Meeting of:	**Cabinet**
Date of Meeting:	**Monday, 13 September 2021**
Relevant Scrutiny Committee:	Corporate Performance and Resources
Report Title:	Corporate Risk Register Quarter 4 Update
Purpose of Report:	To update Cabinet on the quarter 4 position of Corporate Risks for April 2020 - March 2021 contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report.
Report Owner:	Executive Leader and Cabinet Member Performance and Resources
Responsible Officer:	Rob Thomas, Managing Director
Elected Member and Officer Consultation:	Consultation has been undertaken with designated Corporate Risk Owners and the Strategic Leadership Team.
Policy Framework:	The proposals are within the Council's Policy Framework.

Executive Summary:

- This report provides Cabinet Members with an overview of the Corporate Risk Register for Quarter 4 (April 2020-March 2021). A risk analysis is incorporated within the Corporate Risk Summary Report (Annex A). This enables officers and Members to identify and assess trends and the cross-cutting nature of risk with the ability to drill down to the detail of risks as and when required.

  The report recommends that Cabinet:

- Note the quarter 4 position of corporate risks for the period April 2020- March 2021 as outlined in Annex A and the reference received from Governance and Audit Committee.

- Cabinet consider and endorse the Corporate Risk Register for Q4 and the associated Corporate Risk Summary Report.

Recommendations

1. That Cabinet notes the Quarter 4 position of corporate risks for the period April 2020-March 2021 as outlined in Annex A and the reference received from Governance and Audit Committee.

2. That Cabinet considers and endorses the Corporate Risk Register for Quarter 4 and the associated Corporate Risk Summary Report.

Reasons for Recommendations

1. To ensure Cabinet identify the Quarter 4 position of the corporate risks across the Council.

2. To ensure effective oversight of the corporate risks and enable Cabinet to examine key emerging issues and actions to be taken as outlined in Annex A.

1. Background

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

2. Key Issues for Consideration

2.1 The Corporate Risk Summary Report (Annex A) is split into the following sections:

2.2 **Corporate Risk Executive Summary:** This provides an overview of the whole risk report that highlights the key issues to note in relation to the status of risks, direction of travel, forecast direction of travel and progress against the Risk Management Plans.

2.3 **Section 1 Risk Descriptions:** This section details each risk listed on the Register along with a brief description of the risk in terms of its scope. More detailed descriptions of the multiple facets of each risk relative to each of the risk categories (of Political & Legislative, Resources, Service Delivery & Well-being and Reputation) are provided in the Register itself. Within Section 1 of the report officers and members can drill down to the detail of individual risks in the Register quickly and easily by using the document link to the relevant Appendices in the report.

2.4 **Section 2 Corporate Risk Register Summary:** provides an overview of all the corporate risks in the Register in terms of their inherent 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 4 period, it is important to note that some risks on the Register are in a constant state of flux. For example, the fast-moving nature of both the COVID-19 and Brexit risks means that the position regarding these two are constantly evolving. Cabinet are requested to consider and endorse the quarter 4 position of the Risk Register, whilst noting the reference from Governance and Audit Committee and the following developments.

2.11   **Covid-19**- By the end of the quarter 4 period (March 2021), although a number of restrictions remained in place, the successful roll out of the vaccination programme began to show an impact on Covid infection rates.

2.12   By April we began to see a reduction in infection rates and pressure on our hospitals in terms of admissions and those in intensive care began to ease.

Coronavirus restrictions

2.13 In response to the improving public health situation, the Welsh Government began to ease some restrictions which led to the reopening of some sectors.

2.14 The key easing of restrictions to bring Wales into alert level 3 were as follows:

- organised outdoor activities and outdoor weddings resumed from 26th April (brought forward from the 3rd May[1].

- Reopening of gyms and leisure centres from 3rd May (a week earlier than planned)[1] and the reopening of community centres and organised indoor activities such as sport, children's activities, and recreational clubs[2].

- Extended household rule (two households) was re-introduced to allow contact indoors[1]. This allowed for two households to come together to form an exclusive bubble.

- Up to six people from different households to mix outdoors[3].

- Full return of all face-to-face teaching in schools, colleges, and University from the 12th April. There continued to be focus on blended learning for post-16 particularly in University[1].

- All retail and close contact services were able to reopen from the 12th April[1].

- Outdoor hospitality reopened from the 26th April[2].

2.15 Stay local rule was lifted allowing people to travel into and out of Wales.

2.16 These planned and phased easing of restrictions outlined above completed Wales' move to Alert Level 3 by 3rd May[2]. Following on from this, the Welsh Government announced that Wales would move to Alert Level 2 on 17th May[4]. This change in alert status allowed for the reopening of indoor hospitality and entertainment venues, the reopening of holiday accommodation and international travel resuming (aligned to the new traffic light system) as well as an increase in the numbers of people that could attend organised outdoor and indoor activities[4]. Despite the easing of restrictions regarding foreign travel, the Welsh Government advised people to only travel for essential purposes[4]. To support this change the Welsh Government made available from the 24th May a paper-based vaccination status that could be used by traveller who have had 2 doses of vaccination and need to travel the ability to evidence their vaccination status[4]. On the 8th August, there were further changes to the traffic light system in terms of where countries now sit on the list. One of the more significant changes to come into effect was the decision that fully vaccinated people in the UK, Europe, or USA (with approved vaccines) are no longer be required to self-isolate but instead are required to take a COVID tests both prior and after arrival

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[1] Welsh Government Press Release, Covid-19 restriction relaxations in Wales brought forward, 8th April 2021.
[2] Welsh Government Press Release, Coronavirus restrictions relaxations confirmed, 30th April 2021
[3] Welsh Government Press Release, Outdoor hospitality given go-ahead to reopen and rules on mixing outdoors relaxed in Wales, 19th April 2021.
[4] Welsh Government Press Release, Wales Moves to Alert Level 2, 14th May 2021.

to the UK[5]. The Chief Medical Officer (CMO) for Wales has called for a cautious approach following the relaxation of the border health requirements, due to the increasing threat from variants. Given the risks associated with the importation of variants, the CMO and Welsh Government continue to advise against all non-essential travel and advocate for robust testing, surveillance, and genomic sequencing as important mitigations to the importation of new variants[6].

2.17 The First Minister at its next 3 weekly review, confirmed that Wales would have a phased move to Alert Level 1[7]. From 7th June, up to 30 people could meet outdoors, including private gardens, in outdoor hospitality and public place[5]. Larger indoor events such as concerts, sporting events could go ahead for up to 4,000 people standing and 10,000 people seated could go ahead provided a full risk assessment has been conducted and relevant infection control measures were in place i.e social distancing[5]. The Welsh Government, on the 9th July, clarified arrangements for schools and colleges. From September, the Welsh Government have outlined that face coverings will no longer be routinely recommended in classrooms, contact groups will no longer be required for school pupils or full-time learners in college and instead the Test, Trace Protect (TTP) system will be used to identify close contacts who have tested positive and there will be the return of normal session times[8]. The Education Minister confirmed that a 'Local Covid-19 Infection Control Decision Framework' will be published at the start of the autumn term[9]

2.18 The Welsh Government announced that from the 17th July Wales would move to alert level 1[10]. This comprises of:

- Allowing six people to meet indoors in private homes and holiday accommodation.
- Organising indoor events for up to 1,000 seated and 200 standing and the reopening of ice risks.
- Allowing groups of 30 children to visit residential activity centres.
- A requirement for employers to share information on risk and mitigations identified via their COVID risk assessments with their employees.

2.19 As part of the Coronavirus Control Plan, the Welsh Government confirmed on the 5th August that from the 7th August Wales would move to alert level zero[11]. This saw:

- The removal of legal restrictions on the number who can meet indoors (including private homes, public places and/or at events.
- All businesses and premises can open including nightclubs.
- People continuing to work from home wherever possible.
- Fully vaccinated adults, under 18s and vaccine trial participants no longer needing to self-isolate if they are a close contact of someone with coronavirus

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[5] Welsh Government, Written Statement, International travel changes from 8th August 2021, 5th August 2021
[6] Welsh Government, CMO advice on 21 day review of COVID-19 restrictions, 5th August 2021
[7] Welsh Government Press Release, First Minister confirms phased move to Alert Level 1, 3rd June 2021.
[8] Welsh Government Press Release, Changes to keep schools safe and learners learning, 9th July 2021
[9] Welsh Government Press Release, Changes to keep schools safe and learners learning, 9th July 2021

[10] Welsh Government Press Release, Next Steps towards a future with fewer Covid rules, 14th July 2021.
[11] Welsh Government Press Release, Wales moves to alert level zero, 5th August 2021

- People who have been fully vaccinated in the UK will no longer need to self-isolate after returning from an amber list country.
  However, the Welsh Government emphasised that although this will see the lifting of most restrictions, some legal requirements will remain in place for wearing face coverings indoors with the exception of the hospitality sector and there will be an ongoing requirement for all organisations and businesses to carry out Covid risk assessments and the need to self-isolate if you have Covid-19 symptoms or a positive test result[12]. The First Minister also confirmed that fully vaccinated adults and children and young people under 18, will no longer need to isolate if they are identified as close contacts of someone who has Coronavirus[13]. But the Welsh Government have emphasised that this aspect will be kept under ongoing review[14].

2.20 To continue to support those who do test positive and are required to self-isolate for 10 days, the Welsh Government have increased their self-isolation support scheme payment. The payment increased from £500 to £750 from the 7th August[15]. The payment is aimed to breakdown the financial barriers to people self-isolating and the scheme has been extended until March 2022 and intends to compensate those earning up to personal income threshold for their loss of earnings over the 10-day isolation period[16].

Infection rates

2.21 Infection rates have been rising, as coronavirus restrictions have eased. As of 29th June, the latest coronavirus data available for a rolling seven days (between 19th-25th June) showed there were 77 cases identified in the Vale of Glamorgan, with a case rate of 57.6 per 100,000 population and there was a positivity rate of 3.9%[17]. Since then, as at the 4th August, the latest coronavirus data for a 7-day rolling period (between 27th July-2nd August showed that there were 129 cases identified in the Vale of Glamorgan, with a case rate of 96.6 per 100,000 with a positivity rate that has almost doubled to 7.4%[18]. This rise in infection and positivity rates is being seen across the rest of Wales with cases per 100,000 increasing from 64.8 per 100,000 between 19th-25th June to 132.2 per 100,000 of the population between 27th July-2nd August. There has also been a marked jump in the positivity rates between these periods, with positivity rate increasing from 4.2% between 19th-25th June to 9.7% between 27th July-2nd August[19]. Although infection rates across the Vale of Glamorgan and nationally are on the rise, there is growing confidence that the vaccination programme success is beginning to severe the link between Covid infections and hospitalisation and death.

Vaccination progress

2.22 The success of the vaccination programme continues to maintain its momentum. The Welsh Government announced that it had reached it had met its third

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[12] Welsh Government Press Release, Wales moves to alert level zero, 5th August 2021
[13] Welsh Government Press Release, Wales moves to alert level zero, 5th August 2021
[14] Welsh Government Press Release, Next Steps towards a future with fewer Covid rules, 14th July 2021
[15] Welsh Government, Press Release, Self-isolation support payment increased to £750, 4th August 2021
[16] Welsh Government, Press Release, Self-isolation support payment increased to £750, 4th August 2021
[17] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area,
[18] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area
[19] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area,

milestone of offering all eligible adults in Wales a first dose of vaccine, 6 weeks ahead of their schedule[20] By the 27th July, over 4.2 million vaccinations have been administered to people in Wales, with over 90% of people in Wales receiving their first dose[21]. As vaccination coverage continues to rise, the Chief Medical Officer reported that as at the 5th August 80% of the adult population in Wales in now fully vaccinated[22]. At the time of writing (5th August), the total number of doses of vaccine administered in Cardiff and the Vale of Glamorgan was 687,587 (comprising of 358,260 first doses and 329,327 second doses). This data is reported on a daily dashboard by the Cardiff and Vale Health Board.

2.23   Now that the milestone of offering first doses in Wales has been achieved, the next phase of the roll-out will shift towards accelerating second dose vaccination, whilst concurrently vaccinating those who might have missed their first dose appointments. In line with the Chief Medical Officer advice, the vaccination strategy will focus on targeting younger age groups (18-40 year olds), where the Chief Medical Officer recognises there is lower uptake of the vaccine and this is particularly the case in vaccine-hesitant communities[23] At the time of writing (5th August), Cardiff an Vale Vaccination figures indicated that 74.8% of individuals aged 18-29 had taken up their offer of a first vaccine compared to vaccine uptake rates of over 90% for those over 50 years old[24].

2.24   On the 6th July, in a written statement, the Minister for Health and Social Services outlined that he JCVI have published interim advice regarding Autumn vaccine booster campaign[25]. This advice indicated that the JCVI will be working with Health Boards to support delivery of a booster programme from September targeted at cohorts 1-9, with approximately a 6-month gap for a second dose.

2.25   The Welsh Government has also confirmed that the JCVI published further advice on the 19th July, regarding the vaccination of children and young people. JCVI have recommended that children aged 12–15-year-olds with underlying health conditions (that put them at risk of a serious Covid-19 infection) and those who live in households with persons who are immunosuppressed should be offered vaccination[26]. Since then, the JCVI have also recommended vaccination of 16- and 17-year-olds and the Welsh Government have confirmed that they will work with local Health Boards to co-ordinate roll out to this age group[27]. In press release on 18th August, the Welsh Government confirmed that all 16- and 17-year-olds in Wales will have received a vaccination offer by 22nd August[28].

