEN (On track)**
ACTION UPDATE:	An update for 2020 was drafted and submitted to Welsh Government by the statutory deadline of 20 December 2020. The update highlights the work in 2020 which focused on the six key priority areas of the Vale of Glamorgan's Welsh in Education Strategic Plan (WESP). Welsh Government is due to launch guidance early in 2021 to support the introduction of a new 10 year Welsh in Education Strategic Plan (WESP). Welsh Government expect draft plans to be submitted for approval by January 2022 and subject to approval will go live from September 2022												
SRR/SL005 (Links to Envtal Sustainability)	Progress the feasibility and design of a low carbon building as part of the 21st Century Schools Programme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	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			
ACTION UPDATE:	Construction of Llancarfan Primary School, the first net zero carbon primary school in Wales, started in November 2020. A virtual turf cutting ceremony marked the event which included a video made by the Minister for Education. The Council has been granted an additional WG grant of £1,050,000 to support decarbonisation which has offset spend undertaken to date. Additional funding has now been allocated to deliver Cowbridge Primary scheme as net-zero carbon. The Council is continuing to explore opportunities to further deliver decarbonisation and is continuing work on the net zero in use design.												

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1 – Risk Overview	
1.1 Risk Description	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.

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.

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.

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 progressed in Barry (October 2020) and is planned for Penarth in 2021/22. .

The planned roll out to Barry was delayed by 4 months ,due to COVID-19. Penarth will be rolled out during 2021/ 2022 as it is dependent on the construction of the permanent Waste Transfer Station at the Atlantic Trading Estate which was submitted for planning permission in quarter 3. |
| **1.2 Risk Owner** | **Head of Neighbourhood Services and Transport (ER)** |

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
Political & Legislative	Yes	Failure of contract agreements associated with our waste collaborations. Failure to comply with statutory waste targets and the associated Welsh Government guidance.
Resources	Yes	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. Inability to effectively monitor and manage our contract agreements resulting in poor contractual compliance and performance. This risk is pertinent in light of COVID. Council incurs fines as a result of failing to meet statutory waste reduction targets. National Welsh Government grants are withdrawn as a result of failing to meet statutory waste reduction targets. 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.
Service Delivery and Wellbeing	Yes	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: i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales); ii. pollution of the local environment (e.g. contamination of groundwater; soil contamination). 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. Poor engagement with the hard to reach section of our community resulting in lower recycling and composting take up rates. Poor communication following any change in collection methodology resulting in poor take up of recycling and composting services.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Increasing waste budget pressures as a result of new developments and an inability to deliver savings in waste management services. 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 and the need to obtain planning permission for the transfer station in Barry.
Reputation	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**
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	4 (Almost Certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	4 (Almost Certain)	3 (High)	**12 (High)**
Reputation	3 (Probable)	3 (High)	**9 (Medium/High)**
Overall Inherent Risk Score	**4 (Almost Certain)**	**3 (High)**	**12 (High)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running • 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 14th October 2019 for the Rural Vale with	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	roll out to Barry in October 2020. Penarth is planned for 2021/22.			
Resources	• Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. • The 25-year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place. • Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council. • Household Waste Recycling contract operated by the company FCC. • A revised Waste Strategy will be presented to Cabinet during 2021 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. • • Since October 2019, the environmental enforcement service has been brought back in house under a new enforcement team. From 1st April 2020 a new dual enforcement team was established. • • Annually bid for Welsh Government Environment and other Grants to deliver improvements to the waste management infrastructure.	1	1	1
Service Delivery & Well-being	• Increased waste awareness initiativesand participate with Keep Wales Tidy events. . • Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. • Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery. • Revised enforcement policy to reduce litter, fly tipping and dog fouling	1	2	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	offences has been introduced. A further report to be considered by Council relating to dog controls and also Cabinet will be considering a revised enforcement policy.Both these actions are for quarter 4. • 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. • The interim Waste Transfer Station (WTS) at Cowbridge is operational.			
Reputation	• 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. • 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.	1	2	2
Overall Effectiveness of Controls		**1**	**2**	**2**

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	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	↔	⬇
Average risk score/ direction of travel	4	3	**12**	1	2	**2**	4	2	**8(Medium /High)**	↔	⬇

69

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 001	Implement the waste blueprint (source segregated recycling) to Barry and Penarth areas.	☑	☑	☑	☑	☑	☑	☑	☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	The blueprint roll out across Barry was completed in October. Plans are in place for Penarth but this will not occur until 2021/22, as this area is dependant on the proposed permanent Waste Transfer Station being operational. This is anticipated to be at least 10-months from being complete. In quarter 3 a planning application was submitted for the Waste Transfer Station and a decision is expected in Quarter 4.												
WMR/NS 002	Work towards the National Domestic Waste Recycling Target for 2024 / 2025.	☑	☑	☑	☑			☑	☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	The service is on track to achieving the 2024/25 target exceeding the existing statutory target of 64%.												
WMR/NS 003	Commence the construction of a Waste Transfer Station for Barry.	☑	☑	☑	☑	☑	☑		☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	Planning proposals are submitted, the drainage works complete and subject to planning approval late February/early March we are on target to commence construction this financial year albeit later than originally anticipated. This will enable the roll out of the Blueprint in Penarth.												

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.		☑	☑	☑				☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	The service has received £1.1m in new grants and has commenced with procuring the 3 projects of constructing a reuse shop, new sorting equipment for the new proposed waste transfer station and for providing new receptacles for flats and apartments.												

1 – Risk Overview	
1.1 Risk Description	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. 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. 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.

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**
Political & Legislative	Yes	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.

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. |
| *Resources* | Yes | 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.

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.

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.

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.

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.

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.

Potential failure to effectively engage and mobilise our resources to deliver our workforce priorities and have the appropriate skills in |

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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. 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.
Service Delivery and Wellbeing	Yes	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. 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. 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. 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. 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

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.
Reputation	Yes	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. Failure to put in place succession pathways in place to address our ageing workforce in specific service areas. 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.

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• CMT/Cabinet, Joint Consultative Forum and Change Management Board receives regular reports on a range of HR issues and developments. • Robust performance management arrangements in place across all service areas.	2	2	4
Resources	• Managers are supported through the management of change through training and ongoing advice from HR Officers and supported by Organisational Development. • 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. • 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 • 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. • 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. • 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	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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. • Employee Core Competency has been launched to help identify and address skill gaps across the Council. • 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. • 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. • Chief Officer briefing sessions and management development sessions are now embedded • Apprenticeship pathway is in place to enable direct recruitment of apprentices and enables us to better support succession planning. • 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.			
Service Delivery & Well-being	• Workforce planning processes delivered with a focus on alternative service delivery and workforce implications. • The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data. • We continue to move towards a HR Self-Service model. • Organisational Development support provided to the Reshaping Services	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	Programme continues to influence how we deliver alternative models of service delivery. • #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. • The Council is a Stonewall Champion committed to ensuring we have an inclusive workplace for all lesbian, gay, bi and trans-sexual staff. We have developed an action plan to further evidence that we have an inclusive workplace. 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. • 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. • 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. • We have procured an E Bulk solution to provide a significant reduction administration and the time in accessing Disclosure and Barring Services (DBS)			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	certificates. The E Bulk system service is now operational. • 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. • Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process is under development. • 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. • Launched and 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			
Reputation	• All recruitment adverts promote the Council as an equal opportunities employer. • 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. • 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. • Developed good relationships with local education establishments (Cardiff University & Cardiff and Vale College) as well as independent Apprenticeship providers. • Continue to develop strong working relationships with all our recognised trade union partners, including Unison, NAHT, NASUWT, NEU. • We are reviewing our gender pay gap to identify where progress is needed and	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%			
Overall Effectiveness of Controls		**2**	**2**	**4**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**

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	↔	↔
Average risk score/ direction of travel	3	3	**9**	2	2	**4**	2	2	**4 (Medium)**	↔	↔

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 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. Deliver workforce planning with a focus on alternative service delivery and workforce implications.	☑	☑	☑	☑	☑		☑	☑	☑	TD DM	March 2021	**Red (Slipped)**
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will commence later on in the year. The focus at present has been on supporting the workforce resilience as part of the Pandemic response.												
WFR/HR002	Develop a new HR strategy with a particular focus on supporting and improving staff well-being.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2021	**AMBER (Minor slippage)**
ACTION UPDATE:	A number of wellbeing activities had taken place during Q3 that staff accessed remotely, such as yoga sessions. Further work will continue during Q4 to consult with staff on their wellbeing, via a staff survey.												
WFR/HR003 WFR/SL002	Create a new Employee Development Programme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD T Bowring	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			
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. 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.	☑		☑	☑	☑		☑		☑	TD	March 2021	**RED (Slipped)**
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will commence in quarter 4 with the re-starting of the Attraction Strategy Working Group.												
WFR/HR006 WFR/FIT001 WFR/HS002 WFR/LD002 WFR/NS001 WFR/RP001 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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD CL MI DM ER MG DH	March 2021	**AMBER (Minor slippage)**
ACTION UPDATE:	Previously, the Succession Planning template was developed and made available to a small number of service areas to update for their areas. Since the last quarter, Human Resources Business Partners have been upskilled on how to complete the template. GW will attend SLT/HoS meeting in January to												

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			
	communicate the plan to commence rollout of the template in February and March. Human Resources Business Partners will then meet with all HofS and Director in Feb/Mar to complete the template with analysis of that data commencing in April. 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 report has been completed. Training has been identified and approved in line with Its About Me appraisals. However, Covid continues to delay Corporate Succession planning progress. Within Neighbourhood Services, several posts have been advertised via the Kickstart Scheme to enable 16 - 24-year olds to gain experience and knowledge and relevant training within the Neighbourhood Services. Both Regeneration and Planning are developing strategies to support both succession planning and resilience through minor restructures in both teams. These are due to be developed in the last quarter of 2021 for actioning in 2021/22.													
WFR/HR007 WFR/ALN001	Lead on the development and delivery of a Well-being Strategy for the Council.	☑	☑	☑	☑	☑		☑	☑	☑	TD DD	March 2021	**AMBER (Minor slippage)**
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will commence later on in the year. In relation to ALN, a comprehensive professional learning offer for ALNCOs is being developed regionally. All central staff have been able to access online training and new offers made available virtually. The cluster model for ALNCos has been successful in planning and structuring effective and supportive virtual ALN training half termly.													

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/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.	☑	☑	☑	☑			☑	☑	☑	TD	March 2021	**RED (Slipped)**
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will commence later on in the year. It has been agreed that a light touch mid-year review for Chief Officer Appraisals would take place. A session was booked in January for the HR team to consider and review all people Performance processes within the council.												
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, apprenticeships and other training opportunities in line with the Council's strategy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD	March 2021	**RED (Slipped)**
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. Kickstart approval given and we will be commencing recruitment in the quarter 4. We will be working with DWP to identify 16 - 24s in the Vale who would be suitable for the roles.												