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[20] Welsh Government Press Release, All adults in Wales offered a vaccine ahead of schedule, 13th June 2021
[21] Welsh Government, Written Statement: Covid-19 Vaccination Progress against Strategy Update, 27th July 2021
[22] CMO advice: 21 day review of COVID-19 restrictions, 5th August 2021
[23] CMO advice: 21 day review of Covid-19 restrictions, 14th July 2021.
[24] Data published on the Cardiff and Vale Vaccination Dashboard on a daily basis.
[25] Welsh Government, Written Statement: Covid-19 Vaccination Progress against Strategy Update, 6th July 2021.
[26] Welsh Government, Written Statement: Covid-19 Vaccination- JCVI announcement on vaccinating children and young people, 19th July 2021
[27] Welsh Government, Written Statement, COVID-19 Vaccination- JCVI announcement on vaccinating Children and Young People, 4th August 2021.
[28] Welsh Government, Press Release, No one left behind as Health Boards work to vaccinate all over 16s, 18th August 2021

2.26 **Brexit**- Between April- August, there have been a series of developments and emerging issues as follows.

2.27 Despite there being a trade deal (Trade and Cooperation Agreement) in place, transition from the EU has not been without its issues. The Northern Ireland Protocol continues to be an area of contention. Although under the Protocol both the UK and EU have agreed that Northern Ireland is no longer part of the EU, it continues to follow many of its rule to avoid there being a hard border between the Republic of Ireland and Northern Ireland. However, this has meant that a new 'regulatory border' has formed between UK and Northern Ireland, with new checks on goods now needing to be carried out on any products entering from England, Scotland, and Wales.

2.28 Some fresh food such as frozen meat, milk, fish, and eggs entering Northern Ireland require further checks at border control posts to ensure they meet EU standards[29]. However, to prevent any further disruption to supplies, supermarkets were granted a 3-month grace period from January to avoid product checks[30]. In March 2021, the UK made the decision to extend this grace period until October 2021 and plans further unilateral moves to make trade easier in relation to parcels and plants[31]. This decision has further exacerbated tensions between the two sides. In addition, there is also a 6-month grace period (separate to the supermarket extension) regarding EU food safety rules for chilled meats entering EU markets from non-member countries (UK)[32]. Under EU safety rules, there are restriction on chilled meats entering the EU market from non-member states, which has the potential again to cause disruption to chilled meat supply chain in Northern Ireland[33]. Under the Protocol terms, this grace period ran out at the end of June[34]. Although talks between the two sides have been held, neither side has come to a consensus. Further discussions at the recent G7 summit between the UK and EU did not yield a resolution to progress this issue[35]. In light of this non-agreement, both the UK and the EU have published its proposals for amending the protocol. The UK's proposal implies the need for a major renegotiation[36], whereas the EU have proposed the need for simplifying some aspects of the Northern Ireland Protocol (which includes assurance for the continued supply of medicines from Great Britain to Northern Ireland[37]. However, the UK Government have said that the EU's proposal does not go far enough to resolve the issues around the protocol and the EU although will not renegotiate the protocol has said that it would consider proposals that respect the principles of the deal. During this time to allow the EU to consider the UK's proposals, the EU announced it would pause its legal action against the UK for alleged breaches of the Protocol[38]

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[29] BBC News,Brexit: What's the Northern Ireland Protocol and why is President Biden concerned?11th June 21.
[30] BBC News, Brexit: What's the Northern Ireland Protocol and why is President Biden concerned? 11th June 21.
[31] BBC News, Brexit: What's the Northern Ireland Protocol and why is President Biden concerned? 11th June 21.
[32] BBC News, Brexit: What's the Northern Ireland Protocol and why is President Biden concerned? 11th June 21.
[33] BBC News, Brexit: What's the Northern Ireland Protocol and why is President Biden concerned? 11th June 21.
[34] BBC News, Brexit: What's the Northern Ireland Protocol and why is President Biden concerned? 11th June 21.
[35] BBC News, G7: PM pledges to protect UK integrity amid EU row, 12th June 2021
[36] BBC News, Brexit: EU pauses legal action against UK over NI Protocol 'breaches', 27th July 2021.
[37] BBC News, Brexit: EU publishes proposals to simplify NI Protocol, 27th July 2021.
[38] BBC News, Brexit: EU pauses legal action against UK over NI Protocol 'breaches', 27th July 2021.

2.29   In addition to the new trade arrangements with the EU, the UK has also made some progress on expanding its trade relationships with other countries. 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].

2.30   On the 15th June, the UK Government agreed a free trade deal with Australia, to eliminate tariffs on goods[39]. An 'agreement in principle' was then published on the 17th June[40]. This has been the first trade deal negotiated from scratch since the UK left the EU[41]. The Government outlined in its press release that the UK-Australia trade relationship was valued at £13.9million last year and it is hoped now that a deal has been agreed this value will grow further[42]. The Government also went on to say that 450 businesses in Wales exported to Australia last year and they envisage this will in particular benefit the life science companies and chemical manufacturers[43].

2.31   There are risks associated with this new trade deal in relation to its impact on many specific sectors and in particular how it could impact Wales. The Government argues that the interests of British farmers will be protected by a cap on tariff-free imports for a 15-year period[44]. However, over time these quotas will increase year on year and after a 15-year period, no quotas will be applied (except for long-grain rice)[45]. There are growing concerns from Welsh farmers of the impact this trade deal will have on their livelihoods. They are concerned that they will be unable to compete in a market of cheaper imports, particularly in relation to Welsh Lamb and beef. There is a particular concern amongst farmers that they will be undercut on price and standards[46]. The Government have attempted to quell concerns by adding that even after a 10-year period if too much produce enters the UK, there will be the option of applying a new tax known as a 'safeguard duty' for a further five years[47]. In addition, there are also concerns that food standards in the UK will suffer as a consequence of the deal. In particular, concerns have been raised regarding the animal welfare and environment and ensuring that these elements are no compromised by the trade deal[48]. Although an agreement in principle is in place, the trade deal is still subject to further scrutiny by the Trade and Agriculture Commission and MPs[49].

2.32   It is hoped that a trade deal with Australia will now open up opportunities for the UK 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. The Government launched its

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[39] Government Press Release, UK agrees historic trade deal with Australia, 15th June 2021
[40] BBC News, UK-Australia trade deal: What are the arguments for and against? 18th June 2021
[41] Government Press Release, UK agrees historic trade deal with Australia, 15th June 2021
[42] Government Press Release, UK agrees historic trade deal with Australia, 15th June 2021
[43] Government Press Release, UK agrees historic trade deal with Australia, 15th June 2021
[44] Government Press Release, UK agrees historic trade deal with Australia, 15th June 2021
[45] BBC News, UK-Australia trade deal: what are the arguments for and against? 18th June 2021
[46] BBC News, Australia trade deal will not hit UK farmers, says Liz Truss, 15th June 2021.
[47] BBC News, UK-Australia trade deal: what are the arguments for and against? 18th June 2021
[48] BBC News, Australia trade deal will not hit UK farmers, says Liz Truss, 15th June 2021.
[49] BBC News, Australia trade deal will not hit UK farmers, says Liz Truss, 15th June 2021.

negotiations with the CPTPP on launched on the 22nd June 2021[50]. The CPTPP is one of the largest free trade areas with a combined GDP worth £9trillion[51]. It is hoped that by joining the CPTPP, it will open up new markets for our service industries and result in lower tariffs on goods we export[52]. The Government predict that exports to these countries are set to increase by £37billion by 2030, equivalent to a 65% rise in trade[53].

2.33 In relation to gaining data adequacy, the UK has been waiting on approval from the EU commission. In the interim period, a 'data adequacy bridge' was put in place for the 6months following the end of the transition period (that ended in June).

2.34 On the 28th June, the European Commission adopted the two data adequacy decisions for the UK (General Data Protection Regulation, GDPR and the Law Enforcement Directive)[54]. With immediate effect, personal data can continue to freely flow between the EU and the UK[55]. The adequacy decision now includes a 'sunset clause' that limits the duration of the decisions[56]. This will mean the adequacy decisions will expire four-years after coming into force[57]. This will mean the UK will need to seek renewal at the end of this term[58]. However, the adequacy decisions will be subject to ongoing review, as the Commission intends to monitor any legal developments that could deviate the UK's data protection systems away from EU standards[59]. The Council will continue to maintain a watching brief on these developments in terms of any changes to the above and any potential repercussions.

2.35 The deadline for EUSS applications was 30th June 2021. The EUSS guidance was originally published in December 2020, but the guidance was recently updated on the 10th June to take account of the disruption caused by the Pandemic and it outlines how applications will be considered by individuals who have been absent from the UK and were unable to apply via the scheme by the deadline due to the Covid-19 pandemic. As outlined in the guidance these individuals will still be able to apply through the scheme. Any applications that missed the deadline for this reason, will have their rights assured whilst their application is being considered. Also, anyone who applied by the deadline who has yet to receive notification of status, their rights will also be maintained until their status is determined. To account for any determination delays, the Government will make available a certificate of application that can be used as evidence to confirm that the citizen has applied through the scheme and their rights are assured. However, there are concerns that many EU citizens living in the UK are unaware that children need to apply to stay. Concerns have been raised by some

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[50] Government Press Release, Britain launches negotiations with £9trillion Pacific free trade area, 21st June 2021
[51] Government Press Release, Britain launches negotiations with £9trillion Pacific free trade area, 21st June 2021
[52] Government Press Release, Britain launches negotiations with £9trillion Pacific free trade area, 21st June 2021
[53] Government Press Release, Britain launches negotiations with £9trillion Pacific free trade area, 21st June 2021

[54] European Commission, Press Release, Commission adopts adequacy decisions for the UK, 28th June 2021
[55] European Commission, Press Release, Commission adopts adequacy decisions for the UK, 28th June 2021
[56] European Commission, Press Release, Commission adopts adequacy decisions for the UK, 28th June 2021
[57] European Commission, Press Release, Commission adopts adequacy decisions for the UK, 28th June 2021
[58] European Commission, Press Release, Commission adopts adequacy decisions for the UK, 28th June 2021
[59] European Commission, Press Release, Commission adopts adequacy decisions for the UK, 28th June 2021

charities that they have noticed there is a lack of awareness amongst some individuals regarding the need to apply for settled status for their children[60]. However, up to the 30th June, the Home Office data has shown that 98,600 had applied via the EUSS scheme in Wales[61]. The Home Office continues to accept late applications, provided they meet the acceptable grounds as outlined on their [website](). The other emerging area of risk at the local government level, is following the end of the EUSS scheme how do Councils ensure that they can uphold the rights of citizens) to access our services. The primary concern being continuation/access to services/support for EU/EEA nationals that did not apply via the EUSS scheme within the designated timescales. This is an emerging area of risk that will in due course require further clarification to ensure that citizens under the arrangements are not invertedly denied their rights and access to services.

2.36 In light of the transition period coming to an end and in acknowledgement that many of the initial issues/concerns arising from Brexit may have changed or moved on, a full review of this risk is underway to explore the impact Brexit is having on service areas at this point in time. This information is currently being collating to inform identification of any further associated risks and/or mitigating actions that may need further consideration. An update on this work will be presented with the next Risk Register update.

2.37 The impact of the COVID and Brexit developments as highlighted above, will be taken into consideration when reviewing the Risk Register for quarter 1 2021/22. New mitigations identified through the Brexit Review will be reflected in the Brexit Risk Management Plan for the quarter 2 period.

2.38 Attached at **Annex A** is the **Quarter 4 Risk Summary Report**. **Annex B** provides the complete **Corporate Risk Register**.

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

3.1 Risk Management is an intrinsic part of corporate governance and integrated business planning which underpins the delivery of the Council's Corporate Plan and its Well-being Outcomes. Our Corporate Plan has been structured around the Well-being of Future Generations (Wales) Act 2015, through the development of four Well-being Outcomes and eight Well-being Objectives. By aligning our Well-being Outcomes in the Corporate Plan with the Well-being Goals of the Act, this will enable us to better evidence our contribution to the Goals.

3.2 Corporate Risks are considered in the context of the Well-being of Future Generations in terms of their potential impact on our ability to deliver /meet the Well-being Goals. The multi-faceted nature of risk means they have the potential to impact on how we deliver our priorities within the Corporate Plan and ultimately impact on our ability to meet/deliver on the Well-being Goals. A failure to identify the different facets of risk and mitigating actions using the five

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[60] BBC News, Brexit: [‘EU citizens in Wales unaware children need to apply to stay’](), 30th July 2021
[61] Home Office, [EU Settlement Scheme Statistics](), Updated 2nd July

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

None.

VALE OF GLAMORGAN COUNCIL

CORPORATE RISK SUMMARY REPORT

QUARTER 4 APRIL 2020- MARCH 2021

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 fourth 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 risks on the Register, demonstrating its cross-cutting impact. We anticipate that there will be some further movement in risk scores over the coming months as repercussions of COVID continue to be felt. **(See Section 2)**

Direction of Travel:
- All risks on the Register have maintained their static position on the Register.

Forecast Direction of Travel (See section 2):
- The forecast direction of travel for risks on the Register have predominately remained the same. Both the waste and integrated health and social care risks continue to be forecast to drop, whilst environmental sustainability and welfare reform are still anticipated to continue to rise over time.
- The main shift changes in forecast direction of travel over the last quarter have been in relation to Brexit, COVID and Reshaping that are forecast to move from their upward trajectory to a more static position. Both Safeguarding and WCCIS are anticipated to move from their forecast static position towards an upward trajectory, whilst the Information Security risk is forecast to move from its previous downward position to a static position.
- **Information security risk-** Although the Advanced Threat Protection (ATP) software (also known as Microsoft Defender), has been effective at reducing some of the risks associated with information security, over the past quarter there has been an increase in the numbers of ransomware attacks experienced by local authorities. Globally ransomware attacks are on the rise, and more recently the UK has experienced a dramatic increase in these types of threats. Ransomware attacks are a very specific type of threat for which the existing ATP control cannot provide sufficient protection alone. As a consequence, it is forecast that this risk score will remain static at a score of 6 (Medium) in the current threat landscape, and it has the potential to increase further if this unique type of threat is not addressed going forward. In response to this emerging aspect of the risk, a business case has been developed for consideration by the Information Governance Board that will enable us to enhance our ransomware protection. The service is confident that through adopting this additional control it will further strengthen and reinforce effective mitigation against cyber-attacks.
- **Waste-** Although the pandemic has hindered some progress in rolling out our transformative waste agenda, the service has continued to maintain momentum in delivering its waste agenda. The roll out of the new Waste Blueprint was successfully completed in October 2020, but the roll out of source segregation in Penarth is dependent on the completion of the Waste Transfer Station. As a consequence, the commencement of source segregation in Penarth is unlikely to occur until Spring/Summer 2022. It is anticipated that the Waste Transfer Station will take approximately 9 months to build and it is subject to conditions that will be set out in the Environmental Permit application as well as several planning conditions that will need to be actioned simultaneously with construction. Planning permission was granted on the 26th May 2021. As the impetus of this work moves forward, we forecast that we will see a continued

reduction of this risk to more acceptable levels. It's unlikely 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 disrupt and impact on some aspects of progress associated with this agenda. Given the ongoing concerns associated with COVID and our focus on COVID-specific recovery it is likely that this will continue to affect the risk in maintaining its medium status (6). During the last quarter, we have drawn on our experience and learning from the Pandemic and used this to inform our planning for the implementation of the next phase of integration project work over the next 12 months. Now that we have received confirmation of transformation funding into 2021-22, we are more confident that we will have the financial resources available to continue our implementation of this project work into 2021/22. Although, COVID has significantly impacted on our workforce capacity to progress our integration work, we remain optimistic that this will lessen over time. We anticipate that the forecast direction of travel will decrease over time once we begin to see an easing of lockdown restrictions and the return of repurposed staff to their substantive roles. We anticipate that this will give us the capacity to resume our project work and fully progress the integration agenda once again.
- **Environmental Sustainability**- This risk has maintained its upward trajectory to reflect that the pressures associated with climate change will continue to escalate over time. This upward trajectory also reflects the effects of the flooding issues that were experienced in some parts of the Vale during quarter 3 (see more detailed update on the flooding issues in the next section below).
- Project zero sets out the Council's Commitment to reduce its own carbon emissions to net zero by 2030 and recognises the Council's role as a community leader to drive and influence changes that will impact on the environment. Following extensive consultation, work has progressed during the quarter to produce a Climate Change Challenge Plan. This Challenge Plan details the 18 challenges we face in relation to climate change and sets out a series of actions we intend to take to address these challenges. The Climate Change Challenge Report is subject to approval by Cabinet on the 5th July. Once approved, the work programme associated with this plan will then progress. A more detailed overview of our progress with Project Zero and the Climate Change Challenge Plan is outlined in a [scrutiny report](#) on the 15th June 2021. Taking these factors into account it is forecast that this risk will continue to maintain its upward direction of travel.
- **Welfare Reform –** It is forecast that this risk will 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.Over the past 12 months, there has been a significant impact on residents across the Vale of Glamorgan, which has been reflected in the number of families requiring support and advice. Consequently, our services have had to adapt to meet this change in demand. A detailed analysis of welfare reform and the impact of the Pandemic are explored in a [scrutiny report](#) on 16th June 2021.
- **Safeguarding**- The nature of this risk has changed as the pandemic has impacted on children and young people and adults at risk of abuse and or sexual exploitation. Children and young people have been at high risk during the pandemic, 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. Adults with care and support needs who may have been shielding have typically felt more isolated as they were not able to access face to face services in the usual way, and as a consequence are at a greater risk of abuse or neglect. 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. We have forecast that this risk is likely to increase over time, as there is the concern that the impact of COVID-19 and the associated restrictions will contribute to a surge in demand for both children and young people and adult services. It is anticipated that the rise in demand coupled with pressure on our existing workforce capacity to recruit and retain staff (particularly within Children and Young People Services) is likely to drive the change in this risk status. Our observations indicate that we are seeing a greater severity of cases, some of which are domestic violence related. In addition, there is the emergence of a greater complexity of cases which are presenting as multi-layered issues often linked to relationships, finance, and housing issues. The monitoring of this risk will be kept under ongoing review and any subsequent changes to the risk will be reflected in the Register.

- **WCCIS**- It is forecast that this risk has the potential to rise in relation to the resource and service delivery and wellbeing aspects of the risk. This is due to the emergence of some performance issues nationally that have been identified with the system. To ensure that an accurate position regarding the performance of the system is maintained, we continue to report in any issues we identify locally so that they can be investigated and escalated by the WCCIS Senior Management Board that made up of representatives from the Welsh Government and other authorities using the system. The identified performance issues are currently being taken forward by the WCCIS Senior Management Board in discussion with the provider Advance. We will continue to maintain a watching brief on the developmental issues associated with WCCIS and we will undertake a review the risk scoring during the next quarter (quarter 1).

- **Brexit-** It is forecast that this risk will maintain a heightened static position over the next few months now that the transition period has come to an end and to reflect the changes in relation to our immigration policy and the forthcoming deadline for EU/EEA residents to apply for 'settled status' via the EUSS scheme. A more detailed analysis of the quarter 4 position is outlined in the next section.

- **COVID-19-** It is forecast that this risk is likely to maintain a heightened static position to reflect that although the situation regarding COVID is being closely monitored and managed, it continues to pose a significant threat to the Council due to the unpredictable nature of the virus. With a second wave of infections over the winter period, this exacerbated existing winter pressures in hospitals, and put the NHS under enormous pressure as numbers of hospital admissions rose rapidly. A further lockdown was introduced at the end of quarter 3 (December) into quarter 4 to enable us to suppress the R value[1] and growth rate[2] of COVID. A more detailed position on the quarter 4 position is outlined in the next section.

- **Reshaping Services-**We anticipate that this risk is likely to maintain a static position at a medium/high risk status over the forthcoming year, as a result of the impact the pandemic has had on our communities and increased demand it has placed on our services. As a result, this continues to present as a risk to the delivery of the Reshaping Services programme. The Reshaping Programme has now taken on a more holistic approach that incorporates three key aspects of transformation in relation to our communities, our work and our resources which includes the key elements of our Recovery Strategy and its priorities. Our Reshaping Programme is also integral to our Corporate Plan delivery. By synthesizing this together with the Reshaping Programme, it puts us in a much stronger position to be able to effectively deliver transformation in line with our commitments of the Corporate Plan and in response to

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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 is changing on a day to day basis. It provides an approximation of the rate any epidemic is growing/speed of change.

our learning from the Pandemic. Other corporate risks also have an interrelationship with Reshaping Services risk, thus effective risk control of these other corporate risks could potentially help to control and have diminishing effect on the Reshaping risk.

Risk Management Plans:

- Overall good progress has been made during quarter 4 in relation to the actions associated with the Risk Management Plans across all aspects of the Register.
- In total there are 136 mitigating actions currently being monitored via the Register, the majority of which are also aligned to a Corporate Plan activity. During quarter 4, we have been able to assign a RAG status to 135 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 4, a total of 64% actions (87) were completed and 36% (48) actions were allocated a red status for slippage. For several actions, COVID was quoted as a contributory reason for any slippage. A full breakdown of these individual exceptions along with a rationale is provided in **Section 6**.

Emerging risks and issues:

COVID-19 (Coronavirus)

- Throughout the quarter 4 period, the pandemic continued to pose a significant challenge to our capacity and resources as an organisation.
- As well as responding to the evolving challenges of the pandemic, we have continued to focus on our planning for recovery. During quarter 4, our Annual Delivery Plan (that included a series of COVID-related recovery priorities) was ratified by Cabinet. The Annual Delivery Plan is the primary mechanism through which both our Corporate Plan commitments and our Recovery priorities will be delivered during 2021/22.
- 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 4 period, lockdown restrictions in Wales had been re-instated in order to gain control over rising rates of coronavirus infections. Rates of Coronavirus infections began accelerating following the Christmas period and by January infection rates were rapidly rising. This spike in infections was attributed to the emergence of a highly infectious new variant (known as the Alpha/Kent variant) that became the most dominant variant in the UK at the time. The rate of new cases in the Vale of Glamorgan reached a peak of 378 cases per 100,000 population (for the 7-day period between 4th to 10th January 2021), which placed us higher than our neighbouring Cardiff.[3] There was also a high positivity rate for tests at 20.4%[4]. This surge in infection rates was a pattern seen across the rest of Wales and the UK. As a result, of rising infection rates, level 4 restrictions remained in place throughout quarter 4. This saw the return of home schooling for the majority of children in both primary, secondary, and higher education. It also saw the complete shutdown of the hospitality and retail sectors.
- The vaccine programme in Wales commenced on the 8th December. Since then significant progress has been made in accelerating the vaccination programme. The ambition of the programme has been to vaccinate the Cardiff and Vale population as quickly as possible. In order to achieve this, it has required the adoption of a multi-faceted approach through a mixed model of delivery. This model comprises of mobile teams for those house-bound, mass vaccination centres, GP practices and healthcare 'hubs'[5].

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[3] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area,
[4] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area
[5] Cardiff and Vale Health Board, Covid-19 Vaccination: Programme Update 29th March 2021.

- Cardiff and Vale University Health Board administered their highest daily vaccination on 30th January with 3,694 vaccinations given to priority groups[6]. By concentrating our efforts on collaborating with our health partners to support the planning and co-ordination we were able to ramp up delivery of vaccination to the highest priority groups that included care home residents and staff, frontline NHS workers, those aged over 70 and the most clinically vulnerable. By the beginning of February 2021, all older adult care home residents and staff were successfully vaccinated or offered an appointment in the Vale of Glamorgan with further catch ups sessions for those residents or staff who were unable to be vaccinated due to an outbreak situation[7]. Significant progress was also made in second dose administration across all our older adult care homes by the end of March, to ensure that our most vulnerable group have been fully vaccinated. As at 23rd March 36 care homes in the Vale of Glamorgan received second dose administration[8]. Quarter 4 (8th February) also saw the opening of another mass vaccination centre in Barry that increased capacity to vaccinate priority groups as quickly as possible[9].

- Wales was the first UK nation to offer a Covid vaccine to all of its top priority four groups[10]. Within Cardiff and the Vale, this target was reached by early February[11]. As at 15th February, the vaccination was offered to every Cardiff and Vale resident in priority groups 1-4 with 96,503 receiving their vaccine (accounting for 89% of the cohort)[12]. Following on from this success, in February 2021, the Welsh Government updated their targets in relation to vaccine delivery and committed to offering a vaccine to all priority groups (groups 1-6) by the middle of April and to the wider adult population by the end of July[13]. Despite an anticipated temporary reduction in supplies due to the national supply chain, the vaccination programme quickly regained pace. By mid-February, our mass vaccination site in Barry began vaccinating priority 6 groups aged 16-64 with underlying health conditions and the mobile vaccination teams had vaccinated the majority of housebound patients aged 70 and over[14]. As at mid-February, GP practices across the Vale had offered appointments to all priority 3 groups (aged 75-79) and continued to make good progress in vaccinating priority group 5 (65-69)[15].

- During March, a new online form was launched to enable unpaid carers to identify themselves to request a vaccine, as part of the Joint Committee on Vaccination and Immunisation (JCVI) priority group 6[16]. By the end of March, a further mass vaccination centre became operational, the Bayside Mass Vaccination Centre at Cardiff International Sport Village that opened on 25th March 2021[17]. Vale of Glamorgan Officers played a pivotal role working in partnership with the Health Board to set up and co-ordinate the opening of the centre. By 30th March, the vaccination programme delivered a total of 255, 455 vaccines to residents in Cardiff and the Vale of Glamorgan, with 190,050 receiving first doses and 62,395 receiving both doses[18]. This means a total of 46% of the total adult population had received their first dose and 15% of the adult received both doses by the end of March[19].

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[6] Cardiff and Vale Health Board, Covid-19 Vaccination: Programme Update 1st February 2021.
[7] Cardiff and Vale Health Board, Covid-19 Vaccination: Programme Update 1st February 2021
[8] Cardiff and Vale Health Board, Covid-19 Vaccination: Programme Update, 23rd March 2021.
[9] Cardiff and Vale Health Board, Covid-19 Vaccination Programme Update, 8th February 2021
[10] BBC News article, Covid: Wales 'first in UK to hit February vaccine target'. 12th February 2021
[11] Cardiff and Vale Health Board, Covid-19 Vaccination Programme Update, 15th February 2021
[12] Cardiff and Vale Health Board, Covid-19 Vaccination Programme Update, 15th February 2021
[13] Welsh Government Press Release, Earlier Covid vaccine target dates and new prioritisations confirmed for Wales. 26th February 2021
[14] Cardiff and Vale Health Board, Covid-19 Vaccination Programme Update, 15th February 2021
[15] Cardiff and Vale Health Board, Covid-19 Vaccination Programme Update, 15th February 2021
[16] Cardiff and Vale Health Board, Covid-19 Vaccination Programme Update, 5th March 2021
[17] Cardiff and Vale Health Board, Covid-19 Vaccination Programme Update, 23rd March 2021
[18] Cardiff and Vale Health Board, Covid-19 Vaccination: Programme Update 29th March 2021.
[19] Cardiff and Vale Health Board, Covid-19 Vaccination: Programme Update 29th March 2021.