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/HR010 WFR/SL001 WFR/HS001	Expand the Council's Apprenticeship Scheme to provide a greater number and range of opportunities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD TB MI	March 2021	**Red (Slipped)**
ACTION UPDATE:	Due to the pandemic, progress on expanding the Council's Apprenticeship Scheme has been delayed. Although, some advertisements have been placed, we anticipate as the Council transitions from its response to recovery phase, further progress will be made later on in the year.												
WFR/PB001 WFR/HR011	Develop and co-ordinate a range of activities as part of work to improve inclusivity in the workplace.	☑	☑	☑	☑	☑	☑	☑		☑	TD TB	March 2021	**Green (On track)**
ACTION UPDATE:	An equality training programme focussing on race awareness and unconscious bias was completed in December, undertaken on our behalf by Show Racism the Red Card. This training was attended by Members and Chief Officers. A GLAM Meeting took place in December. There was discussion with members on priority objectives and how to progress them in the context of the impact of the coronavirus pandemic. Priority actions will be identified using this feedback. Communications have been sent out to staff inviting people to join the new BAME network.												
WFR/HR012	Lead on the development of the Council's approach to supporting its employees to volunteer including the introduction of a volunteering policy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD	March 2021	**Red (slipped)**
ACTION UPDATE:	Some volunteering options have been launched as part of the Wellbeing Activity, that has included activities such as Tree Planting.												

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/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.		☑	☑	☑	☑			☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	In progress. HoS prepared for discussion with HR colleagues to go through Job Evaluation to check that there is no impact on grading.												
WFR/HR005 WFR/CS001 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).	☑	☑	☑	☑	☑		☑	☑	☑	TD RE DH	March 2021	**AMBER (Minor slippage)**
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will commence in quarter 4 with the re-starting of the Attraction Strategy Working Group.												
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		☑	☑	☑	☑	☑	☑	☑	☑	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			
	work areas and in order to deliver fully integrated working practices.												
ACTION UPDATE:	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.												
WFR/FIT003 WFR/LD003 WFR/NS002 WFR/RP002 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.	☑	☑	☑	☑	☑		☑	☑	☑	CL JR ER MG T. Baker	March 2021	**GREEN (On track)**
ACTION UPDATE:	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. Within Democratic Services, succession planning opportunities continues to be supported through the repurposing of democratic services staff within the ICT and Legal / electoral services sections has also taken place as a result of the pandemic, which has offered staff opportunities and experience in other service areas. Within waste services, key staff have been identified for in house training (LGV) but it will depend on Covid-19 restrictions in the last quarter whether this can be completed. Both Regeneration and Planning are developing strategies to support both succession planning and resilience through minor restructures in both teams. These are due to be developed in the last quarter of 2021 for actioning in 2021/22. The launch of iDev for school staff has taken place with the first statutory learning set to be rolled out in January.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term	Officer	Completion Date	Status
WFR/HS003	Undertake a restructure of Building Services.		☑	☑		☑		☑	☑	☑	MI	March 2021	**RED (Slipped)**
ACTION UPDATE:	No further restructuring is anticipated this year as a result of the Pandemic and a better informed understanding of the recovery position and progress towards business as usual.												
WFR/NS003	Expand current mobile working practises.		☑	☑				☑	☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	Cabinet Report has been completed and is awaiting authorisation. Report is aiming for Cabinet Meeting 25th January 2021. Once agreed, companies will be contacted in relation to the next steps. A mobile solution is required as the existing Mayrise system will no longer be supported (Highways). This has been outlined in the Cabinet Report. The report also outlines the importance of future proofing of the service around agile and mobile working. Staff are relying on technology especially given the current situation with COVID.												
WFR/AS001 &WFR/RMS 001 WFR/SP001 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).		☑	☑		☑		☑	☑	☑	SC/AP MH T.Baker	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			
ACTION UPDATE:	During qtr 3 the Adult Services division have worked hard on engagement with the workforce. We trialled newsletters and also a Social Care Forum. We have some further ideas to explore in Qtr 4, to ensure that going forward we have a robust way of engaging with staff. However, due to our remote working, there have been increased communication with teams and staff, and we have stressed the importance of ensuring regular catch ups, meetings (formal and informal) and also access to wellbeing activities.

Within the Learning and Skills Directorate, face to face staff development has not been possible. However, managers are encouraged to signpost their staff to training opportunities and wellbeing activities on iDev and Staffnet. The focus this quarter has been on engaging with staff on matters of wellbeing. Further consultation with staff is being considered corporately for quarter 4. | | | | | | | | | | | | |

1 – Risk Overview	
1.1 Risk Description	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.

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 IS027001 that governs information security management.

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 25th 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.

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.

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.

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 |

	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**
Political & Legislative	Yes	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. 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.
Resources	Yes	Council incurs fines as a result of failing to comply with legislative and Information Commissioner requirements associated with the GDPR. Financial impact of correcting/resolving data breaches and/or cyber-attacks. Failure to implement adequate ICT management systems across the Council. 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.
Service Delivery and Wellbeing	Yes	Loss of data could impact of the delivery of key services and projects across the Council.

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.
Reputation	Yes	Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity.
		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
Political & Legislative	4 (Almost certain)	3 (High)	**12 (High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**9 (Medium/High)**
Reputation	3 (Probable)	3 (High)	**9 (Medium/High)**
Overall Inherent Risk Score	**4 (Almost certain)**	**3 (High)**	**12 (High)**

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• DPA/ICT Codes of Conduct in place together with Access to Information Procedures that is signed for by all staff and members. • On-line training available for DPA and introduction of Employees Information Security Responsibilities. DPA training available to all members via their induction. • Information Security & Governance Framework arrangements are in place. • Completed gap analysis to work towards adherence to ISO27001 and work towards adoption of good practice where applicable. • The Council has gone live with a new, hosted payments system. • The Council has recently completed its annual IT Health Check (independent penetration and security testing) and is currently undergoing	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.			
Resources	• Building and Office security/access arrangements in place to control access to Council buildings for authorised staff, members and visitors. • Secure network including Firewall and ICT Security Manager and Compliance Team. • All laptops are encrypted, and all new desktops purchased are encrypted as standard. • Nominated systems administrators and system audit trails/admin logs maintained. • Penetration testing regularly undertaken • Corporate document retention system in place (TRIM) and FOI/Records Management Unit established. • ICT compliance team developed following ICT restructure with three FTE compliance resources. • Secure e-mail solution in place • Reviewed use of fax machines and now have a Rightfax system in place. • An enterprise-class Secure Email Gateway is in place to filter incoming email. • 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. • The council is rolling out Office 365 to all staff and all staff should be migrated to 365 by the end of 2020. • Data Protection refresher training delivered to all relevant staff that incorporates the GDPR requirements. • Second internet connection has been installed at the Civic Offices. • Review of WASPI documentation remains ongoing. • 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	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	network as part of the LiDW 2 grant funded project.			
Service Delivery & Well-being	• Information Security & Governance Framework arrangements in place. • 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. • Implementation Plan aligned to the Strategy is in place and is being delivered. • 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. • Protocol to enable us to reuse information under the Open Government licence has been developed and published on our website.	2	2	4
Reputation	• 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.	1	1	1
Overall Effectiveness of Controls		**2**	**1**	**2**

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	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	↔	⬇
Average risk score/ direction of travel	4	3	**12**	2	1	**2**	2	3	**6 (Medium)**	↔	⬇

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.	☑	☑	☑	☑	☑			☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	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.	☑	☑	☑	☑	☑			☑	☑	CL/NW	March 2021	**GREEN (On track)**
ACTION UPDATE:	This has been done in this period as new ways of working and new systems have come on-line.												
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.	☑	☑	☑	☑	☑			☑	☑	TD	March 2021	**RED Slipped)**
ACTION UPDATE:	No action in Q3 due to 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			
ISR/SRS001	Undertake a review of information security against GDPR regulations.	☑	☑	☑	☑				☑	☑	DH	March 2020	**Red (Slipped)**
ACTION UPDATE:	This review has not been developed further during quarter 3 due to the demands placed on the service as a result of its integral role in enforcing Covid Regs and 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.		☑	☑		☑		☑	☑	☑	TB	March 2021	**GREEN (ON Track)**
ACTION UPDATE:	We are currently undertaking a gap analysis of devices required to meet a 2:1 and 1:1 pupil to device ratio across all schools.												

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 29th 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 |

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.

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.

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.

1.2 Risk Owner	**Head of Neighbourhood Services and Transport (ER)**

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	No	Yes	No

1.4 Risk Categories

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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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.
		Failure to fully utilise our land use planning framework and other policy levers to become more resilient to climate change and its effects.
		Impact of COVID-19 on our ability to sustain momentum and buy in from key partners to address climate change issues collaboratively.
Resources	Yes	Limited asset renewal funding could result in the Council not being able to meet its CO_2 reduction target set out in the Carbon Management Strategy and Implementation Plan.
		Increased pressure on limited resources as a consequence of increased areas of maintenance.
		Insufficient funding availability to fully implement programmes/initiatives to reduce our carbon footprint.
		Annually shrinking budgets will impact negatively on consistently achieving high standards of cleanliness of the local environment.
		Impact of our failure to meet our commitments under the CRC Energy Efficiency Scheme and its associated financial benefits.
		Council incurs fines as a result of failing to meet statutory waste reduction targets.
		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.
Service Delivery and Wellbeing	Yes	Failure to deliver key flood alleviation schemes across the Vale and exposing flood prone areas to a greater risk of flooding. Failure to implement the Shoreline Management Plan impacting on our ability to monitor and manage coastal erosion. Failure to reduce our carbon footprint by not reducing our CO_2 emissions and improving our energy efficiency.
		Disruption and financial cost of flooding to homes and businesses.
		Failure to engage and encourage to residents to participate in Active Travel (use alternative forms of transport to the car).
		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.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		The impact new developments places on putting in place a sufficient public transport infrastructure. Failure to fully deliver the Carbon Management Plan. 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: 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).
Reputation	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**
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	3 (Probable)	4 (Catastrophic)	**12 (High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**9 (Medium/High)**
Reputation	3 (Probable)	4 (Catastrophic)	**12 (High)**
Overall Inherent Risk Score	**3 (Probable)**	**4 (Catastrophic)**	**12 (High)**