- As the roll out of the vaccination programme gathered pace and the impact of restrictions began to have a positive effect on reducing infection rates, the Welsh Government began to take its first tentative steps towards easing restrictions. Initially this began (from the 13th March) with the reopening of outdoor sports facilities, the reinstatement of care home visits with one designated visitor and the ability of up to four people from two households to meet outdoors[20]. This was then followed by the reopening of schools to all primary pupils and those in qualification years from the 15th March with all learners returning to school after the Easter break[4]. It also saw the reopening of hairdressers and barbers by appointment[4]. It wasn't until 22nd March that Garden Centres reopened and essential retailers that remained open could begin to sell non-essential goods[4]. With the improving picture in Wales, the First Minister went on to announced on the 27th March further easing of restrictions that included the reopening of self-contained accommodation and the lifting of the 'stay local' rule in Wales[21]. This heralded the start of Wales moving towards level 3. Following on from this, the Welsh Government later confirmed the return of all learners to school, the reopening of non-essential retail and the lifting of travel restrictions out of Wales on 12th April[22].
- Based on the above developments, it is recommended that this risk maintains its medium/high status (8). It is forecast that this risk is likely to remain static going forward taking into account the exceptional progress that continues to be made with the vaccination programme. It is unlikely that we will see any significant shift change in this risk until at early summer 2021 (Quarter 2), when it is hoped further progress will be made in vaccinating the rest of the population with first does and a significant proportion of second doses have been administered to most of the JCVI priority groups.

Brexit-
- Quarter 4 marked the start of a very different trading relationship between the UK and EU. Although the UK left the European Union on the 31st January 2020, there was a transition year that allowed for negotiations on a new trading agreement. After months of negotiating, a post-Brexit trade deal was announced on 24th December 2020[23]. The new trade agreement defines how we live, work and trade with the EU and came into force on 1st January 2021.
- Some of the key changes from the 1st January 2021 are summarised below:
- **Changes to travel to the EU**- From the 1st January 2021, UK nationals can only travel without a VISA to Schengen area countries[24] for up to 90 days in any 180-day period and have at least 6 months left on their passports.
- **Right to remain**-In terms of residency, the rules have significantly changed. For UK nationals already living in an EU country, they will have a certain level of protection under the withdrawal agreement. However, for UK nationals wishing to move to the EU in 2021, there will no longer be the automatic right to remain and instead a VISA will be required. In relation to EU citizens wishing to live in the UK, there is the 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. However, those who don't reside in the UK before the 31st December 2020 deadline will be required to apply via the new points-based system that is in place.
- **New trading arrangements**-In terms of trading, the UK and EU agreed as part of the new trade agreement, there will be no tariffs on goods between UK and EU and vice versa when they cross borders and with no limitations on the amount of goods that can be traded[25]. Although, tariff-

[20] Welsh Government Press Release, Stay local- Wales takes first steps out of lockdown. 12th March 2021
[21] Welsh Government Press Release, Wales' tourism sector starts to reopen as restrictions are relaxed. 25th March 2021
[22] Welsh Government Press Release, COVID-19 restriction relaxations in Wales brought forward. 8th April 2021
[23] BBC News, UK and EU agree post-Brexit trade deal. 24th December 2020.
[24] Schengen area countries include most EU nations and Iceland, Norway, Switzerland and Liechtenstein.
[25] BBC News, Brexit: Seven things changing on 1st January. 28th January 2021,

free trade has been agreed it is not without its complications, as all products/goods are subject to customs declarations with additional safety checks at borders. Although, the UK government have delayed for 6 months the imposition of full controls, the EU have carried out their checks from the 1st January[26]. The only exception to the rule regarding trade is Northern Ireland, where the Northern Ireland Protocol has been put in place. Under this Protocol, both the UK and EU have agreed that an 'invisible border' without check points be established. This means that although Northern Ireland is no longer part of the EU it will be subject to many of its rules[27]. This means no lorries driving across the land border between Ireland and Northern Ireland will be inspected, however any goods/products arriving in Northern Ireland from the UK will be subject to a 'regulatory border' whereby there is the need for checks/inspections on goods/products[28]. In particular, food products arriving from the UK in Northern Ireland will be subject to checks to ensure compliance with EU standards

- **Data sharing arrangements**- in relation to data flows, the UK is no longer 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 applied for a data adequacy decision[29].

- **Funding arrangements**- There are 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, after which EU structural funds will gradually tail off by 2022-23. The UK Government is due to launch a Shared Prosperity Fund (SPF) in 2022 to replace the EU structural funds. The Shared Prosperity Fund 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'[30] Prior to its launch, the UK Government announced in 2020 as part of its spending review a new Levelling Up fund. This levelling up fund will be targeted at communities where there are economic inequalities and will take the form of a Community Renewal Fund (UKCRF), a Community Ownership Fund and a Towns Fund alongside other programme developments. In particular the Community Renewal Fund will provide local areas with access to additional funding as they prepare for the launch of the Shared prosperity fund in 2022. The UKCRF provides funding following the departure of EU structural funds and prior to the commencement of the new Shared Prosperity fund. When the EU structural funding ceases, the Shared Prosperity Fund (SPF) will then succeed them, but the SPF will be distinct and complimentary to the Levelling Up fund.

- Although having a trade deal has mitigated against some of the risks associated with Brexit it has not diminished all of them. Following the end of the transition period (quarter 4), there are a number of policy areas where tensions and complications have arisen and subsequently a number of risks remain.

- Summarised below are some of these issues and areas of risk.

- **Supply chain disruption**- Although, the UK decided to delay most customs check for the first 6 months to allow people and businesses to get used to the changes, the EU have not made such allowance and commenced their checks and paperwork inspections from the 1st January. Since 1st January 2021 there have been additional customs and safety checks at the border (for goods/products being exported from the UK to the EU), with aspects of supply chain disruption being widely reported across the media. Supply chain disruption was the result of delays at port for additional check or paperwork being incomplete or incorrect. This has been

[26] BBC News, Brexit: Seven things changing on 1st January. 28th January 2021,
[27] BBC News, Brexit: What's the Northern Ireland Protocol and why is President Biden concerned? 11th June 2021,
[28] BBC News, Brexit: What's the Northern Ireland Protocol and why is President Biden concerned? 11th June 2021
[29] BBC News, Brexit: What's the Northern Ireland Protocol and why is President Biden concerned? 11th June 2021,
[30] European Structural Funds after Brexit: the UK Shared Prosperity Fund. Institute for Government accessed on 23rd June 2021.

a particular problem for perishable goods such as fish, meat and cheese where additional checks and health certificates are required[31]. In some instances, it has been reported that food has either not left the UK or has rotted at the borders. In response the UK Government set up a £23m fund to help compensate in particular fishing businesses for any losses[32]. By contrast there has not been significant disruption to medical supplies as first anticipated with only minor exceptions. However, there has been significant disruption to supplies reported in relation to Northern Ireland most notably in relation to fresh produce reaching supermarkets and this was despite a 3-month grace period where the EU's usual heck were not being applied[33]. This was partly due to some British firms not being prepared for the new processes and requirements in order to transport products/goods to Northern Ireland[34]. This resulted in supermarkets looking to source products more locally or from the Republic of Ireland[35].

- In the three months following the end of the transition period, the Vale of Glamorgan had not experienced such levels of disruption in food supplies as experienced elsewhere. The Council had taken steps prior to January 2021 to review and gain assurance from their food supplies for schools and for residential care homes. However, an area of risk that has more recently emerged is in relation to a scarcity of building supplies. The Pandemic has driven up demand for building materials and Brexit has also disrupted the supply chain, as 80% of the UK's timber comes from the EU[36]. As a consequence, the price of materials has significantly increased. The Office for National Statistics has projected a rise of 7-8% in material prices and there are increased for other materials such as timber that are anticipated to double over the coming year[37]. Scarcity of materials and rising costs is an issue that has begun to have an impact on Neighbourhood Services teams, Housing Services and our 21st Century School programme in terms of regeneration and infrastructure projects, house building, housing repairs and 21st Century school builds. This is an area of risk that the Council will maintain a watching brief on and in particular will monitor any rising cost pressures and impact this may have on programme/project delivery.

- **EUSS scheme applications**-There is a requirement for any EU/EEA citizens to apply for settled status 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 indicate that a total of 1,870 EUSS applications had been made up until end March 2021 for those residing in the Vale of Glamorgan. Based on the ONS population estimate this would suggest well over half of all EU eligible citizens have now applied for settled status. However, as the ONS population data is an estimate it is difficult to tell whether since Brexit numbers of EU/EEA residents have increased/decreased, but the data does indicate that there are still some eligible residents yet to apply.

- There is the risk that there continues to be some groups of people that the Council finds 'hard to reach' individuals that have not yet applied. In the lead up to June deadline, to mitigate this the Council focused on its messaging on promoting and raising awareness of the EUSS scheme via its main digital and social media channels. The Council has worked in conjunction with CAB to deliver EUSS awareness raising Webinars to frontline staff who are most likely to come into contact with 'hard to reach' groups. For example, during March two webinars were delivered to our housing and homelessness teams as well as other key partners that included Newydd, Hafod, Atal Y Fro, Taff Housing, Llamau and the Wallich. The purpose of these webinars is to

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[31] BBC News, Brexit: How much disruption has been so far? 1st February 2021
[32] BBC News Brexit: How much disruption has been so far? 1st February 2021,
[33] BBC News, Brexit: How much disruption has been so far? 1st February 2021
[34] BBC News, Brexit: Problems in first week of post-deal GB-NI trade 6th January 2021
[35] BBC News, Brexit: How much disruption has been so far? 1st February 2021
[36] BBC News Building projects hit by lack of supplies and price rises. 26th May 2021
[37] BBC News Building projects hit by lack of supplies and price rises. 26th May 2021

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.

- **Data flows-** Another area of risk post-transition, is access to data/information that is held/stored by a Third-Party Company/provider on our behalf in an EU Country. On 19th February 2021, the European Commission published its draft decisions on the UK's data adequacy and has concluded that the UK to be 'adequate' in terms of its data controls. Although the initial risk regarding disruption to data flows has somewhat diminished a residual risk still remains, as the draft decision still needs to be considered by the European Data Protection Board and a committee of 27 EU Member Governments for approval[38]. In the event the committee does not approve the draft decision, then any transfers from the EEA to the UK will need to comply with EU GDPR transfer restrictions[39] which has the potential to cause some data flow disruption. The ICO recommends that appropriate safeguards are put place in the event that the draft decision is not approved[40].

- To gain assurance of our data systems, the Council has undertaken 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. Findings from this exercise have not flagged vulnerabilities regarding our Data Flows. Some further follow up investigation is required for a small number of areas before a final judgement can be made. It is anticipated that this work will be fully completed, and any appropriate mitigations identified in time for any final data adequacy decision.

- **Funding-** Some key areas of residual risks remain in relation to ongoing financial support for projects in areas that have previously benefited from EU funding. One of the primary concerns has been the short time frame that has been provided to local authorities to submit bids for the Levelling Up fund. The guidance on accessing funding was not released until March 2021 with a first-year bid deadline of 18th June 2021. This has given local authorities little time to prepare and submit funding bids. The fund itself will be considered by the UK Government through a bidding process, with no guarantee of success. In addition, the UK Government has used a prioritisation methodology to rank local authorities in terms of need. Although the Vale of Glamorgan has been ranked as a Priority 2 area for Levelling Up fund purposes it falls outside the top 100 areas for Community Renewal funding.

- The UK government wants to see one large project in one location. Although this presents an opportunity for Barry, other communities, and businesses in other areas the Vale that have been able to access EU capital funding will no longer be able to do so. There is the potential risk that as the Vale of Glamorgan features lower down in the priority list for Community Renewal funding that the chances of being successful are reduced. Local Authorities are due to receive £125,000 in revenue funding to support project development and this has yet to be received. Despite these concerns, the Council is taking a proactive stance in ensuring that it keeps up to date with latest developments regarding the Levelling Up fund and Shared Prosperity Fund. We continue to lobby and have conversations with Welsh Government Officers to ensure that the Vale of Glamorgan is no worse off as a result of leaving the EU.

- During quarter 4, the Council has also made good progress in undertaking preparatory work in readiness for submission of a funding bids for the levelling up programme in 2022. The level of detail needed in round 1 and the short timescales has meant that many Councils have taken the decision to work up better, more detailed bids for future rounds.

- 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

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[38] Information Commissioner's Office Website: Data protection now the transition period has ended.
[39] Information Commissioner's Office Website: Data protection now the transition period has ended.
[40] Information Commissioner's Office Website: Data protection now the transition period has ended.

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.

- Considering some of the above implications and the uncertainty associated with Brexit and the implications arising from post-transition, it is recommended that this risk retains it medium/high status (8) and a static forecast direction of travel.

Overview of flooding (Linked to environmental sustainability risk)

- A key driver of the environmental sustainability risk is climate change and flooding is just one aspect associated this risk. As the culmination of climate change is felt globally, this has the potential lead to higher levels of precipitation and in turn flooding as a result of an overflow of inland waterways such as rivers and streams and or tidal waters. The consequence of flooding incidents can be devasting to individuals and communities. For the purposes of this risk update, the analysis will focus on the most recent flooding event on 23rd December 2020 that caused internal flooding for many residential and business properties throughout the Vale of Glamorgan. It will also provide an overview of the current position, what actions have been taken in response (including any ongoing investigations) and how lessons learnt will be applied to minimise the risk of flooding in the future.

- The flooding incident on 23rd December 2020 was due to an extreme rainfall incident where approximately 33 mm of rain fell over an 11-hour period. As a result of this, several residential and business properties experienced internal flooding to properties across the Vale of Glamorgan. The most adversely affected areas were Dinas Powys, Sully and Penarth as well as other surrounding areas to less of a degree. It is estimated that in excess of 100 properties/businesses experienced internal flooding damage as a result.

- Following this event on 23rd December, the Council in line with its duties under Section 19 of the Flood and Water Management Act 2010 (FWMA) has a duty to investigate and report of flood incidents that results in the production of a Section 19 flood investigation report. Details of the Council's duties and responsibilities regarding flooding incidents is accessible via the Council's website and further information is also outlined in the Local Flood Risk Management Strategy.

- In terms of what led to the flooding event, initial investigation findings indicate this was due to an excessive rainfall incident which occurred on already saturated land that in turn led to high levels of surface water runoff that put pressure on existing built and natural drainage unable to manage the extreme flow of water over that 11 hour period.

- As part of our emergency response, the Civil Protection Unit activated the emergency room at the Alps Depot to help co-ordinate our response and to ensure effective liaison and co-ordination with our partner organisations including South Wales Police and South Wales Fire Service. Incidents being reported were prioritised in terms of our response.
  In the aftermath of the flooding incident in December, a series of actions have been progressed:
    1. Additional resources were allocated to inspect and where necessary cleanse all highway areas affected by flooding. In terms of immediate response, the Council provided over 1,300 sandbags and 64 skips to helps residents and regular updates regarding the situation were posted on our website and social media channels.
    2. Officers have worked in partnership with Natural Resources Wales and Welsh Water to progress the investigation of the incident.
    3. Meetings have been held with both Dinas Powys and Sully Ward members to discuss the flooding event and provide detail on the Council response and the ongoing investigation.

4. Supplied water disposal facilities for all household items damaged by the floods in the worst affected areas. Skips were located in specific areas to enable residents to dispose of damaged household items. The Council also arranged collections of bulky white goods that could not be placed in skips to those households adversely affected.

5. Due to the ongoing challenges associated with Covid-19, this impacted on our ability to investigate incidents affecting residents face to face, so much of this was conducted via letters and the issuing of flood incident reporting forms. As at quarter 4, the true scale of the flooding event was still under investigation. As at February, feedback from these letters confirmed that there were 39 case of internal property flooding within the Vale (including 3 businesses and a Church). It is anticipated that this figure is likely to rise in excess of 100 properties once the full scale of the incident is reported.

6. The Council has appointed a specialist independent consultant to technically assist officers in the production of the Section 19 report, which is due to be completed for both Sully and Dinas Powys by quarter 2 (July). It will then be submitted to Welsh Government for consideration and a further report will be presented to Cabinet in due course to provide and update on the findings from the report. The Section 19 report will conclude any lessons learnt when it is published. The lessons learnt from this event will be used to inform the identification of any further mitigations required in future to further manage flood risks in Vale.

- The flooding incident had a devasting impact on residents and local businesses that were affected by internal flooding coupled with this was the pressure this also put on our Council's resources to effectively respond to the incident, manage the investigations and support our local communities. This in turn impacted on other aspects of the council's work programme and projects.

- A more detailed update of the flooding event on 23rd December is detailed in a Cabinet report that was presented on 8th February 2021.

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[41]	Forecast Direction of Travel[42]
				Likelihood	Impact	Total		
1	Reshaping Services	9 (M/H)	4 (M)	2	2	4 (M)	↔ static	↔ static
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	↔ static
7	Environmental Sustainability	12 (H)	4 (M)	2	3	6 (M)	↔ static	↑ increasing
8	Welfare Reform	12 (H)	4 (M)	2	3	6 (M)	↔ static	↑ 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	↑ increasing
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	↑ increasing
14	Brexit	12 (H)	2 (M/L)	3	3	9 (M/H)	↔ static	↔ static
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	↔ static

[41]**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.

[42] **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 4 shows that the greatest number of risks continue to congregate at a medium status.
- Additional Learning Needs, Brexit, Deprivation of Liberty Safeguards, Waste and COVID-19 risks have maintained their Medium/High status.
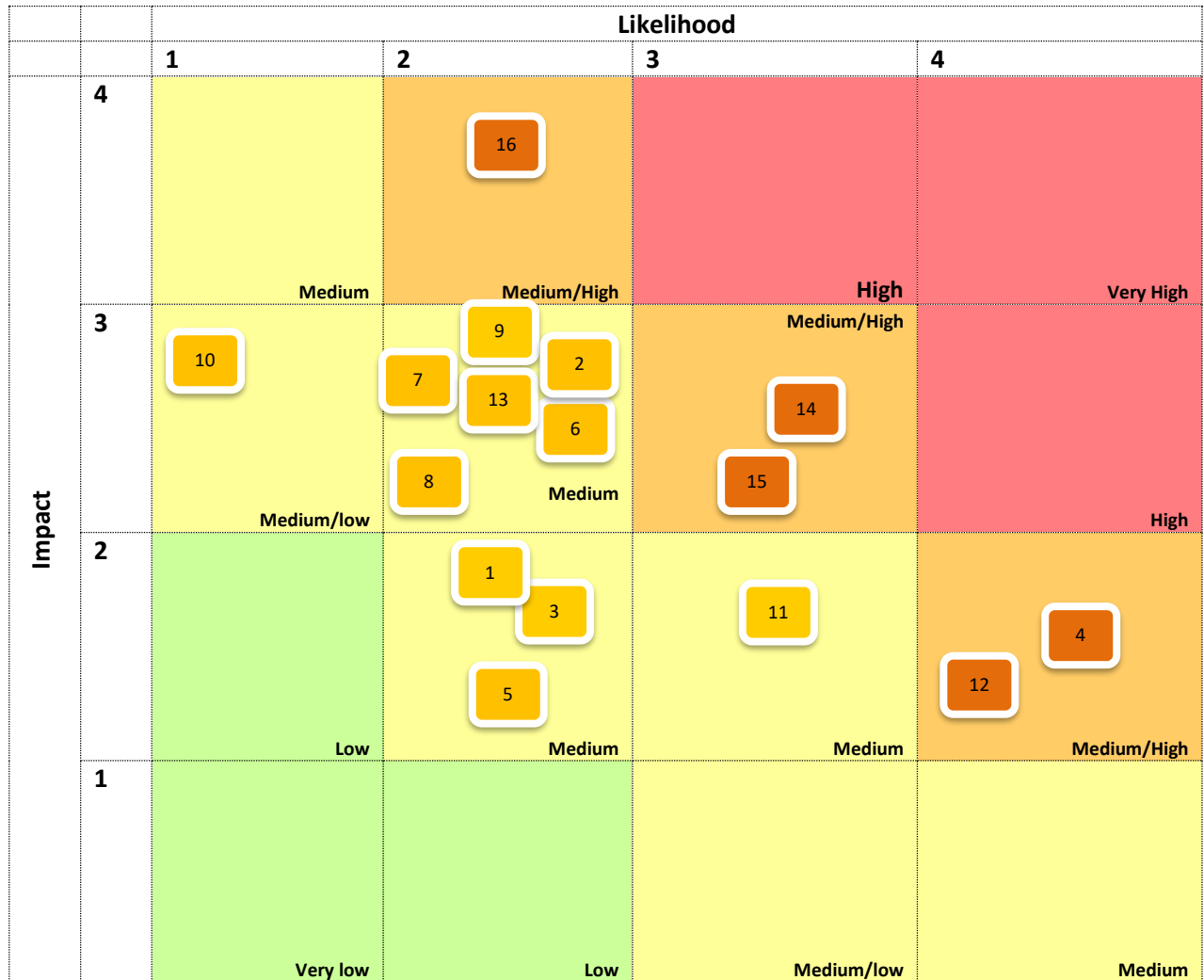
Risk Reference Glossary			
1	Reshaping Services	9	Public Buildings Compliance
2	Legislative Change and Local Government	10	Safeguarding
3	School Reorganisation & Investment	11	Integrated Health and Social Care
4	Waste	12	Unauthorised Deprivation of Liberty
5	Workforce Needs	13	WCCIS
6	Information Security	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 continues to have a cross-cutting impact on multiple aspects of the Council's resources, functions and operations.
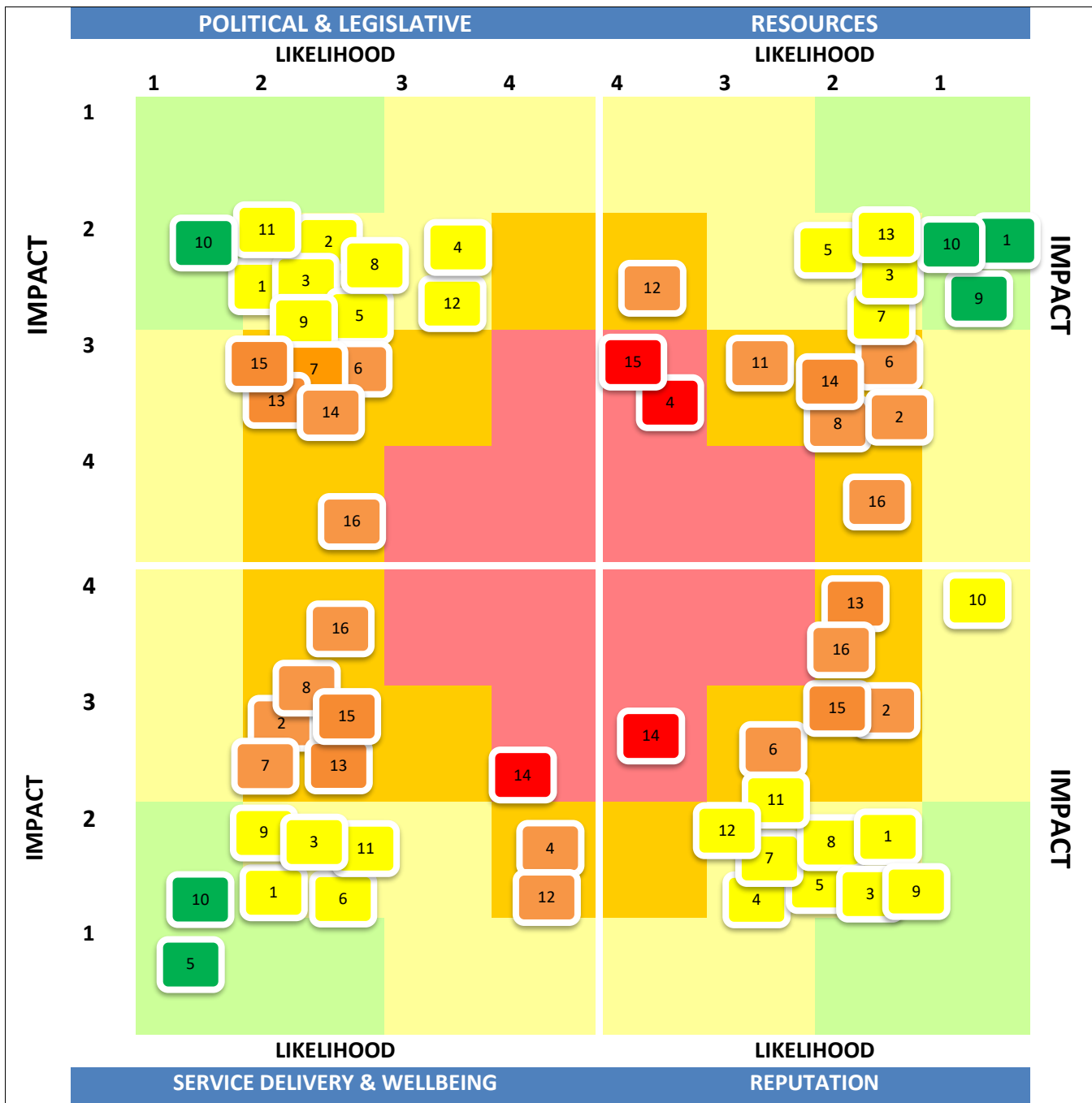
SECTION 5: RISK MANAGEMENT PLAN- RAG STATUS OVERVIEW

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

- 64% (87) of actions were allocated a Green status (completed) and 36% (48) were allocated a red status at the end of quarter 4.
- 100% of risk actions contained in the Risk Management Plans for CR3: School Reorganisation & Investment, CR13: Welsh Community Care Information System (WCCIS) and CR16: COVID-19 risks have been completed and so have been allocated a green status.

Corporate Risk	RAG Status		Total number of Actions	Total number of actions where RAG is applicable.
	GREEN (Completed)	Red (Slippage)		
CR1: Reshaping Services	42% (5)	58% (7)	12	12
CR2: Legislative Change & Local Government Reform	75% (6)	25% (2)	8	8
CR3: School Reorganisation & Investment	100% (6)	N/A	6	6
CR4: Waste	75% (3)	25% (1)	4	4
CR5: Workforce Needs	47% (8)	53% (9)	18	17
CR6: Information Security	60% (3)	40% (2)	5	5
CR7: Environmental Sustainability	57% (12)	43% (9)	21	21
CR8: Welfare Reform	60% (3)	40% (2)	5	5
CR9: Public Building Compliance	75% (3)	25% (1)	4	4
CR10: Safeguarding	73% (8)	27% (3)	11	11
CR11: Integrated Health & Social Care	17% (1)	83% (5)	6	6
CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs)	33% (1)	67% (2)	3	3
CR13: Welsh Community Care Information System (WCCIS)	100% (2)	N/A	2	2
CR14: Brexit	91% (10)	9% (1)	11	11
CR15: Additional Learning Needs (ALN)	76% (13)	24% (4)	17	17
CR16: COVID-19	100% (3)	N/A	3	3
Totals	64% (87)	36% (48)	136	135

SECTION 6: RISK ACTION EXCEPTIONS (RED STATUS)

Risk	Action Ref	Action Description	Commentary
CR1: Reshaping Services	RSR/PB003	Review the Council's Customer Contact Strategy to maximise the use of digital technology.	A procurement exercise was completed for a digital customer experience platform. The Granicus-Firmstep Gov Service platform will deliver enhanced functionality for customers accessing online services, contact centre staff handling enquiries by telephone and staff undertaking service delivery. As the country enters the recovery phase of the pandemic it now becomes possible to review the Council's Customer Contact strategy in conjunction with the Digital Strategy to reflect how customer expectations and available functionality has evolved during the pandemic. The initial implementation phase of the new technology will commence in Q1 2021/22 and a review of strategy expected during Q2.
	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.	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 in terms of gaining income from signage on roundabouts. The service is looking to progress this, and the Commercial Team has provided updated information with regards to roundabouts and communication with local businesses has commenced. Progress has been delayed during the quarter, as many businesses have been closed due to COVID Restrictions. The works will continue and hoping to attract businesses in the near future.