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Supplementary planning guidance on sustainable development in new builds is in place. • Planning Policy Wales has been updated to take account of the Well-being of Future Generations Act • Development Management – ensuring decisions on new development proposals have regard to sustainability. • The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment) • Submitted bids to Welsh Government for Environment Grants to implement environmental and countryside programmes locally. • The Corporate Plan 2020-25 sets out our priorities relevant to promoting and enhancing sustainability. • Implementation of the requirements of the Environment Act 2016. • A Regional Transport Authority to govern and promote transport matters including Active Travel. • 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. • Insight Board taken lead role on discussions and progressing work on the development of Charter in response to the Climate Change Emergency Declaration.	2	1	2
Resources	• Development of updated Carbon Management plan (CMP) • Space Programme and Asset Management Strategy • Automatic meter readings for utilities for all Vale owned buildings. • 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	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	(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. • Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel. • Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally. • Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally. • 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. • Council owned & leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term. • Vehicle & plant applications are being reviewed at the time of purchase; in-line with the needs of the department. • New vehicles have been purchased in-line with current environmental and health & 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. • 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. • Biodiversity Forward Plan approved by Cabinet and aims and targets for services have been agreed.			
Service Delivery & Well-being	• Prioritise maintenance in all council services – including gritting, drainage, etc.	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• Sustainable procurement outlined in procurement guideline documents • Green travel plan established and publicised to all staff • Active Travel – ensuring walking and cycling routes are provided. • 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. • Internal and external publicity for individuals and organisations on how to reduce gas emissions • 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. • BREEAM standard for major projects e.g. schools/Extracare • Local Biodiversity Plan • Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation. • Work underway on the delivery of a Flood Alleviation Scheme at Llanmaes. • 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. Completed an Annual Review of the LDP. • The Residential Development and Householder Design Guide, Conversion of Rural Buildings, Minerals Safeguarding and Biodiversity Supplementary Planning Guidance (SPG) and Renewable Energy SPG and			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	the Tourism and Leisure Development SPG have been approved for use alongside the LDP to support planning decisions. • Completed two housing development schemes in the Vale of Glamorgan utilising modern methods of construction. • 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. • 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. • All Active Travel maps have been completed and published. The Council is seeking finance to implement routes where opportunities arise. • Review of the Active Travel maps is currently underway with consultation being undertaken on existing and proposed routes in quarter 3. • 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 active travel bid for 2020/21/20. • 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			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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. • Ten of our Parks, eight urban parks and two Country Parks have been awarded 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. • 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. • Council promotes the 'All Wales Concessionary Travel Scheme' and the 'My Travel Pass' on digital platforms. • Recruited volunteers to assist in the delivery of transportation initiatives. • Investment of S106 monies have improved walking and cycling access. • Delivered a programme of Biodiversity Projects funded by the Welsh Government's Single Environment Grant.			
Reputation	• Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns. • Provision of child pedestrian and cycling training in Vale schools. • Promotion of Active travel. • Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision-making processes.	1	2	2
Overall Effectiveness of Controls		**2**	**2**	**4**

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	↔	↑
Average risk score/ direction of travel	3	4	**12**	2	2	**4**	2	3	**6 (Medium)**	↔	↑

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/PB001 ESR/FIT001 ESR/RP001	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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T Bowring CL MG	March 2021	**AMBER (Minor Slippage)**
ACTION UPDATE:	A progress report was presented to Cabinet in November and referred to Scrutiny. Three Learning cafes have also been held with staff to discuss issues and a climate change conversation with the public was launched in December. All of this work will inform the development of the Council's Climate Change Action Plan. The draft ADP for 2021-22 includes a range of activities which will continue the Council's work in response to the climate change emergency. The PSB has also agreed a Climate Emergency Charter. Work is being planned on Council buildings to ensure that they are as energy efficient as they can be A presentation on the draft Green Infrastructure Strategy was given to SLT and business cabinet in the Autumn as planned. The corporate Green Infrastructure working group have met several times since its inception to discuss how relevant departmental work can be integrated into the emerging strategy. Work is currently ongoing in relation to the green infrastructure assessment which will inform the Plan's vision and objectives. The Council is also expecting further guidance on Green Infrastructure Strategy from both WG and NRW in the New Year and this will be built into the development of the Councils strategy. The Green Infrastructure Plan will also help to inform the evidence base of the replacement LDP in due course. Work on the replacement LDP is due to commence by June 2021 and it will also contain policies which seek to address the climate change emergency. A draft interim tree strategy has also been circulated to all participants for comment. Tree strategy will be updated and any comments and additions, once												

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			
	amended will be circulated to all for approval. The Council has also commissioned a Council wide tree survey (known as an i-Tree Survey) which will look at tree and canopy coverage throughout the Vale and identify where deficiencies exist. This is due to report back at the end of the year.												
ESR/AS001 ESR/CS001 ESR/RMS 001	Review our working practices to enable us to operate more sustainably.		☑	☑	☑	☑		☑	☑	☑	SC/RE	March 2021	**GREEN (On track)**
ACTION UPDATE:	The majority of the Social Services workforce continue to work successfully from home (with the exception of residential/domiciliary care staff), and only going into office space, and/or meeting service users in their own homes when risk assessed as being required to do so. Staff have maximised the use of hybrid mail system, video calling functionality and all staff have been upgraded to office 365 to assist them in fulfilling their functions. This has become the new way of working for Social Services and it is anticipated that with the current displacement of some Adults teams (ty Jenner) that this will remain the situation and preferred practice possibly during quarter 4. This way of working has created efficiencies linked to use of office space and travel. Learning from this experience is being used to informing the development of a preferred operating model.												
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	☑	☑	☑	☑		☑	☑	☑		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			
	biodiversity value of untenanted land by reducing cutting regime of hedgerows.												
ACTION UPDATE:	No new Farm Business Tenancies have been entered into. However, any new Farm Business Tenancies will incorporate biodiversity gain elements. Untenanted land hedgerows have not been cut unless urgently required for Health and safety requirements. New Grazing opportunities are being marketed at the beginning of 2021 which will include requirements to enhance biodiversity.												
ESR/FIT003	Continue to meet our commitments under the CRC Energy Efficiency scheme and achieve annual certification.	☑	☑	☑	☑				☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	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.		☑	☑	☑				☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	Projects identified by the RE:FIT Scheme that were unviable have been delivered directly by the in house team during 2020 at Victoria School, Ysgol Gwaun Y Nant, Penarth Library, Colcot School and Llansannor school where access was permitted. Future phases of decarbonisation projects are currently being explored and will form part of future SALIX bids.												

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/FIT005	Work towards achieving our targets in the Vale of Glamorgan Council Carbon Management Plan 2018-22.	☑	☑	☑	☑	☑			☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	The work identified within the plan is ongoing with most schools switched to electronic billing for electricity, gas. Switching water supplies to electronic billing is now complete with all buildings capable of electronic billing. Buildings controls are now online with our online data monitoring trend system. Work is ongoing with street lighting for trunk roads and residential streets. Phases two and three of RE:FIT are being reviewed in light of the Councils Climate Emergency Declaration as more projects need to be added and more funding applied for.												
ESR/HS001	Investigate opportunities for an affordable housing development which is carbon neutral and includes Modern Methods of Construction (MMC) and off-site manufacturing.	☑	☑	☑			☑	☑	☑	☑	MI	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Currently there are two schemes on site that are utilising Modern Methods of Construction; 23 units at Hayes Road, Barry and 11 units at Court Road Barry.												

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/HS002	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.	☑	☑	☑			☑	☑	☑	☑	MI	March 2021	**GREEN (On track)**
ACTION UPDATE:	External Wall Insulation packages continue to be identified and packed into tenders ready for contractor appointment and delivery. The grant funding from Welsh Government has been successful and work to deliver hybrid boilers to off gas properties in in the planning stage in association with The Welsh Government. There are only two successful Councils in this bidding round, the Vale and Anglesey.												
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)**
ACTION UPDATE:	External Wall Insulation packages continue to be identified and packed into tenders ready for contractor appointment and delivery. The grant funding from Welsh Government has been successful and work to deliver hybrid boilers to off gas properties in in the planning stage in association with The Welsh Government. There are only two successful Councils in this bidding round, the Vale and Anglesey.												
ESR/HR001	Review our corporate policies to invest in supporting infrastructure to encourage more sustainable behaviours of employees e.g.	☑	☑	☑	☑	☑		☑	☑	☑	TD	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			
	transport to and from work, agile working, active travel, waste and recycling and reducing energy consumption.												RED
ACTION UPDATE:	No further progress made due to the pandemic.												
ESR/HR002 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)**
ACTION UPDATE:	The current cycle to work is being reviewed with our provider due to updated advice from HMRC that states that due to home working the salary sacrifice benefits of not paying tax/NI on the deductions would not apply to home workers. Further advice is being sought before launching the next scheme. Due to Covid-19 restrictions and a number of staff working from home there has been little movement on the Travel Charter. However, a new lockable cycle shelter for Council pool bikes has been installed at the Alps Depot and the electric bike hire scheme (Nextbike) launched in November 2020 and uptake this far has been good. A further Nextbike station will be installed near to Cosmeston before the end of the financial year.												
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.	☑	☑	☑	☑				☑	☑	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			
	Includes Milestone actions: • *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.* • *Review the electric bike pilot in Penarth and consider extending to other areas.*												
ACTION UPDATE:	Penarth Electric Bike scheme launched. Working has been undertaken to look at a potential e-bike docking station in Sully. Other more pressing priorities due to the Covid-19 pandemic have taken precedent over switching fleet vehicles to low emission. Working with the Cardiff Capital Region to deliver charging points for taxis in Barry Town Centre. These are estimated to be delivered in Quarter 4.												
ESR/NS003	Implement the main road LED lighting scheme with the use of SALIX finance.	☑	☑	☑	☑				☑	☑	ER	March 2021	**RED (Slipped)**
ACTION UPDATE:	Lanterns will be delivered by the end of January 2021. Awaiting approval for iprocs for the lighting columns and installation contractor. From receipt of order the column manufacturer can deliver within 5 weeks. The installation contractor is able to program and complete works within 12 weeks. It is anticipated that this work will be completed by the end of May 2021.												

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/NS004 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.	☑	☑	☑	☑	☑		☑	☑	☑	ER MG	March 2021	**Green (On Track)**
ACTION UPDATE:	Discussions have continued this quarter regarding the capital bid and accompanying strategy for Ash Die Back - cabinet report being prepared by CS and AS to assist with securing capital bid. Baseline tree survey has been commissioned (iTree). This work will run over the next 12 months and will form a core part of the Councils Tree Strategy.												
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. *Includes milestone actions:* • *Ensure all transport improvement schemes include active travel measures.*	☑	☑	☑	☑	☑	☑	☑	☑	☑	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			
ESR/RP003	• *Promote the shift to more environmentally friendly modes of transport.* Ensure new developments deliver appropriate sustainable travel facilities either via direct provision or through the section 106 process.										MG		
ACTION UPDATE:	Phase 1 of ATNM consultation launched Dec20 on Commonplace portal; Audit of existing routes commenced Dec20; ATNM Consultation webpage launched on VOG website; Provision of scooter and cycle storage complete in 16 schools; Cycle stands installed in Penarth; During Q3, progress has been made on several schemes to deliver sustainable transport, including: • St. Athan – dropped kerb and footpath improvement scheme - completed; • 'Next bike' cycle hire docking stations in Penarth - launched; • Ogmore by Sea – numerous pedestrian improvements been made, including a new footway as part of the village hall scheme. Meeting with elected members been held for Sully S106 Sustainable Transport contributions – full consultation to be undertaken in Q4 and new financial year with residents. A number of schemes are also being designed, including new crossing facilities in Dinas Powys – this scheme is due to commence on site in January 2021 (Q4).												
ESR/NS006	Monitor and assess changes in coastal morphology, including the beach and cliffs, in accordance with the appropriate Shoreline Management Plans.		☑	☑	☑		☑	☑	☑		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			
	Includes milestone action: • Monitor the actions contained in the Shoreline Management Plan.												
ACTION UPDATE:	The wave monitoring equipment has been replaced and is uploading the tidal information to the CCO website. The weather station remains out of commission due to IT issues and will be resolved when Covid 19 restrictions allow the contractor to visit site. The scanner survey was undertaken at Swanbridge and a drone flight has also been undertaken at Lavernock along with isolated surveys following reports of cliff falls in specific areas. Further works are also completed include coastal profile surveys carried out on 13/14th November 2020 at locations including the shore south of Forest Road to Penarth Head, Aberthaw and Llantwit Major (Cwm Col-huw).												
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)**
ACTION UPDATE:	Assessments ongoing to update Local Flood Risk Management Strategy and extra ordinary meeting with the SEWFRMG convened for group to discuss resources required prior to Christmas. It is currently anticipated that the bulk of work to update Local Flood Risk Management Strategy will now be completed in quarter 4.												
ESR/NS008	Implement the Llanmaes Flood Risk Management Scheme.	☑	☑	☑			☑	☑	☑		ER	March 2021	**RED (Slipped)**
ACTION UPDATE:	Cooke and Arkwright were appointed in December 2020 to undertake detailed land negotiations with relevant land owners which is ongoing with the serving of formal notices planned for early 2021. AECOM have supled full construction details in relation to the scheme in December 2020 and these are												