A Car Parking- 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 |

Risk	Action Ref	Action Description	Commentary
			objection report due to be considered by Cabinet in October 2020. Subject to the outcome of this Cabinet report Parking charges will be introduced by 1st April 2021 unless the covid-19 restrictions are still in place, in which case charges will not be implemented until the Local Restrictions have been lifted. Within Regeneration and Planning, work has continued on reshaping services in light of reducing budgets and the need to deliver quality services to customers. Focus will remain on raising additional income through services such as advertising and consultancy work. However, it is important to note that this work largely on hold due to the current lockdown and the need to focus on grant delivery and business support during these difficult times.
	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.	South lodge is due to complete during April 2021. The Kymin has been marketed widely with tenders submitted on 9th April. The tender bids are being reviewed with the Project Board currently. Western Vale Integrated Children's Centre completed in February 2021 and alteration works by the Leaseholder are underway. Work to support the next phase of office accommodation strategy is ongoing. In relation to developing an Area Based Asset Review Group to identify commercial opportunities from Council land and assets, the work has been paused and will hopefully re-commence when staff resources permit. This aspect of the action will carry forward into 2021/22.
	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 on the procurement framework is to be undertake in 2021/2022
	RSR/HR001	Continue to support organisational-wide	A number of organisational changes have commenced across the authority as the

Risk	Action Ref	Action Description	Commentary
		change as part of the next stage of the Council's Reshaping Services programme including any HR issues that may arise.	Council is coming out of the pandemic. HR support is being provided on Directorate changes, accommodation issues and the upgrade of the Oracle system, which affects Finance, Procurement, HR and Payroll.
	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.
	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.	The service is awaiting a response from ICT to respond with recommendations that can then be considered by Senior Management Team.
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).	As outlined in Qtr3 reporting we have been unable to progress this in qtr 4, but we have planned a way to take forward this action in 2021-2022, subject to the release/recruitment of staff from other critical services - TTP/Testing/Vaccination booking centres. Action to be taken forward into 2021-22 under Action Reference AS/A015.
	LCR/LD001	Undertake a Funding Assessment and allocation to deliver legislative changes.	This action will be addressed during 2021 as the department makes the transition to recovery following the easing of COVID-19 Lockdown.
CR4: Waste	WMR/NS003	Commence the construction of a Waste Transfer Station for Barry.	The proposed Waste Transfer Station now requires further assessments to complete the planning stage. These are proposed impacts on noise and odour which should be completed in quarter one (2021/22) for planning consideration. The construction will therefore now commence in 2021/22.

Risk	Action Ref	Action Description	Commentary
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.	Progress in developing a strategic Workforce Plan has been hampered by the Pandemic. This action will be carried forward into 2021/22.
	WFR/HR002	Develop a new HR strategy with a particular focus on supporting and improving staff well-being.	Progress has been hampered by the Pandemic. A new staff wellbeing survey was launched in Q4, although the closing date of the survey and result will be reported during the Q1 of 2021-22. Further online wellbeing activities continued during Q4 to support staff during the pandemic, however, this is likely to continue due to the positive feedback received. This action will be carried forward into the 2021/22 Risk Register.
	WFR/HR003 WFR/SL002	Create a new Employee Development Programme.	Progress in developing an Employee Development Programme has been hampered by the Pandemic. This action will be carried forward into 2021/22 Risk Register.
	WFR/HR004	Review recruitment practices to increase diversity within the Council's workforce.	Work commenced in Q4 to look review the Attraction Strategy and data relating to the Council's workforce. This also links to the review of the Council's reward and benefits strategy from a recruitment and retention perspective. This work will be continued into 2021-22 and action carried forward into the 2021/22 Risk Register.
	WFR/HR006	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.	HR Business Partners are currently meeting with all Directors and Heads of Service to complete Succession Planning and Talent Template - deadline for this data gathering was the end of March. For example, within Housing Services Chief Officer meetings have been held with HR Business Partners to identify key posts and succession plans. Corporate succession plan matrix completed including SWOT analysis and officer aspirations. These to be incorporated into action plans and Itsaboutme appraisals in 2021. In Finance, work has been undertaken

Risk	Action Ref	Action Description	Commentary
			to identify key posts to start to evaluate the actions required to ensure opportunities are made available to staff to meet their future potential. Legal and Democratic Services have regular meetings with team members to explore succession planning. Handover notes and advice folders developed to ensure information/guidance and good practice is shared. 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. These have been completed with help from colleagues from HR Business Partnership Team. Within SRS, succession planning arrangements have been developed during Q4. The corporate spreadsheet has been completed in conjunction with Human Resources. This work will continue next year where it is anticipated that SRS will support and develop some themes emerging from work currently being undertaken by Public Protection Wales. The review of this information and development actions off the back of this work will continue into 2021-22, so action is due to be carried forward into the next Risk Register.
	WFR/HR007	Lead on the development and delivery of a Well-being Strategy for the Council.	Although the specific wellbeing strategy has yet to be fully developed, a number of wellbeing events and activities have taken place during Q4 and information has been available via the StaffNet+ pages. Staff continue to be signposted to training opportunities. Staff development and wellbeing activities through iDev are used widely both within the directorate teams and schools, with over 100 different courses/activities accessed. This action will be carried forward into the 2021/22 Risk Register.
	WFR/HR008	Implement a Chief Officer Appraisal Scheme as part of the Management Competency Framework	Progress in developing an Employee Development Programme has been hampered by the Pandemic. This action will

Risk	Action Ref	Action Description	Commentary
		to support the development of leadership and management qualities in line with the Reshaping Services Strategy.	be carried forward into 2021/22 Risk Register.
	WFR/HR010 WFR/SL001 WFR/HS001	Expand the Council's Apprenticeship Scheme to provide a greater number and range of opportunities.	The pandemic has reduced the number of apprentices that are being recruited into the Council. The OD Team is currently preparing communications to send to managers around apprenticeship recruitment opportunities and linking in with the possibility of converting Kickstart placements into apprenticeship roles within the Council.
	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).	Work commenced in Q4 to look review the Attraction Strategy and data relating to the Council's workforce. This also links to the review of the Council's reward and benefits strategy from a recruitment and retention perspective. This work will continue into 2021-22. Action to be carried forward into 2021/22 Risk Register.
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.	Work commenced in Q4 to start the review of the Business Partner structure, which will continue in the early part of 2021-22.
	ISR/SRS001	Undertake a review of information security against GDPR regulations.	This review has not been developed further during Q4 due to the demands placed on the service as a result of its integral role in enforcing Covid Regulations and Test, Trace, Protect responsibilities and the need to prioritise these activities.
CR7: Environmental Sustainability	ESR/FIT003	Continue to meet our commitments under the CRC Energy Efficiency scheme and achieve annual certification.	This work has slipped - the report will go to Scrutiny Committee early in the new financial year.

Risk	Action Ref	Action Description	Commentary
	ESR/HR001	Review our corporate policies to invest in supporting infrastructure to encourage more sustainable behaviours of employees e.g. transport to and from work, agile working, active travel, waste and recycling and reducing energy consumption.	Work has started to support how staff will work as we come out of the pandemic. The wellbeing survey will inform the latest position on how staff want to work i.e. from home, work or a blended approach. A review of office accommodation will also take place. This action will be carried forward into 2021/22 Risk Register.
	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.	Work on the cycle to work scheme has been put on hold during Q4 due to the additional work related to the Oracle project which has taken resources from the payroll team. This will be reviewed further in 2021-22
	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.	Next bike docking stations in Sully to be operational in Q1 of 21/22. Additional funding from Welsh Government for two more docking stations in Dinas Powys received and work underway to decide suitable locations. EV charging points for taxis in Barry delayed with install now set for Q1 in 21/22. Electric pool cars were not purchased this year as infrastructure for charging has not been procured.
	ESR/NS003	Implement the main road LED lighting scheme with the use of SALIX finance.	The LED lanterns have now been delivered and all other materials including lighting columns are either ordered or in stock to facilitate the implementation of the Salix scheme. As such, the Council has during March requested and received a drawdown of Salix funds to the value of £1,134,491 for the above equipment and materials which was received into the Council's bank on 29th March 2021. To allow receipt of the majority of equipment and material as well as allow sufficient time for the contractor to plan and programme the installation phase, the commencement on site was further delayed, but is now confirmed as 12th April 2021 with an anticipated 14 week period for completion.
	ESR/NS004 ESR/RP002	Contribute to enhancing biodiversity and addressing climate change sustainability by implementing the	Funding was secured during quarter 4 (approx. £75k) to specifically manage high risk Ash Die Back along strategic routes e.g. A48. Discussion has continued this quarter regarding the capital bid and accompanying

Risk	Action Ref	Action Description	Commentary
		relevant actions contained within the Biodiversity Forward Plan, including the drafting of a Tree Management Strategy and an action plan to manage Ash Dieback.	strategy for Ash Die Back, Cabinet report being prepared to assist with securing capital bid and service is working alongside other officers to produce an Ash Die Back Management Plan. Further work to be progressed into 2021/22.
	ESR/NS007	Revise the Local Flood Risk Management Strategy in response to the updating of the National Flood and Coastal Erosion Risk Management Strategy	The National strategy has now been updated. Following the extra ordinary meeting South East Wales Flood Risk Management Group and a subsequent meeting with relevant parties, it was determined that the Welsh Government, Natural Resources Wales and WLGA are developing guidance for Local Flood Risk Management Strategies incorporating both statutory and non-statutory flood risk management plans within same document. Consultation on this guidance will be carried out post Welsh Government elections on 6th May 2021 due to purdah restrictions prior to guidance being finalised and issued. Following release of this guidance to local authorities, the revised Local Flood Risk Management Strategy for the Vale will be progressed and implemented, and this is currently considered feasible by the end of Q2 for next financial year.
	ESR/NS008	Implement the Llanmaes Flood Risk Management Scheme.	Cabinet was updated on 25 January 2021 (Minute C456) regarding delivery of the Llanmaes Flood Risk Management Scheme and subsequently updated construction cost estimates have been provided by the scheme designer which indicate an increase to £2,939k. These increased scheme costs are due to a combination of the increased scale of works, particularly on land above the village and the detailed design being available for more accurate pricing of the works. The current delivery programme for this FAS anticipates appointment of the preferred contractor on 15th October 2021 and a six-month construction period. Funding is currently allocated based on construction being completed in 2021-22 and further consideration is underway of options to deliver the scheme within financial year, including an assessment of

Risk	Action Ref	Action Description	Commentary
			the feasibility for reducing the construction period.
	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	Trees have been delivered to schools for planting. Launched a trial of the Biodiversity project with selected schools. Also progressing with green space audits across all schools. Biodiversity was a key component of the competitive procurement for the appointment of the contractor to deliver the Cowbridge Primary Provision and Centre for Learning and Wellbeing schemes. Slippage due to COVID-19 and school closures.
CR8: Welfare Reform	WRR/FIT003	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.	This has slipped due to capacity issues. A report will be presented to Committee early in the new financial year.
	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.	The One Stop Shop advice service commenced 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.
CR9: Public Buildings Compliance	BCR/FIT002	Review the way in which compliance issues are managed across the authority.	This work has stalled due to Covid and will be recommenced in 2021/22.
CR10: Safeguarding	SR/RMS004	Support the delivery of exploitation priorities as identified by the Corporate Safeguarding Group. (Milestone action)	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.

Risk	Action Ref	Action Description	Commentary
	SR/SRS001	Support the three Councils to meet the Audit Wales recommendations placed upon them in respect of safeguarding.	No further progress has been made during Qtr 4.
	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.	The fluctuating restrictions experienced throughout the last year, saw Qtr 4 being largely locked down with only permitted retailers and businesses being authorised to open. This inevitably prevented the service returning fully to its "business as usual" activities, severely impacting the delivery of many of the actions contained in the SRS Business Plan. Notwithstanding this, the service has continued to be at the forefront of the enforcement of the Coronavirus Regulations, and continued to support Test, Trace and Protect through the secondment of officers and managing the risks in care homes and schools. A significant number of officers have also directed their attention to dealing with clusters identified at business premises. Any Business Plan activities that we were unable to deliver will, where appropriate, be rolled over to the next financial year.
CR11: Integrated Health and Social Care	IHSR/AS001	Extend the GP triaging pilot through effective implementation and evaluation.	We have utilised qtr 4 to plan the future models for taking this project forward in 2021-2022. This is dependent on staffing resources released from other key priorities and ensuring that the GP triage pilot links in with new services that the UHB has developed over the course of the pandemic - e.g. urgent care pathfinder/CAV 24/7.
	IHSR/AS002	Develop more 'closer to home' and strengths-based services.	Training booked for delivery in Q1 of 2021, which will be completed by social care staff.
	IHSR/AS003	Development of an 'alliance model' within the Vale locality that will enable us to operate more effectively across organisational boundaries.	Qtr 4 has as predicted seen some planning towards the implementation of this project. We have secured ongoing funding for a transitional year, and the HoS is working with the HSC partnership team to scope out the project and how we can accelerate this work over the coming 12 months. Recruitment is actively happening for project staff, and for backfill to release capacity for

Risk	Action Ref	Action Description	Commentary
			some leadership roles to enable them to fully engage in the project for the coming year. Action to be taken forward into 2021-22 under Action Reference AS/A010
	IHSR/AS004	Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).	As outlined in Qtr3 reporting we have been unable to progress this in qtr 4, but we have planned a way to take forward this action in 2021-2022, subject to the release/recruitment of staff from other critical services - TTP/Testing/Vaccination booking centres. Action to be taken forward into 2021-22 under Action Reference AS/A015
	IHSR/RMS001	Implement an outcomes-based approach to commissioning contracting services across both a regional and localised footprint.	Due to the Departments response to the Covid-19 pandemic, opportunities for further implementation of Your Choice have not been possible in this financial year. However, we have identified the first agency for inclusion on the scheme in the new financial year.