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			
	being reviewed internally prior to them issuing of the final detailed design work package in January 2021. Revised construction cost estimates have also been submitted and are also currently under review. Planning approval is required for the scheme and currently programmed to be submitted in Q4 following receipt of the final detailed design package from consultants. Subject to obtaining planning approval, resolving land take requirements as well as obtaining all other necessary consents and permissions it is anticipated that the construction phase for works will be now able to commence in Summer 2021. A report is due to be considered by Cabinet at its meeting on 25 January 2021 which provides a more detailed update on the project and obtain relevant delegations to assist prompt progress of the scheme.												
ESR/RP004	Undertake an annual monitoring review of the Local Development Plan. *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.*	☑	☑	☑	☑		☑	☑	☑		MG	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Annual Monitoring Report approved by Cabinet and published on the Council's website for public viewing. The AMR Report found that good progress has been made in implementing the majority of the Plan's policies and that the overall strategy remains sound. The second AMR recommended that monitoring of the plan should continue in preparation for the next AMR report due in October 2021, progress on adopting new SPGs should continue, undertake member training in relation to LDP Policy MD1 and development outside settlements, and commence a review of the LDP before 28th June 2021 in line with LDP regulation 41. In terms of protecting, preserving and enhancing the natural and built environment and cultural heritage of the Vale the second AMR confirms the LDP has met all its targets relating to objective 4 of the Plan, however, this relates to the period between 1st April 2019 to the 31st March 2020. The Council's planning register shows that for Q3 372 planning application have been determined none of which had a detrimental												

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			
	impact upon built and natural environments. It is also noted that 2.5ha of open space has been gained during this period which relates to a reserved matters application for Barry Waterfront that approved the outstanding landscaping matters for the mixed-use strategic development.												
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 21st Century Schools Programme.	☑	☑	☑	☑			☑	☑	☑	T. Baker	March 2021	**GREEN (On track)**
ACTION UPDATE:	Construction of Llancarfan Primary School, the first net zero carbon primary school in Wales, started in November 2020. A virtual turf cutting ceremony marked the event which included a video made by the Minister for Education. The Council has been granted an additional WG grant of £1,050,000 to support decarbonisation which has offset spend undertaken to date. Additional funding has now been allocated to deliver Cowbridge Primary scheme as net-zero carbon. The Council is continuing to explore opportunities to further deliver decarbonisation and is continuing work on the net zero in use design.												
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	**RED (slipped)**
ACTION UPDATE:	Work on this has slipped due to Covid. Trees have been delivered to schools for planting in the Spring. Work is also underway on the Biodiversity Strategy which will be launched in March 2021.												

1 – Risk Overview	
1.1 Risk Description	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.

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.

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.

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.

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 no 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.

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 |

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.

1.2 Risk Owner	Head of Finance (CL)

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	No

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	Failure to ensure service continuity during the transitional period due to poor project planning resulting in political and legislative repercussions.
Resources	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. 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**
Service Delivery and Wellbeing	Yes	Failure to safeguard principles of social inclusion as a result of welfare reform. Welfare reform could have a detrimental impact on service user's finances and affect their ability to sustain tenancies and pay bills. 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. Poor communication of the welfare reform changes to clients could result in them getting into debt. 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.
Reputation	Yes	Poor implementation of welfare reform measures having an adverse impact on equalities commitments and our reputation as a Council. 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.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	**Likelihood**	**Impact**	**Total Inherent Risk Score**
Political & Legislative	4 (Almost certain)	3 (High)	**12 (High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	4 (Almost certain)	3 (High)	**12 (High)**
Reputation	4 (Almost certain)	3 (High)	**12 (High)**
Overall Inherent Risk Score	**4 (Almost certain)**	**3 (High)**	**12 (High)**

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Identification and prioritisation of key risks associated with welfare reform. • Progress reports are monitored by Scrutiny Corporate Performance and Resources. • 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. • DWP Partnership Group and Overarching Housing Forum monitors the implementation of UC and address any issues.	2	2	4
Resources	• Budgets have been allocated to deal with expected impact of homelessness and rent arrears. • Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes. • Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed. • Impact of the Council Tax Reduction Scheme and future WG funding reviewed. • 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) • 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. • Improved our systems for monitoring rents and further automated the rent recovery process. • Provided access to a Customer Portal for tenants to retrieve up to date information on their rent account. • A Homelessness Prevention Strategy and Action Plan has been developed which incorporates homeless prevention and housing support requirements.	2	1	2

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.			
Service Delivery & Well-being	• Improved the management and access to and use of Discretionary Housing Payments. • 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. • Supported the effective roll out of Universal Credit across the Vale of Glamorgan. • 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. • 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. • 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. • Universal Credit went live on the 10 October 2018. Citizens requiring digital or personal budgeting support are assisted by the Citizens Advice Bureau. • 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. • 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	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	Universal Credit claims and send the notifications back to DWP. • 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. • 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. • 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. Established a procedure to proactively contact new claimants to offer advice/support. • 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.			
Reputation	• Council's website is updated with information guides on Welfare Reform for Vale residents.	2	2	4
Overall Effectiveness of Controls		**2**	**2**	**4**

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	2	4	2	2	4	↔	↔
Resources	4	3	12	2	1	2	2	3	6	↑	↑
Service Delivery & Well-being	4	3	12	2	1	2	2	3	6	↑	↑
Reputation	4	3	12	2	2	4	2	2	4	↔	↑
Average risk score/ direction of travel	4	3	**12**	2	2	**4**	2	3	**6 (Medium)**	↑	↑

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.	☑	☑	☑	☑	☑		☑	☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	Extensive use has been made of social media in this period to promote the availability of business grants.												
WRR/FIT0 02	Continue to signpost applicants to enable them to fully access support on the digital service for UC applications.	☑	☑	☑	☑	☑		☑	☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	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.	☑	☑	☑	☑	☑		☑	☑	☑	CL	March 2021	**Red (Slipped)**
ACTION UPDATE:	Report to be presented to Scrutiny Committee during 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			
WRR/HS001	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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI	March 2021	**GREEN (On track)**
ACTION UPDATE:	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. Pobl has installed the external signage on the building in Holton Road, Barry and finishing the internal layout so that it is able to open whilst adhering to social distancing once the lockdown is lifted.												
WRR/HS003	Prioritise tenants receiving Universal Credit for Money Advice.	☑	☑	☑	☑	☑		☑	☑	☑	MI	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	This is an established procedure now. All new UC claimants are highlighted via the Universal Credit portal and they are contacted by a Money Advisor.												

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.
1.2 Risk Owner	**Director of Environment and Housing (MP)**

1.3 Alignment with Well-being 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	No	Yes	Yes	No	No	No

1.3 Risk Categories		
Categories	**Yes/No**	**Definition**
Political & Legislative	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.
Resources	Yes	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.

Budgetary pressures impacting on the availability of asset renewal funding will impact on how the Council prioritises and meets its building compliance obligations.

Failure to adopt a strategic approach to the management of building compliance in relation to our existing Council-owned assets.

Insufficient resources available to effectively, monitor, prioritise and project manage completion of building compliance work. |
| *Service Delivery and Wellbeing* | Yes | 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.

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.

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. |

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.
Reputation	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. 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
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	3 (Probable)	3 (High)	**9 (Medium/High)**
Service Delivery & Well-being	3 (Probable)	4 (Catastrophic)	**12 (High)**
Reputation	3 (Probable)	3 (High)	**9 (Medium/High)**
Overall Inherent Risk Score	**3 (Probable)**	**3 (High)**	**9 (Medium/High)**

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
Political & Legislative	• Regular reporting of progress/updates via Insight Board, CMT and Schools Operational Investment Board. • Regular operational meetings with project team. • Monthly reporting to the School Investment Operational Board on compliance status. • Monthly compliance review meetings within Social Services Directorate to consider and review any compliance issues. • 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	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.			
Resources	• Successful appointment of a Compliance Officer and two administrators. • Building Compliance Service is fully funded through central recharges and fee recovery on additional work delivery • Effective mechanism for the collection of compliance data from schools. • Process/mechanism established for the collection/reporting of data from Schools. • Service is now fully funded through central recharges and fee recovery on additional work delivery. • 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. • IPF database has been populated and relevant paperwork scanned onto the system. • 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. • 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. • Effective Monitoring of building compliance within Schools. Raised awareness with Premises Managers of compliance risks.	3	2	6
Service Delivery & Well-being	• Site visits are conducted on all school sites and corporate (Council owned) assets where Corporate Compliance team have been engaged. • IPF database is fully populated and documentation is entered onto the system to capture compliance evidence/information with service dates being updated at the	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
	same time. Individual site managers are provided regular updates on compliance position with advance notification of certificate expiry. All building managers, schools, corporate H&S and compliance all have access to the system. • Officers are working with individual sites to address any issues which have been identified during the visits. • Regular reminders sent to duty holders of premises for up and coming services/inspections. • Inventory for Social Services assets has now been completed to provide full picture of compliance in relation to Social Services. • 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. • Regular and up to date reporting with respect to the position of building compliance in relation to the Learning & Skills Directorate's building assets (including schools). It is reviewed monthly at School Investment Operational Board.			
Reputation	• The response from schools and other sites has been very well received and better than expected.	2	2	4
Overall Effectiveness of controls		**2**	**2**	**4**

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	4	12	2	2	4	2	2	4	↔	↔
Reputation	3	3	9	2	2	4	2	2	4	↔	↔
Average risk score/ direction of travel	3	3	**9**	2	2	**4**	2	2	**4 (Medium)**	↔	↔

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/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.	☑	☑	☑	☑	☑			☑	☑	CL/LC	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	All building managers, schools, corporate H&S and compliance all have access to the system.												
BCR/FIT002	Review the way in which compliance issues are managed across the authority.	☑	☑	☑	☑				☑	☑	CL/LC	March 2021	**N/A**
ACTION UPDATE:	Action not yet due. This action is reported annually.												