Providers currently on the Your Choice scheme continue to report positive outcomes for both service users and staff. Action to be taken forward into 2021-22 under Action Reference RMS/A012. |
| **CR12: DoLS** | DOLR/RMS001 | Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards. | Code of Practice to support Liberty Protection Safeguards are still awaited. The COVID-19 pandemic has meant that WG has pushed back the original implementation date of Oct 2020 and we are awaiting further information. 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. Working parties will be progressing the development of a Code of Practice in partnership with Welsh Government that will be taken forward during 2021/22. |
| | DOLR/RMS002 | Implement, with the advice of Legal Services, the requirements of the Liberty Protection Safeguards (subject to | Code of Practice to support Liberty Protection Safeguards are still awaited. The COVID-19 pandemic has meant that WG has pushed back the original implementation date of Oct 2020 and we are awaiting further information. Work has begun on reviewing |

Risk	Action Ref	Action Description	Commentary
		publication of the relevant Code of Practice)	team structure and resource and the partnership board meet regular to have a strategic overview.
CR14: Brexit	BXR/PB003	Work in collaboration with GVS to assess Community Organisation/Third Sector resilience to impact of Brexit.	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. Further work to be progressed into 2021/22.
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 4 with the completion of a regional professional learning offer, which has been a positive step forward. Further work will continue into quarter 1, as a result of the impact of the Pandemic.
	ALNR/ALN006	Work with partners to develop an education and training offer for young people 16-25.	This is an ongoing piece of work that will be carried forward into next financial year. This is a complex area and good progress has been made in meeting expectations this academic year, despite the difficulties in liaising with partners as a result of the pandemic. The Vale and Cardiff are working closely with Cardiff and Vale College and good relationships are being established. A lead officer will be appointed next academic year to lead on this work across Cardiff and the Vale which will provide the additional focus required in this key area of work. Action to be carried forward to 2021/22 Risk Register.
	ALNR/ALN008	Improve the quality and availability of information to parents/carers, young people, and all service users about additional learning needs provision.	Updates to the Vale website planned. Further information for parents and school websites being developed for ALNCos to use with pupils and parents. Information for parents shared with ALNCOs in ALNCO training. All work on track to be published by the end of the summer term.
	ALNR/ALN009	Seek the views of service users on current additional learning needs provision and on how to develop provision in future.	Further parental consultation has been limited due to continuing COVID restrictions. Close work with ALNCO clusters on developing future ALN provision has been organised through the year.

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 / Medium 4-6 / Medium/High 8-10 / High 12-16	**Very Unlikely**	**Possible**	**Probable**	**Almost Certain**
	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. • Integrated the Contact Centre with their Microsoft Teams environment and Connecting Wales was able to respond to this, developing a Teams integration solution which is currently being delivered as a proof of concept to Shared Resource Services Wales. A multi-channel marketing and promotional plan was launched during	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	the year, the highlight of which was the formal virtual launch of the platform. • Reshaping Services Programme project portfolio has been agreed in line with the revenue budget.			
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. • CAT guidance produced and implemented. • Exploration and implementation of alternative care and support models within Social Services have enabled us to effectively support our most vulnerable citizens in their communities especially during the Pandemic.	2	2	4
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. • Budget consultation process was completed during December and January and the results were reported as part of the budget setting process in February / March 2021.	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)	↔	↑

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 (Completed)**

Action completed and will be reflected as a control in the Register |
| **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 Covid-19 responses. Work has continued on the new customer relationship management system, with a report to Cabinet being presented and approval given to procure a replacement. Work to develop the next iteration of Reshaping has been reported to Cabinet in March in line with the Recovery Strategy and Annual Delivery Plan setting out an ambitious new set of challenges for the Council's transformation programme around three arenas of work: Reshaping with our community, with our work and with our resources. Work to prepare the portfolio for 2021/22 and onwards is underway.

Legal Services continues to deliver on request for advice and support in respect of the Council's Reshaping Agenda. 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. | | | | | | | | | | | | |

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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	During the year, there has been implementation at Vale of Glamorgan and Wrexham councils and significant progress was made to making the platform available at the Cardiff Royal Infirmary site. This workstream was delayed mainly as a result of UHB technical staff working on COVID-related work. Completion of GP Triage implementation was also put on hold due to other health and social care priorities taking precedence. During the period a Technical project Board was established to support an efficient on-boarding process. Work has been undertaken to promote and demonstrate the platform functionality across a range of organisations and although a third council has not yet committed, negotiations are at advanced stage with 4 other councils. The year also saw an emerging need for public sector organisations to integrate the Contact Centre with their Microsoft Teams environment and Connecting Wales was able to respond to this, developing a Teams integration solution which is currently being delivered as a proof of concept to Shared Resource Services Wales. A multi-channel marketing and promotional plan was launched during the year, the highlight of which was the formal virtual launch of the platform by the Minister for Local Government in November 2020. Restrictions in place due to Covid19 has prohibited hosting of Open Days Work has continued to establish a shared resource planning service with Wrexham and is expected to come to fruition in Q2 2021/22. During the year, the Vale of Glamorgan Council worked in partnership with Transport for Wales to deliver the Fflecsi service in regions across Wales. Ongoing support and co-ordination for National Board meetings has continued during the year with a virtual meeting being held. The board has been expanded to include the WLGA CDO for local government and CEO of Centre for Digital Public Services Wales.												

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/PB003	Review the Council's Customer Contact Strategy to maximise the use of digital technology.	☑	☑	☑	☑	☑		☑	☑	☑	TC	March 2021	**Red (Slipped)**
ACTION UPDATE:	A procurement exercise was completed for a digital customer experience platform. The Granicus-Firmstep Gov Service platform will deliver enhanced functionality for customers accessing online services, contact centre staff handling enquiries by telephone and staff undertaking service delivery. As the country enters the recovery phase of the pandemic it now becomes possible to review the Council's Customer Contact strategy in conjunction with the Digital Strategy to reflect how customer expectations and available functionality has evolved during the pandemic. The initial implementation phase of the new technology will commence in Q1 2021/22 and a review of strategy expected during Q2.												
RSR/AS002	Explore alternative care and support models to enable us to effectively support our citizens in their communities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Provision at Trys O Le has continued throughout the Quarter and has been highly valued by individuals and their families/carers based on risk assessments. We have continued to provide the Outreach service and digital offering of activities in partnership with Innovate Trust. Our LD Day Services staff have gained confidence and able to contribute to the delivery of the programme. During the Quarter, given the Welsh Government position of Tier 4, we have remained working from home in the main, and also undertaking assessments/reviews through digital means, only visiting people's own homes where the risks of not attending outweighed the risks of taking the virus (with the necessary PPE, testing precautions and social distancing adherence wherever possible), as stated in AS/001 we have commenced a survey/evaluation with RMS colleagues to understand how our new ways of												

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			
	working embracing technology has worked and to what proportion this has a place in our future working models. We continue to work through our preferred operating model, ensuring our citizens and workforce remain safe and our intervention work on the basis of least intrusion, but with the balance of gaining sufficient information to enable effective assessment and care and support planning activity.												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The Microsoft Exchange upgrade has been completed. The Oracle Migration project has been initiated thereby the current in-promise version of the Council's eBusiness Suite will be migrated to Oracle's cloud managed service by the end of Q3 2021/22. The Council's CRM replacement project has also been initiated and is due to be completed in Q3 2021/22. This will enhance the functionality of the CRM system and provide more efficient services to both back office users and Council customers. This work will continue forward into 2021/22 and beyond to measure performance against the new Digital Strategy.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	In terms of Learning Disability Day Services, digital content has been developed on You Tube that focuses on activities and support for people with profound and Multiple Learning Disabilities (PMLD). There has been continued provision of the Outreach service for New Horizons and Rondel House services to compliment the digital activity programme. Telecare review is ongoing, with report recommendations due shortly where an implementation plan for 2021-2022 will be developed. Worked with Resource Management Safeguarding colleagues to request a survey/evaluation of how we have interacted with service users over digital platforms to conduct assessments/reviews etc during the pandemic in order to shape working practices moving forward.

In residential care, a full ICT survey was completed across all homes which has identified the need for further upgrade with funding being explored. Procurement processes are using technology to ensure that the views, wishes and feelings of the citizens are captured in service specification design. Financial assessments are also undertaken virtually.

Within Regeneration and Planning, a kick-start placement was appointed in March 2021 to look at how the role of Evolutive could be expanded to support the Regeneration service. The system continues to be used regularly and has been very beneficial to the COVID grant process.

Community Libraries did as much as they could during a year dominated by Covid-19. The Community Libraries held a joint online meeting of Trustees to share information and learning. This was particularly useful in relation to information about grants and ICT. As the whole of the UK went into further stay-at-home lockdown for Q4 very little other progress was possible. In common with main libraries the library service purchased an online kit for community libraries to make use of to deliver online content. This consisted of an iPad, light ring, tripod, and microphone so the libraries, with support, could call on equipment when they next want to record an online event or activity. The equipment was purchased using a Welsh Government grant.

Within Strategy, Community Learning and Resources, continue to develop its use of ONE. During the quarter, a report has been developed in ONE that feeds directly into WIM for the Vulnerable Groups Team. The MIS Development Officer is continuing this development and is going to work with other | | | | | | | | | | | | |

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			
	teams in the directorate to build WIM reports into ONE. Reports have been completed for the Vulnerable Groups team which helped to secure funding for the Service Children cohort from Welsh Government. Bespoke reports have been developed with the Vulnerable Groups team and other teams to support the teams needs and requirements. This has involved the MIS Development Officer building a relationship with the teams and attending regular meetings to develop reports with individual teams. The Exclusions report has now been completed. The MIS Manager and MIS Development Officer have completed training provided by Capita on the SEND Module. The 'Provider Portal' will initially pilot the PEP, before adding other forms to the 'Provider Portal' as part of the development before the ALN Act changes in September 2021. Training is ongoing with staff, to ensure all teams are using ONE effectively. How to record a safeguarding concern training has recently been launched, and staff are now able to log these concerns. A Safeguarding dashboard has been developed, and reports have been written for all managers to view monthly and weekly concerns that have been added to ONE. Equipment recording has also been developed, a how to guide has been created and training is currently being arranged. Further CME Bases have been developed to ensure accurate recording of any CME students and identify any different CME categories. In line with the CME training completed by the Inclusion Team we have built processes into ONE and reports have been built around new bases. Bases have been developed to also include NEETS and Post 16. Reports have been written providing information on students in these additional bases. Meetings with the Youth Service Team have taken place to develop IYSS further and processes have been confirmed. The Youth Engagement Programme have also confirmed processes and requested bespoke training. The MIS Development Officer is working closely with the teams to complete the requests. New service teams are being added into ONE where they are provided with process support, development and reports. The MIS Development Officer is working closely with the AWE team to start with and will then setup the following teams: EWS, EHE, OOST and CME for the Inclusion Team. 1. Waves 1 -2 (network infrastructure) - 49 schools have now been re-cabled with Cat6 network cable, these schools have also had new switching and wireless access points installed. 7 schools scheduled for network upgrades, to be completed by the end of April 2021. 2. Wave 3 (Servers) - All servers have been delivered to applicable Secondary schools. 38 servers have been deployed to Primary schools, with 10 servers												

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			
	awaiting deployment. 3. Wave 4 (Devices) - 3,992 Devices have been delivered to schools, awaiting confirmation from Welsh Government on 2021-22 funding allocation and DPS catalogue finalisation before additional procurement can commence on waves 4 and 5. On track, waves 1 - 3 infrastructure works have essentially been completed. A small number of snagging jobs are required to complete the infrastructure upgrade programme. All end user devices have been delivered as part of wave 4. A further grant for devices (waves 4 and 5) has been made available and a proposal as to how these additional devices will be disseminated within schools will go the programme board at the next meeting for sign off. The additional devices will then be disseminated out to schools by Q2.													
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	**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			
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 in terms of gaining income from signage on roundabouts. The service is looking to progress this, and the Commercial Team has provided updated information with regards to roundabouts and communication with local businesses has commenced. Progress has been delayed during the quarter, as many businesses have been closed due to COVID Restrictions. The works will continue and hoping to attract businesses in the near future. A Car Parking- 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 due to be considered by Cabinet in October 2020. Subject to the outcome of this Cabinet report Parking charges will be introduced by 1st April 2021 unless the covid-19 restrictions are still in place, in which case charges will not be implemented until the Local Restrictions have been lifted. Within Regeneration and Planning, work has continued on reshaping services in light of reducing budgets and the need to deliver quality services to customers. Focus will remain on raising additional income through services such as advertising and consultancy work. However, it is important to note that this work largely on hold due to the current lockdown and the need to focus on grant delivery and business support during these difficult times.												
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 (Completed)** Action completed and will be

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			
													reflected as a control in the Register
ACTION UPDATE:	The consultation process was completed during December and January and the results were reported as part of the budget setting process in February / March 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	**Red (Slipped)**
ACTION UPDATE:	South lodge is due to complete during April 2021. The Kymin has been marketed widely with tenders submitted on 9th April. The tender bids are being reviewed with the Project Board currently. Western Vale Integrated Children's Centre completed in February 2021 and alteration works by the Leaseholder are underway. Work to support the next phase of office accommodation strategy is ongoing.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	In relation to developing an Area Based Asset Review Group to identify commercial opportunities from Council land and assets, the work has been paused and will hopefully re-commence when staff resources permit. This aspect of the action will carry forward into 2021/22.												
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.	☑	☑	☑	☑	☑			☑	☑	CL	March 2021	**RED (Slipped)**
ACTION UPDATE:	Work on the procurement framework is to be undertake in 2021/2022												
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.\n\n*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:	A number of organisational changes have commenced across the authority as the Council is coming out of the pandemic. HR support is being provided on Directorate changes, accommodation issues and the upgrade of the Oracle system, which affects Finance, Procurement, HR and Payroll.												