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/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.	☑	☑	☑	☑	☑			☑	☑	AP	March 2021	**GREEN (On track)**
ACTION UPDATE:	Some progress made but not all buildings are occupied at present, compliance data up to date												
BCR/HS002	Provide regular compliance updates to the School Investment Operational Board (SIOB).	☑	☑	☑	☑	☑			☑	☑	MI	March 2021	**GREEN (On track)**
ACTION UPDATE:	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.												
BCR/HS003	Review funding arrangements to ensure long term building compliance sustainability.	☑	☑	☑	☑				☑	☑	MI	March 2021	**GREEN (Completed)** Action completed and will be reflected as a

Risk Action Ref.	Action	Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term	Officer	Completion Date	Status
3. Risk Management Plan – Mitigating Actions													
													control in the Register
ACTION UPDATE:	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.	☑	☑	☑	☑	☑			☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	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. The pandemic has caused some access issues to leased premises which are prevented from operating but overall access has been achieved.												

1 – Risk Overview	
1.1 Risk Description	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.

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.

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.

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. |
| | |
| **1.2 Risk Owner** | **Head of Resource Management and Safeguarding (AP)** |

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**
Political & Legislative	Yes	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.
		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.
		Inability to implement safeguarding requirements of the Social Services and Well-being (Wales) Act 2014.
		Our Corporate Safeguarding procedures are insufficient, not followed or are ineffective.
		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.
Resources	Yes	Recruiting managers are not sufficiently trained to apply the relevant safeguarding procedures resulting in these procedures being breached.
		Inability to provide levels of training for staff or independent sector to ensure quality of care for citizens provided by Council.
		Failure to safeguard vulnerable groups as a result of recruiting unsuitable staff.
		Failure to have suitable information sharing mechanisms in place to ensure safeguarding concerns are reported to the right people at the right time.
		Insufficient operational staff capacity to ensure timely assessments and risk management plans are completed.
		Increase in numbers and complexity of care proceedings in the context of reduced court timescales impacting on court costs,

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Social Worker caseloads and ensuring that other cases receive the attention they require.
		Availability of other partners to support the preventative services agenda.
		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.
		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.
Service Delivery and Wellbeing	Yes	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.
		Domiciliary care providers are unable to provide a high-quality standard of service to our residents.
		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.
		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.
Reputation	Yes	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.

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	- Ongoing review of the Wales Safeguarding Procedures Management Group and contribute to national developments. - Implement and embed new Wales Safeguarding Procedures - Build and develop on the Regional Safeguarding Boards model. - Work with the Regional Safeguarding Boards, the Council's Corporate Safeguarding Steering Group and schools to deliver our safeguarding responsibilities. - We have contributed to developing the priorities outlined in the Regional Safeguarding Board's Annual plan. - 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. - Six monthly reporting to Cabinet of application of the safer recruitment policy	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	and corporate safeguarding arrangements. • 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. • 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. • 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.			
Resources	• 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. • 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. • Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable people. • All elected members and staff who come into contact with children on a regular	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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. • Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy. • 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. • 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. • 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. • Staff continue to be supported via training sessions to ensure all staff are trained in the four core modules of the new Act. • 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.			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• The i-Dev mandatory module for Safeguarding was rolled out to all Vale of Glamorgan employees in November 2017. • 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. • The new Wales Safeguarding Procedures were launched in November 2019, led by Cardiff & 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.			
Service Delivery & Well-being	• Provider Performance Protocol procedures are embedded in relation to the managing of commissioned services. • Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely and appropriate action. • Obtain the views of children and adults at risk/their families and implement protocols in respect of abuse and neglect • A Child Sexual Exploitation Strategy has been developed and a Sexual Exploitation Risk Assessment Framework referral process is in place. • Information sharing protocols are in place and used appropriately. • 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. • The application of the Safer Recruitment policy continues to be promoted within	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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. • Developed a mechanism to utilise learning associated with safeguarding. • CPR/APR/DHR learning is regularly disseminated, mechanisms for sharing within various platforms to be explored.			
Reputation	• Obtain the views of children and adults at risk /their families and implement protocols in respect of neglect and child sexual exploitation. • Information sharing protocols are in place and used appropriately.	3	1	3
Overall Effectiveness of Controls		**3**	**2**	**6**

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	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	↔	↔
Average risk score/ direction of travel	3	3	**9**	3	2	**6**	1	3	**3 (Medium /Low)**	↔	↔

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 SR/SP001	Implement the Wales Safeguarding Procedures are embedded in practice within all education settings and in-house and monitor and challenge compliance.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/MH	March 2021	**GREEN (On track)**
ACTION UPDATE:	At the end of quarter 3 School Designated Safeguarding Person (DSP)/Deputy Designated Safeguarding (DDSP) Person compliance was 88% (there were 13 no-compliant out of a total of 106). 100% completion of Level 1 training. All non-compliant DSP/DDSP are booked on to refresher training this Spring term.												
SR/AS001	Implement/adhere to the Wales Safeguarding Procedures as it relates to Adult Services.	☑	☑	☑	☑	☑		☑	☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	Training scheduled for quarter 4, staff aware, and adopting processes.												
SR/RMS001	Support the full roll out of the Wales Safeguarding Procedures to our workforce. (Milestone Action) *Contributes to SP Action: Embedding a consistent approach to safeguarding to ensure that we can effectively safeguard our citizens from abuse, harm and neglect.*	☑	☑	☑	☑	☑		☑	☑	☑	AP	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			
ACTION UPDATE:	A programme of implementation has taken place. This has involved updating and reviewing policies and procedures; updated training and reviewing our operating models within our safeguarding teams.												
SR/RMS002	Develop a mechanism to utilise learning associated with safeguarding. (Milestone) *Contributes to SP Action: Embedding a consistent approach to safeguarding to ensure that we can effectively safeguard our citizens from abuse, harm and neglect.*	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	CPR/APR/DHR 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) *Contributes to SP Action: Work with partners to developing a thematic approach to how we enhance our knowledge and understanding of*	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ	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			
	exploitation and how this can be used to information policy and practice.												
ACTION UPDATE:	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) *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 information policy and practice.*	☑	☑	☑	☑	☑		☑	☑	☑	AP/NJ	March 2021	**GREEN (On track)**
ACTION UPDATE:	Corporate Safeguarding Group are aligning priorities and actions to the Regional Exploitation Strategy. We intend to engage with all directorates in deliver of awareness and training sessions.												

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/HR001	Support the Corporate Safeguarding Group to monitor and challenge compliance with the Council's Safeguarding Policy in line with our responsibilities. *Milestone Action: Ensure robust procedures are followed in the recruitment of key posts requiring DBS checks.*	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2021	**GREEN (On track)**
ACTION UPDATE:	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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DH	March 2021	**Red (Slipped)**
ACTION UPDATE:	This review has not been developed further during Q3 due to the demands placed on the service as a result of its integral role in enforcing Covid Regs and Test, Trace, Protect responsibilities and the need to prioritise these activities												

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. *Milestone Action:* Deliver the Shared Regulatory Service Business Plan actions *(set out in section 6.2 of the Plan).*	☑	☑	☑	☑	☑	☑	☑	☑	☑	DH	March 2021	**Red (Slipped)**
ACTION UPDATE:	In light of the diversion of resources to respond to the Covid outbreak, the service has yet to fully return to 'business as usual' which has impacted on the delivery of many actions contained in the SRS Business Plan. During Qtr 3, as Covid-19 continued to proliferate communities the service has continued to be at the forefront of the enforcement of Coronavirus regulations in a range of sectors. Furthermore, we have seen the regulations change significantly at various intervals which has been challenging for the service. We continue to have a number of officers seconded to support Test, Trace and Protect including the management of risks in care homes and schools, and a significant number of officers directing their attention to dealing with clusters identified at business premises. Notwithstanding this some elements of the plan have been delivered, though it is likely that many will be rolled over to next year.												
SR/SL001	Continue to work in partnership to maintain rigorous safeguarding protocols as part of the	☑	☑	☑	☑	☑	☑	☑	☑	☑	T. Baker	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			
	21st Century School Investment programme governance scheme and monitor compliance.												
ACTION UPDATE:	Partnership and data sharing between all relevant parties continues to improve and good records and data sharing is in place.												
SR/SL002	Continue to monitor and enforce policies for schools visits and support safer recruitment in schools via a new training system.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T. Baker	March 2021	**GREEN (On track)**
ACTION UPDATE:	The launch of iDev for school staff has taken place with the first statutory learning set to be rolled out in January.												

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	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.
	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&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&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.
	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.
	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

	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.
1.2 Risk Owner	**Head of Adult Services (SC)**

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**
Political & Legislative	Yes	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. 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.
Resources	Yes	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. 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. 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.

1.4 Risk Categories		
Categories	Yes/No	Definition
		Failure to agree further pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny. Ineffective scrutiny of the utilisation and expenditure of properly pooled budgets. 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. 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.
Service Delivery and Wellbeing	Yes	Failure to maintain business continuity and strengthen service resilience as a result of changes made to service delivery models during the transitionary period. Risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics. Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services. 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. Poor communication with staff and service users regarding changes to how services will be delivered could impact on the

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		quality and consistency of service delivery and on the awareness/take up of services.
		Failure to adequately resource the Customer Contact Centre for dealing with health and social care queries impacting on access to services and waiting times.
Reputation	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**
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	3 (Probable)	3 (High)	**9 (Medium/High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**6 (Medium/High)**
Reputation	3 (Probable)	3 (High)	**6 (Medium)**
Overall Inherent Risk Score	**3 (Probable)**	**3 (High)**	**9 (Medium/High)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	- Information Sharing Protocols developed and operational. - Integration of Health and Social Care is considered at all levels of the organisation through the leadership group and the strategic implementation group. - Arrangements are reviewed through regular reports to Scrutiny Committee Healthy Living and Social Care Committee. - Significant changes to structure and staff arrangements are considered by Cabinet. - Cabinet Member and Managing Director are members of the Regional Partnership Board that oversees integration and the	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	work of the Integrated Health and Social Care Partnership, including access to resources for the Integrated Care Fund (ICF) and Transformation Fund. • 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.			
Resources	• Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board. • Developed the ability to view both database systems via Vale IT. • Implemented WCCIS within the Vale of Glamorgan Council whilst awaiting regional implementation by partner organisations. • IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development. • Joint Commissioning Board meets regularly to progress work for pooled arrangements. • 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. • Regular quarterly data from Paris on the number of Health to Health transfers is being received. • 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	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	work plan with a joint induction and training programme planned. • 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. • 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. • 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. • Work on Exit Strategies from short term funding is ongoing to ensure we are able to effectively plan for the future.			
Service Delivery & Well-being	• DEWIS Cymru Portal is providing more effective signposting for service users to adult services. • 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. • Reviewed and put in place new assessment processes and IT infrastructure to ensure compliance with the Social Services Wellbeing Act. • 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	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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). • 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. • 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. • 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. • 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.			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Get Me Home Plus has been implemented and established into discharge structures.			
Reputation	• Senior Officer and Councillor representation on the Regional Partnership Board.	1	2	1
Overall Effectiveness of Controls		**2**	**2**	**4**

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	↔	↓
Average risk score/ direction of travel	3	3	**9**	2	2	**4**	3	2	**6 (Medium)**	↔	↓

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/AS001	Extend the GP triaging pilot through effective implementation and evaluation.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On Track)**
ACTION UPDATE:	As per qtr 3 we have received confirmation of the Transformation fund continuing into 2021-2022, and the support of the Regional Partnership Board to look to implement this project for a further 12 months. We will use Qtr 4 to plan for the implementation from April, 2021.												
IHSR/AS002	Develop more 'closer to home' and strengths-based services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	Strength based approaches to assisting citizens reach their potential start at the point of assessment and IAA. Social workers are encouraged to look at ways to assist the citizen to unlock the resources available to them to help them achieve their outcomes, which may include a personal or family resource, a universal service or a commissioned package of care. This approach has and continues to be embedded into social work practice throughout Qrt3. During qrt4 and 2021/22 we will implement a programme of training to support this approach.												
IHSR/AS003	Development of an 'alliance model' within the Vale locality that will enable us to operate more effectively across organisational boundaries.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On Track)**
ACTION UPDATE:	Unfortunately, further progress has been minimal due to the Head of Service needing to return to cover the role of Locality Manager, in order to release the post holder to manage the Mass Imms and Testing programme on behalf of the UHB. However, at the end of Qtr 3, we were able to confirm that WG would												

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			
	continue to invest in the Transformation Fund for an additional year, and we can use this year as a transitional year, the partnership has agreed that the Alliance model can be progressed through this funding stream. In Qtr 4, we anticipate being able to plan for the next financial year, rather than the delivery of the intended outcomes, given the operational pressures, and the lack of capacity for key staff to have 'space' to think how we can support this model.												
IHSR/AS004 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).	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**RED (Slipped)**
ACTION UPDATE:	Unfortunately, we have not been able to progress this during Qtr3 as envisaged due to the ongoing Covid pressures and impact on the workforce which was dispersed. Given the current pressures, it is unlikely that this will be progressed any further in the current financial year as we now know that Mass Immunisations, Testing and TTP continue to need ongoing support to meet the demands determined due to the ongoing pandemic response.												
IHSR/AS005	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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	Joint Commissioning Strategy for Adults with learning Disabilities continues to be the focus of all developments with LD services. Workstreams were restarted September/October 2020 to review activity over the period pf the pandemic and refocus on commitments for the next year. Briefing for people with an Learning Disability and their carers is in draft currently, hoping to be finalised for distribution in January 2021												

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/RMS 001	Implement an outcomes-based approach to commissioning contracting services across both a regional and localised footprint.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2021	**Red (Slipped)**
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will commence later on in the year.												

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	**Deprivation of Liberty Safeguards** 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 – *The Right to Liberty and Security*. 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)). 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 & 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. 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. **Deprivation of Liberty in 'Domestic Settings'** 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. 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. Adhering to the Deprivation of Liberty (DoLS) continues to place significant pressure on Social Services in terms of officer work load/capacity and

	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.
1.2 Risk Owner	**Head of Resource Management and Safeguarding (AP)**

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**
Political & Legislative	Yes	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. Political repercussions as a consequence of failing to adhere to the Deprivation of Liberty Safeguards.
Resources	Yes	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. 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. Lack of suitably qualified staff to undertake best interest assessments within designated timescales. Increased demand for best interest assessments as a result of changes in law impacting on staff capacity and putting pressure on budget thresholds.
Service Delivery and Wellbeing	Yes	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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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. The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse. Implications arising from the Court of Protection associated with Deprivation of Liberty of people living in domestic settings. 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 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.
Reputation	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**
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	4 (Almost certain)	3 (High)	**12 (High)**
Reputation	3 (Probable)	3 (High)	**9 (Medium/High)**

Overall Inherent Risk Score	4 (Almost certain)	3 (High)	12 (High)	

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	Regular scrutiny and CMT reports to highlight the key issues affecting DOLs. The DOLs Management Board oversees DOLs development.	1	2	2
Resources	Additional Best Interest Assessors have been recruited to meet the increased demand for additional assessments. 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. Light touch review of systems and processes undertaken to put in place more robust processes to support the timely completion of assessments. Financial contributions by partners are reviewed at every DOLs Board with ongoing discussion. Findings & recommendations from the business improvement review have been adopted and implemented. Secured additional legal resource that has added capacity to process applications to court in timely way. The ADSS Matrix Prioritisation Tool is used consistently to prioritise applications being received. Monthly data reporting has been put in place across the partnership, with quarterly monitoring taking place through the DoLS partnership board.	1	2	2
Service Delivery & Well-being	Ongoing prioritisation of cases based on levels of risk and deprivation assisted by an effective case management system.	1	2	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	The CMHT for Older People has relocated from Ty Jenner to Llanfair Unit at Llandough Hospital. Advocacy Gateway provider has been identified through market analysis with plan to go live with Gateway in June 2018. Existing providers are to continue to provide advocacy and Independent Professional Advocacy as accessed through the Gateway. 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. 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.			
Reputation	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
Overall Effectiveness of Controls		**1**	**2**	**2**

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	↔	↔
Average risk score/ direction of travel	4	3	**12**	1	2	**2**	4	2	**8 (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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2021	**AMBER (Minor Slippage)**
ACTION UPDATE:	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. 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)	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2021	**AMBER (Minor Slippage)**
ACTION UPDATE	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 S005	Identify and utilise data from the DoLS team to monitor outstanding requests for deprivations.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2021	**Green (On Track)**
ACTION UPDATE:	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	The Social Services & 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.

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.

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.

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.

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'.

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 |

	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.
1.2 Risk Owner	**Head of Resource Management and Safeguarding (AP)**

1.3 Alignment with Well-being 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	Yes	Yes	Yes	No

1.3 Risk Categories		
Categories	**Yes/No**	**Definition**
Political & Legislative	Yes	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. 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. Failure of other regional partners to implement the system, thus not maximising the benefits of the systems particularly in relation to integrated teams.
Resources	Yes	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. 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. Limited skill resilience to extract and report relevant data from the system.
Service Delivery and Wellbeing	Yes	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.

1.3 Risk Categories		
Categories	**Yes/No**	**Definition**
		Loss of data could impact of the delivery of key services as well as the impact this has on service users. 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.
Reputation	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**
Political & Legislative	4 (Almost certain)	3 (High)	**12 (High)**
Resources	4 (Almost certain)	4 (Catastrophic)	**16 (Very High)**
Service Delivery & Well-being	4 (Almost certain)	3 (High)	**12 (High)**
Reputation	4 (Almost certain)	4 (Catastrophic)	**16 (Very High)**
Overall Inherent Risk Score	**4 (Almost certain)**	**4 (Catastrophic)**	**16 (Very High)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Delivery of other developmental phases of the system continue to be monitored on an ongoing basis via operational meetings.	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Regular reporting of progress/updates via Insight, CMT and Cabinet. • Regional partners have further delayed implementation of WCCIS.			
Resources	• WCCIS system is now fully embedded across all of Social Services. • Identified Super users for the system maintain links with the national and regional team. • Successfully trained all staff on using WCCIS now that it is operational. • Training has been delivered on performance reporting and officers continue to access support from other local authorities to develop their expertise on the system. • Performance staff have been trained in SQL to build performance related reports. • 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. • Senior Systems Support Officer is responsible for progressing WCCIS project delivery.	2	2	4
Service Delivery & Well-being	• Directorate adheres to the Council's Information Management Strategy. • 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. • Data disclosure agreements in place with all other organisations that are using WCCIS. • Information Manager attends Information Governance Groups to ensure the IAA is signed and fit for purpose to give us an additional layer of protection. • Representatives Attend Regional and National Operational Meetings to identify and discuss any operational issues with the system and impact on service delivery. • Fortnightly operational meetings post-implementation to identify and address system-based issues as they arise. Such as changes to social work practice and	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	including the development of new forms etc. • Established a 'clinic' for users to attend to discuss their forms and requirements. • Dashboards within WCCIS have been developed to enable staff to manage their own data have been completed. • A WCCIS Wizards Group for Superusers is well established to help practitioners with the development of the system. • WCCIS Operational Group is well established that enables the identification and resolution of areas of concern.			
Reputation	• Effectively managed expectations and raised awareness with our Regulator (Care Inspectorate Wales) and Welsh Government regarding any limitations associated with reporting. • 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. • 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. • Work regarding the implementation of the Finance Module will be restarted when the Covid 9 response has dissipated.	2	1	2
Overall Effectiveness of Controls		**2**	**1**	**2**

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	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	⬌	⬌
Average risk score/ direction of travel	4	4	**16**	2	1	**2**	2	3	**6 (Medium)**	⬌	⬌

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. *Associated Milestone: Explore the use of technology to support payment for certain services. (e.g. WCCIS Financial Module development)*	☑	☑	☑	☑	☑		☑		☑	AP	March 2021	**Red (Slipped)**
ACTION UPDATE:	Full ICT survey competed across all homes which has identified the need for further upgrade. Funding being explored.												
WCSR/RMS 002	Co-ordinate the implementation of a new Welsh Government Performance Measurement Framework across Social Services.	☑	☑		☑	☑				☑	AP	March 2021	**Green (On Track)**
ACTION UPDATE:	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. Still awaiting final metric definitions document from Welsh Government. Work has started on the new Adults Census (similar to the current one for children).												

1 – Risk Overview	
1.1 Risk Description	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.

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.

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.

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.

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.

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).

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 |

| | planning group Brexit remains a regular agenda item at both SLT and Insight Board which prompts our wider mitigating activity as an authority.

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. |
|---|---|
| **1.2 Risk Owner** | **Head of Policy & Business Transformation (TB).** |

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**
Political & Legislative	Yes	Significant political uncertainty associated with Brexit and the impact this has on our ability to forward plan.

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.

Failure to fully embrace and participate in discussions/collaborative opportunities associated with Brexit could be detrimental to the profile and status of the Council.

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.

Failure to effectively lobby for and secure access to funding previously sourced from the EU programmes post-Brexit (including any successor programmes).

Changes to consumer protection requirements across the EU affecting residents and local businesses.

Potential changes to the regulatory procurement regime/framework that we operate by could have a negative |

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		impact on how we tender for and access products/services from EU markets.
Resources	Yes	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.
		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.
		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.
		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 is 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.
		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.
		Inability to put in place effective civil contingency plans (emergency planning) to take account of the potential impact of Brexit.
		Market volatility, inflation and financial uncertainty could impact on council revenue budgets and borrowing costs for capital schemes.
		Inability to effectively manage demand and sustain service delivery post Brexit.
		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.
		Risk that whilst resources are immediately drawn to addressing the priorities arising from the pandemic, that our

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.
Service Delivery and Wellbeing	Yes	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.
		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.
		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.
		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.
		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.
		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.
		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.
		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.
		Delays/disruption to distribution of goods/supplies through the supply chain due to increased regulation at ports/airports. Increased pressure on the capacity of the SRS Service

1.4 Risk Categories		
Categories	Yes/No	Definition
		(Environmental Health Officers) for the inspection of food at ports/airports.

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.

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.

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.

COVID pandemic impairs our capacity to effectively prepare and make necessary changes to how we deliver and operate key services and functions. |
| *Reputation* | Yes | 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.

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.

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.

Loss of public confidence in our ability to deliver services effectively and sustainably post-Brexit.

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. |

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	**Likelihood**	**Impact**	**Total Inherent Risk Score**
Political & Legislative	4 (Almost certain)	3 (High)	**12 (High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	4 (Almost certain)	3 (High)	**12 (High)**
Reputation	4 (Almost certain)	3 (High)	**12 (High)**
Overall Inherent Risk Score	**4 (Almost certain)**	**3 (High)**	**12 (High)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • 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. • Developed strong links with the WLGA to access specialist advice, information and briefings. • 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.	2	1	2
Resources	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • Completed a Directorate-wide impact assessment of Brexit. • Business Continuity Plans have been reviewed and updated for priority one services. • Maintain a high-profile presence in all relevant discussions and briefings with regard to Brexit and its implications for legislative changes. The Council has	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	established good links with the Welsh Government and WLGA in relation to this. - Links with the Welsh Government and WLGA regarding economic development. - 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. 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. - 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. - Continue to work closely with mangers 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. - 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. - 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. - A review of the impact of Brexit on SRS functions was undertaken and all officers are properly authorised to continue their statutory duties.			
Service Delivery & Well-being	- Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. - Brexit Impact Assessment Action Plan was developed and approved by CMT in September and is monitored on a regular basis. - Commenced a Directorate-wide impact assessment of Brexit.	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• 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. • 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). • Developed a Preparing for Brexit web page for the website to signpost our businesses to advice and information to the Business Wales website.			
Reputation	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • 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.	1	1	1
Overall Effectiveness of Controls		**2**	**1**	**2**

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	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	↔	↑
Average risk score/ direction of travel	4	3	**12**	2	1	**2**	3	3	**9 (Medium /High)**	↔	↑

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/PB001(BXR/FIT001 BXR/HR001 BXR/SL001	Support the monitoring and reporting of the Brexit Impact Assessment Action Plan. *Contributes to SP Action: Co-ordinate work to ensure the Council is prepared for Brexit and ensure there are plans in place to manage any impacts.*	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/CL/TD/TB	March 2021	**Green (On track)**
ACTION UPDATE:	Grant Thornton were commissioned by the WLGA to explore the impact of Brexit on trade in Wales which was published during the quarter 3 period. The findings from this work along with the current Brexit position was used to inform a further risk analysis, a refresh of the Brexit Action Plan (aligned to the Risk Management Plan attached to this risk) and presented in a report to Cabinet. A refresh of the action plan was undertaken during quarter3 to ensure that any further preparatory actions were identified in response to emerging issues and can be progressed leading up to and post transition period. All service areas are now working towards progressing the refreshed action plan following the conclusion of a trade deal arrangement being agreed in December.												

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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	**Green (On track)**
ACTION UPDATE:	We have refreshed our content on our digital platforms such as our website and social media accounts. Key messages continue to be disseminated via our communication platforms. During December we utilised our social media channels to put out key messages to promote and raise awareness of the EUSS scheme to eligible citizens and to sign post them to support. We have also undertaken more targeted messaging to schools on accessing EUSS support.												
BXR/ALN001 BXR/SP001	Ensure that appropriate exit strategies are in place for ESF funded projects.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 20201	**GREEN (On track)**
ACTION UPDATE:	All ESF funded projects are designed with an Exit Strategy. The current plan is to continue to work with other local authorities and regional leads to secure a regional or national project for current ESF projects to transition into. There remains limited updates from Westminster to help inform current thinking on the post Brexit arrangements to clarify progress on a 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 this is likely to 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.	☑	☑	☑	☑				☑	☑	AP	December 2020	**Red (Slipped)**
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 3. As the Council transitions from its response to recovery phase, this work will commence later on in the year. The focus at present has been on supporting the workforce resilience as part of the Pandemic response.												
BXR/NS001	Assist with the co-ordination of the Council's response to leaving the EU to ensure continuity of services for our citizens.	☑	☑	☑	☑	☑	☑	☑	☑	☑		December 2020	**GREEN (Completed)**
ACTION UPDATE:	Transitional arrangements for leaving the EU ended in Quarter 3. Corporately the Council will continue to review and assess the review of the exit. Particularly for the Neighbourhood Services and Transports potential issues with Parts being supplied for the garage / machinery.												

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/RP001	Work with Welsh Government and Welsh Local Government Association and local businesses to maximise opportunities for new grant sources after leaving the European Union.	☑	☑	☑	☑				☑	☑		March 2021	**GREEN (On track)**
ACTION UPDATE:	We continue to feed into the WLGA and WG lobbying activities, however, no further information is emerging at this stage around the proposed scope of the UK governments share prosperity fund or how it will be delivered. European Funding has been a tool used by businesses in the Vale to invest and diversify. it has also funded many revenue support programmes such as Creative Rural Communities. The Council has also benefitted from significant capital investment in facilities such as play areas and community centres. With no new programmes on the horizon and many EU funding schemes fully spent this will undoubtedly leave a gap in both capital funding available and support to businesses. We will continue to lobby for additional support so that businesses, farmers and communities within the Vale of Glamorgan are no worse off as a result of leaving 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	**GREEN (Completed)** Action completed and will be reflected as a control in the Register

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			
ACTION UPDATE:	A review was undertaken and all officers are properly authorised to continue their statutory duties.												
New Action	Work in collaboration with GVS to assess Community Organisation/Third Sector resilience to impact of Brexit.	☑	☑	☑	☑	☑	☑	☑	☑	☑		April 2021	**GREEN (On track)**
ACTION UPDATE:	Initial desktop research is underway to support the identification of a tool that can be used by the community organisations/third sector to assess levels of resilience.												
New Action	Work with PSB and partners to deliver a food poverty pilot in Llantwit Major. Utilise lessons learnt from pilot to further develop the model, so that it can be											March 2022	**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			
	applied to other areas post transition.												
ACTION UPDATE:	An exploratory group has been formed and meets on a monthly basis to explore the potential for a food poverty project in Llantwit Major. Current group membership includes Council officers, Vale of Glamorgan Councillors, Llantwit Major Town and Community Councillors, representatives from local food poverty services, Newydd, the University Health Board, GVS, Ysgol y Ddraig and Citizens Advice. Progress updates are regularly provided to the PSB and FoodVale Steering Group. The exploratory group have conducted a small initial mapping exercise to explore topics including; what food poverty services are already in place in Llantwit Major, what age, employment status and household type typically access existing services in the area, what related services users are currently signposted to, changes in demand for services and potential service gaps. Evolving group objectives are currently being developed to outline the aims of the work in Llantwit Major. Officers are communicating with other colleagues interested in potentially developing a similar project in Barry to ensure any lessons learnt are shared.												
New Action	Explore with CAB the option of delivering virtual webinars that can be accessed/delivered										TB	April 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			
	generally to citizens and also webinars tailored to business community, housing associations, and voluntary sector organisations to raise awareness of EUSS application support available.												
ACTION UPDATE:	Initial discussions with CAB have commenced to explore opportunities to work together on providing virtual webinars to citizens and key stakeholders. The next steps will involve agreeing target audience, content of webinar and how they will be advertised to get the reach.												
New Action	Produce briefing paper for SLT regarding current status of data flow obligations as it applies to the Council that considers scenarios of 'adequacy' or 'non-adequacy' decision										DM/TB	April 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			
	being made, and progress made on mitigations.												
ACTION UPDATE:	Briefing note on data flow implications was presented to SLT in November and they agreed that a data flows assurance exercise was necessary. A data flows mapping exercise is now underway. The information gathered through this exercise will be used to identify whether further mitigations in the form of Standard Contractual Clauses to enable access to data from the EEA in the event of a non-adequacy decision. Following the announcement of trade deal between UK and EU post-transition, it has been agreed that data flows will continue on the previous interim arrangement for the next 6 months during which time the UK can seek to gain a data adequacy decision. Although this offers a greater window of time, it doesn't negate the need to gain assurance for our data in terms of where it is processed.												

Appendix 15 Corporate Risk CR15: Additional Learning Needs

Return to Risk Summary Report

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**
Political & Legislative	Yes	Political and legislative repercussions of failing to meet the requirements of the *Additional Learning Needs and Education Tribunal Act 2018* could lead to litigation, fines and/or political instability.
Resources	Yes	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. 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. 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. 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. 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.
Service Delivery and Wellbeing	Yes	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. 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. 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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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. 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. 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.
Reputation	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**
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**9 (Medium/High)**
Reputation	2 (Possible)	3 (High)	**6 (Medium)**
Overall Inherent Risk Score	**3 (Probable)**	**3 (High)**	**9 (Medium/High)**

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Regular updates on ALN provision and progress against meeting the requirements of the Act presented to Scrutiny and Corporate Management Team. • Work closely with the Consortium with regular progress updates and reports. • The Transformational Project Board meetings are attended regularly, and monitoring of the plan is on target.	2	1	2
Resources	• Budget setting process includes considerations of cost pressures arising from ALN developments. • 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. • A PCP audit has been undertaken and results have been analysed in clusters and regionally. • Awareness raising training has been delivered to Headteachers, ALNCOS and Governors on the Act.	1	1	1
Service Delivery & Well-being	• 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. • 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. • 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.	2	1	2

2.2 Controlling Inherent Risk				
Category	**• Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Early Years meetings continue to be attended, regionally and with Cardiff in order to plan early years provision. • 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. • Transition Protocol has been developed and agreed in conjunction with Social Services and Health.			
Reputation	• A communication strategy in relation to the ALN Act is being developed.	1	1	1
Overall Effectiveness of Controls Score		**2**	**1**	**2**

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	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	↔	↔
Average risk score/ direction of travel	3	3	**9**	2	1	**2**	3	3	**9 (Medium/High)**	↔	↔

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 ALNR/SP001	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) 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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC MH	March 2021	**AMBER (Minor Slippage)**
ACTION UPDATE:	The VGT continue to work in partnership to provide needs led support for schools, this involves working with various stakeholders to ensure a shared understanding.												
ALNR/ALN001	Develop early years ALN provision in line with the expectations of the ALNET (Wales) Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	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			
ACTION UPDATE:	An Early Years Officer has been seconded form Cardiff to help develop the EY forums within the Vale but in line with Cardiff model. Training for EY settings has been organised for Vale settings to attend. Guidance materials, transition pathway and resources are being published with Cardiff.												
ALNR/ALN002	Develop additional specialist resource base and special school places to meet current and projected need.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	All reports have now been agreed by Cabinet and presented to Scrutiny Committee.												
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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On Track)**
ACTION UPDATE:	Training on Person Centred Planning and Individual Development Plans has been delivered to ALNCOs and this is ongoing. Guidance for governors has been completed and is ready to be shared via the training programme												
ALNR/ALN004	Develop a regional approach to increase the ALN provision available to Welsh medium schools to ensure sufficiency of provision.	☑	☑	☑	☑	☑	☑	☑	☑	☑	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			
ACTION UPDATE:	Work has progressed in quarter 3 on developing the regional document and producing training directory. Further work will be required in quarter 3, but due to COVID it is unlikely that all this work will be completed and will need to be continued into next year. The regional group has been re-established. Welsh reading tests and assessments are being developed for use in welsh medium schools. Regional training directory is being developed.												
ALNR/ALN005	Support development of the ALNCo role in schools as set out in the ALNET (Wales) Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	The new Individual Development Plan Co-ordinator is working with schools to develop and write IDPs. She is developing guidance on School and Local authority IDPs. Training for school on Individual Development Plans (IDP) is ongoing and schools are implementing the training and beginning to use of IDPs in specified year groups. The PCP toolkit has been distributed, and further training run by the EPS. Half Termly ALNCO Training continues to address IDP writing and the changes need for the ALN Act and sharing of good practice, through the cluster leads and the transformation lead. Meetings with the health board to ensure a joint approach continue to develop a shared understanding of ALN support.												
ALNR/ALN006	Work with partners to develop an education and training offer for young people 16-25.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	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			
ACTION UPDATE:	The process of developing this offer is progressing as planned. The health service are an integral part of this process and have now been brought into the discussions to enable their contribution to be captured. A local provision offer and expectations document is being developed with Cardiff to outline how we can meet the needs of our ALN pupils. in partnership. with CAVAC and health. The document is in first draft and consultation is beginning in both authorities.												
ALNR/ALN007	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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On Track)**
ACTION UPDATE:	Joint work with Cardiff and Cardiff and Vale College (CAVAC) continues. A Vale transition leads group has been set up to ensure that all schools have access to the new CAVAC forum and the transition protocol.												
ALNR/ALN008	Improve the quality and availability of information to parents/carers, young people and all service users about additional learning needs provision.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	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			
ACTION UPDATE:	The website is being developed; information has been produced to share on the website. SharePoint is being published and shared with schools over the next term.												
ALNR/ALN009	Seek the views of service users on current additional learning needs provision and on how to develop provision in future.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	Parent / Carer forums are being planned regarding the New Act and IDPs. Progress has been challenged by COVID restrictions, but preparation for groups has been started.												
ALNR/AL010	Further develop the role of outreach services, and support inclusion in all educational settings more effectively.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	Consultation on universal, ALN and specialist provision has taken place and a regional document is being developed to outline this. Health are also working regionally to identify school and specialist provision, and their documents are being consulted on. Outreach has been limited due to Covid restrictions, but data will continue to be collected. The outreach cluster is attending training for IDP writing to support schools and pupils and ensure effective inclusion.												
ALNR/ALN011	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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	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			
ACTION UPDATE:	Further dispute resolution training is now running. Resources to support this have been put on SharePoint for school staff to obtain. Agreement with Dispute resolution providers for parents (SNAP) is being reived. Information for parents is beginning to be developed for the website												
ALNR/ALN012	Work with schools to ensure that pupils are happy, safe and free from discrimination.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	The anti- bullying policy and safeguarding policy have been completed and consultation process is complete. They have now been shared with schools for adoption over the next term.												
ALNR/SP002	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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH	March 2021	**GREEN (On track)**
ACTION UPDATE:	Improvement Partners have completed a PDG summary of objectives and actions linked to the PDG spend in each school. This has given a strategic overview of how schools are allocating the grant and how they are intending to evaluate the impact that it is having of the FSM pupils. This will be revisited at the end of the spring term, as planned, to review impact of grant. Ongoing discussions between Improvement Partners and headteachers in relation to the allocation of the Recruit, Recover, Raise Standards: Accelerating Learning Programme grant.												

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			
	Ongoing discussions between Improvement Partners and schools about continuity of learning, with a focus on supporting vulnerable learners. Comprehensive professional learning offer in place linked to equity and wellbeing.												
ALNR/SP003	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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH	March 2021	**GREEN (On track)**
ACTION UPDATE:	A review of the SEMHP has been undertaken and a proposal for the implementation of a formalised panel will has been endorsed at chief officer level. SEMHP is now a permanently constituted panel with a triage mechanism to filter appropriate referrals. The panel is multi-agency and multi-faceted to share best practice and expertise around SEMH.												
ALNR/ALN013	Provide training for schools to develop trauma informed approaches to meet the social emotional and mental health needs of pupils.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	The process of delivering this training continues, however, maintaining this momentum has been difficult due to recent school closures. This will be a significant challenge in Q4 should school closures remain in place. TIS approved trainers will be working with the specialist resource base in High Street to ensure that the provision is in line with the Vale initiative												

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/ALN014	Implement a training programme for central staff in order to ensure readiness for the ALNET Act from September 2020/21	☑	☑	☑	☑	☑		☑	☑	☑	DD	March 2021	**GREEN (On Track)**
ACTION UPDATE:	Central staff have been involved with virtual ALNCo days in order to ensure readiness for the ALN act. Further outreach / specialist teacher training has been developed for IDP and PCP training. Further training for Youth service and EOTAS providers will need to be developed over the coming months												

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

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. |

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.

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.

1.2 Risk Owner	Corporate Management Team

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
Political & Legislative	Yes	Political and legislative repercussions of failing to discharge our statutory functions and comply with statutory requirements of service delivery. Political and legislative repercussions of not fulfilling our requirements as outlined in the Constitution. Failure to provide a consistent and timely leadership in response to the pandemic that is out of step with national policy.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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.
		The pandemic brings with it an increased risk of challenge and the potential for litigation.
		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 an in keeping with our constitutional requirements, ensuring openness and transparency.
Resources	Yes	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.
		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.
		Collection of income for the Authority maybe a considerable risk as • 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; • Businesses may struggle to pay business rates due to financial pressure. 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.
		Financial viability of some of our key service delivery partners as we move from response to recovery.

1.4 Risk Categories		
Categories	Yes/No	Definition
		Failure to mobilise our assets, technology and workforce resources across our council departments and organisational boundaries to respond effectively to the crisis.
		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.
		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.
		Inability to execute contingency plans consistently across service areas due to a lack of available resources.
		Inability to source from our supply chains appropriate levels of PPE to be distributed to our frontline workers and other providers.
		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.
		Failure to maximise the use of our existing assets and technology to deliver services in a cost effective and efficient way.
		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.
		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.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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.
Service Delivery and Wellbeing	Yes	Failure in our duty to ensure the safety and well-being of our most vulnerable citizens and an inability to meet their basic needs. Failure to provide education to school pupils, via distance learning and in-school learning. Failure to maintain/oversee quality assurance mechanisms associated with managing and monitoring service delivery by Third Parties to citizens in our communities. 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. 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. 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. 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. Failure to effectively support and safeguard the most vulnerable in society who have been advised to shield. Increased pressure and lack of capacity of reablement services in the community to support the step down from critical care in

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		hospitals which will ultimately impact on an individual's ability to recover and regain their independence.
		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).
		Failure to take advantage of the opportunities to transform services as a result of lessons learnt from the Council's response to COVID-19.
		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.
		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.
		Economic impact of COVID-19 on contractors could threaten their viability and ability to fulfil contractual obligations and potentially result in contractual failure.
		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.
		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.
		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.
Reputation	Yes	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.

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
Political & Legislative	3 (Probable)	4 (Catastrophic)	**12 (High)**
Resources	4 (Almost certain)	4 (Catastrophic)	**16 (Very High)**
Service Delivery & Well-being	4 (Almost certain)	4 (Catastrophic)	**16 (Very High)**
Reputation	3 (Probable)	4 (Catastrophic)	**12 (High)**
Overall Inherent Risk Score	**4 (Almost certain)**	**4 (Catastrophic)**	**16 (Very High)**

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• An extended Corporate Management Team, CMT Gold, maintain ongoing oversight and development of our strategic response to the developments associated with the crisis. • Emergency Planning Team and processes are an intrinsic part of the Gold arrangements. • Regular briefings and updates provided by the Managing Director and the Leader to all Members, WLGA and Welsh	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Ministers on our position and response to the crisis. • Directors in regular liaison with professional bodies and national forums to understand the latest policy position relevant to their area.			
Resources	• Critical services reviewed and prioritised for resourcing. • All staff where it is practical have been enabled to work from home. • 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. • 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. • 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. • PPE provided and appropriate social distancing measures in place where working from home not practical. • Significant advice from HR published on our intranet, including new well-being and working from home guidance. • Risk assessment for office accommodation published. • Risk assessment completed for BAME colleagues. • Worked with the Welsh Government and the Local Health Board to secure a supply of PPE • Engaged effectively with private suppliers to source additional PPE. • Actively sought the redeployment of staff to four vital service areas: residential care, waste and cleaning services and customer support.	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Investment in ICT developments to enable home working. • Updated guidance on annual leave, flexi leave, and TOIL that has been published to reflect and adapt to the changing circumstances. • Recovery Strategy approved by Cabinet that has been used to inform recovery focused Annual Delivery Plan actions.			
Service Delivery & Well-being	• Worked with our schools to co-ordinate the establishment of childcare hubs for the children of key workers across schools throughout the Vale. • Worked with schools to enable catch up and check in facilities during the latter part of the summer term. • Worked with schools to facilitate risk assessments associated with reopening schools from September. • 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. • 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. • Worked in collaboration with GVS to launch Vale Heroes, a new service directory that brings together information regarding volunteering in our communities and sources of assistance with food and other supplies. • Established a Crisis Support Team has who are contacting individuals who have been advised to shield, to establish their support needs and if they need any	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	assistance with accessing additional help, food and medications. • Coordination of food parcel deliveries to shielding people with no other form of support. • 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. • Housing/Homeless Service secured temporary hotel accommodation to provide shelter for homeless people. • Secured donations from private and charitable organisations to support the provision of food to families and people who are vulnerable. • 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.			
Reputation	• 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. • Managing Director issues weekly communications/updates to staff on the ongoing developments and advice on any changes to working practice. • 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 key developments on a daily basis by maximising the use of all our key communication channels.	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Overall Effectiveness of Controls Score		2	1	2

224

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	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	↔	↔
Average risk score/ direction of travel	4	4	**16**	2	1	**2**	2	4	**8 (Medium/High)**	↔	⬆

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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	RT	September 2020	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	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 an ongoing exercise that has been used to inform 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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	Directors	September 2020	**GREEN (On track)**
ACTION UPDATE:	Work to develop Directorate Recovery Plans to 'localise' the strategy is an ongoing exercise that has been used to inform the development of the Annual Delivery Plan for 2021/22 and the service planning process.												
CV/PB003	Develop a suite of insight reports to monitor the community and economic impact of coronavirus.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TBowring	March 2021	**GREEN (On track)**
ACTION UPDATE:	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												

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			
	committees. The dashboards are regularly being updated and discussed at SLT. Dashboard data is also regularly disseminated and shared with staff via weekly messages from the Managing Director.												
CV/PB004	Maintain a regular communications plan to accompany service changes and other important public health messages to share information.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TBowring	March 2021	**GREEN (On track)**
ACTION UPDATE:	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.												