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/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, 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	**Red (Slipped)**
ACTION UPDATE:	The service is awaiting a response from ICT to respond with recommendations that can then be considered by Senior Management Team.												

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	This risk focuses on how we respond to new and emerging legislative requirements, particularly where the nature of the legislation is cross-cutting in terms of the impact it has on a variety of service areas. There is the risk that there is a failure to be able to effectively co-ordinate the implementation of significant legislative change across the breadth of Council services/functions. This applies to key pieces of legislation such as the Social Services and Well-being Act and the Local Government & Elections Bill. The Social Services and Well-being Act also came into force in April 2016; it places an emphasis on: • **Voice and control**-putting the individual and their needs at the centre of their care and giving them a voice and control to define their outcomes and achieve wellbeing. • **Prevention and early intervention**-increasing preventative services within communities to reduce the need for more intensive intervention. • **Wellbeing**-is about supporting people to identify outcomes and supporting them to achieve their own wellbeing. • **Co-production**-involves encouraging people to become involved in the design and delivery of services with a focus on alternative delivery models and using social enterprises, co-operatives, user-led services and the voluntary sector. This work is being undertaken at both a local and regional level, driven through the Cardiff and Vale Integrated Health and Social Care Partnership Board. The risk can be defined as the non-compliance with requirements of the Act by failing to improve the wellbeing of people and their carers who need care and support as well as the failure to effectively transform service delivery across social services in line with the Act. There continues to be a risk in relation to the new Local Government and Elections Bill in terms of reforming Local Government. The Bill sets out a series of provisions, including: • The reforming of electoral arrangements for local government • A general power of competence for principal councils and eligible community councils • Reforming public participation in local democracy • The leadership of principal councils, including to encourage greater diversity amongst executive members and establishing a statutory position of chief executive • The development of a framework and powers to facilitate more consistent and coherent regional working mechanisms through the establishment of Corporate Joint Committees (instigated either by two principal councils or by Welsh Ministers) • A new system for performance management and governance based on self-assessment and peer review, including the consolidation of the Welsh Ministers' support and intervention powers • Powers to facilitate voluntary mergers of principal councils and restructuring a principal area

	• Local government finance including non-domestic rating and council tax As a result of the pandemic, scrutiny of the Local Government and Elections (Wales) Bill (the Bill) was delayed. Stages 2, 3 of the scrutiny process resumed at the latter end of 2020 before the Bill was agreed in Plenary by the Senedd on 18th November 2020. The Bill became an Act when it received royal assent on the 20thJanuary 2021.
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 Act could lead to litigation, fines and/or political instability. Failure to respond appropriately to the changes required by the Local Government & Elections Act regarding public participation, performance management and leadership of Councils. Failure to use the General Power of Competency introduced by the Local Government & Elections Act 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 Act. 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 Act. 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 Act. 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			
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. • Name change of Committee to Governance & Audit Committee agreed by Council. Democratic Services have requested Emergency Powers to update Committee Terms of Reference and the Constitution.	2	2	4

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

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Contributing to the development of national guidance to accompany the changes required by the Act to the performance framework for local authorities. • A project group has been established for implementing requirements of the Local Government and Elections (Wales) Act 2021.			
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	2	1	2

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

2.2 Controlling Inherent Risk				
Category	**• Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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 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 • A strengths-based action plan to implement a new model for working co-productively with children and their families has been developed. Action plan is monitored via the Corporate Strategy Management Group. • A Corporate Strategy Action Plan for Children and Young People and their families has been developed that is monitored by the Corporate Strategy Management Group.			
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											Direction of Travel	Forecast Direction of Travel
Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score					
	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) Act.	☑	☑	☑	☑	☑				☑	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) Act 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/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:	As outlined in Qtr3 reporting we have been unable to progress this in qtr 4, but we have planned a way to take forward this action in 2021-2022, subject to the release/recruitment of staff from other critical services - TTP/Testing/Vaccination booking centres. Action to be taken forward into 2021-22 under Action Reference AS/A015.												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The Corporate Strategy Management Group met during Q4 to review progress against the action plan. Pleasingly progress remains on track and partners continue to work effectively to deliver on our agreed priorities.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
LCR/CS003	Work with partners to deliver the Corporate Strategy for children who need care and support. (in line with the Social Services and Well-being Act)	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The Corporate Strategy Management Group met during Q4 to review progress against the action plan. Pleasingly progress remains on track and partners continue to work effectively to deliver on our agreed priorities.												
LCR/FIT001	Establish a Corporate Governance & Audit Committee to review the Council's response to self-assessment, peer assessment and combined assessment and governance reviews in line with the requirements of the Local Government and Elections (Wales) Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CL	March 2020	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Presentation given to Audit Committee on the new responsibilities under the Act. Name change of Committee to Governance & Audit Committee agreed by Council. Democratic Services have requested Emergency Powers to update Committee Terms of Reference and the Constitution. Guidance has not been received from Welsh Government as yet so further work will be required to fully implement requirements during 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			
LCR/LD001	Undertake a Funding Assessment and allocation to deliver legislative changes.	☑	☑		☑				☑	☑	DM	March 2021	**Red (Slipped)**
ACTION UPDATE:	This action will be addressed during 2021 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) Act to enable electoral reform and ensure a robust governance framework.	☑	☑	☑	☑				☑	☑	DM	March 2021	**Green (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The Bill received Royal Assent on 20 January 2021. A number of Regulations have been introduced bringing into force certain provisions during January-March 2021 with the remaining provisions becoming law during 2021/2022. A project group is established, and actions complete as at the date of introduction of the Act's provisions as they come into force during 20/21. This work will continue in 2021/2022.												
LCR/RP001	Minimise impact of Local Government Act and Planning Law Consolidation Bill on service delivery.	☑	☑	☑	☑	☑		☑	☑	☑	MG	March 2021	**Green (Completed)** Action completed and

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			
													will be reflected as a control in the Register
ACTION UPDATE:	Council will continue to respond to consultations as and when received from WG												

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. • (See update in service delivery section below) 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. • The Vale WESP 2020 Update was approved by Welsh Government. Gained final approval for Barry	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Secondary Learning business cases (FBCs) and construction is compete at Whitmore and well underway at Pencoedtre. • 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. Proposals for Penarth are subject to planning permission being granted for the Cosmeston development. • Developed proposals for a Centre for Learning and Well-being with implementation expected September 2021. • Building issues identified from the Accessibility Strategy consultation have been fed into the Asset Renewal Plans for 2021/22.			
Service Delivery & Well-being	• Actively participate in the Council's Carbon Management Group. • Construction of Llancarfan Primary School, the first net zero carbon primary school in Wales, is progressing in line with agreed programme. The Council has allocated an additional £300k to support decarbonisation of the Centre for Learning and Wellbeing and Ysgol Y Deri Expansion schemes, which is supplemented by an additional Welsh Government grant of £900k. • 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).	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• 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. • Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now open and operating successfully. • School Development needs and condition survey assessments will continue to inform the new school modernisation programme. This work will require liaison between School Organisation, the 21st Century Schools team and Property team looking at need as it relates to place planning up to 2026. • New admission arrangements for 2022/23 has now been concluded. Admission arrangements consultation approved by Cabinet included some changes to original proposals. • Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report. • 21st Century Schools programme Band B projects progressing- Whitmore, Pencoedtre, Ysgol Gymraeg Bro Morgannwg, St David's and Llancarfan schemes are onsite and progressing in line with agreed programme with contractor. Contractor has been appointed to deliver Centre for Learning and Wellbeing and Cowbridge Primary Provision. St Nicholas Scheme under review.			
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.	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• 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.			
Overall Effectiveness of Controls		2	2	4

		Likelihood Score	Impact score	Total Score

2.3 Residual Risk Scoring & Direction of Travel											Direction of Travel	Forecast Direction of Travel
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score					
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Cabinet approved the establishment of the Centre for Learning and Wellbeing on 8 February 2021. A project board has now been convened to steer the project through to full implementation from 1st September 2021. The project is on track to be delivered as outlined. School leadership has been consulted on the design for the new building proposed on the Court Road Depot site.												
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	☑	☑	☑	☑		☑	☑	☑	☑	TB	March 2021	**GREEN (Completed)**

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			
	locations which meets their needs and are able to be part of the school community.												Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Responses to the Accessibility Strategy consultation were very low, however this issues identified in relation to buildings have been fed into Asset renewal plans for 2021/22. A full report will be available on the Council website in the summer.												
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 (Completed)** Action completed and will be reflected as a

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			
													control in the Register
ACTION UPDATE:	The admission arrangements consultation addressed concerns in relation to pupil places in Barry in particular. The outcome of this consultation was approved by Cabinet in March 2021. The proposed changes included a temporary change to St Cyres school catchment area for a period of three years commencing 2022/23 and a permanent change to Ysgol Dewi Sant school catchment area. During the consultation period concerns were raised and received from secondary schools in Barry. As a result of this, the outcome of this consultation was a proposed amendment to the initial proposal as follows; • Discontinuation of the proposal to establish a dual catchment area for St Cyres School to include Pencoedtre High School catchment area. • Inclusion of an additional criterion in the secondary school oversubscription criteria prioritising pupils who were on roll at a previous feeder school prior to the withdrawal of the feeder arrangement for a period of three years commencing 2022/23 • Progress with the proposal to change the Ysgol Dewi Sant catchment area.												
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 (Completed)** Action completed and will be reflected as a

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			
													control in the Register
ACTION UPDATE:	Programme continues to progress well. Whitmore, Pencoedtre, Ysgol Gymraeg Bro Morgannwg, St David's and Llancarfan schemes are onsite and progressing in line with agreed programme with contractor. Contractor has been appointed to deliver Centre for Learning and Wellbeing and Cowbridge Primary Provision following the completion of the statutory consultations. Ysgol Y Deri objection period completed and outline planning application progressing. St Nicholas scheme is currently under review.												
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 (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:	The Vale WESP 2020 Update was approved by Welsh Government. Welsh Government published guidance in January 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. Planning has started to draft the new 10 years WESP in conjunction with the Vale WESP Forum.												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Construction of Llancarfan Primary School, the first net zero carbon primary school in Wales, is progressing in line with agreed programme. The Council has allocated an additional £300k to support decarbonisation of the Centre for Learning and Wellbeing and Ysgol Y Deri Expansion schemes, which is supplemented												

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			

3. Risk Management Plan – Mitigating Actions

| | by an additional Welsh Government grant of £900k. The Council has also allocated £400k to the Cowbridge Primary Provision scheme to support decarbonisation. The Council is continuing to explore opportunities to further deliver decarbonisation and is continuing work on the net zero in use design. |

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 Summer 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. A review of the Service has recently commenced. • Annually bid for Welsh Government Environment and other Grants to deliver improvements to the waste management infrastructure. • Ongoing monitoring of budgets and grant funding to ensure we are able to deliver the National Waste agenda.	1	1	1
Service Delivery & Well-being	• Increased waste awareness initiatives and 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	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	working efficiencies and service delivery. • Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced. A further report was approved by the Council relating to dog controls in March 2021 and Cabinet will be considering a revised enforcement policy in late Spring. • 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. • The planned Blueprint roll out for 2020/21 has now been completed in relation to Barry. Penarth roll out due to commence 2021/22, subject to Waste Transfer Station being operational. • The service will exceed the current statutory recycling rate from its performance during 2020/21.			
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											
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	1	2	2	3	2	6	↔	↓
Resources	4	3	12	1	1	1	4	3	12	↔	↓
Service Delivery & Well-being	4	3	12	1	2	2	4	2	8	↔	↓
Reputation	3	3	9	1	2	2	3	2	6	↔	↓
Average risk score/ direction of travel	4	3	**12**	1	2	**2**	4	2	**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			
WMR/NS 001	Implement the waste blueprint (source segregated recycling) to Barry and Penarth areas.	☑	☑	☑	☑	☑	☑	☑	☑	☑	ER	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The planned Blueprint roll out for 2020/21 has now been completed. Penarth will not occur until 2021/22 as it is dependent on the proposed permanent Waste Transfer Station being operational. This is anticipated to be complete is quarter 4 of 2021/22.												
WMR/NS 002	Work towards the National Domestic Waste Recycling Target for 2024 / 2025.	☑	☑	☑	☑			☑	☑	☑	ER	March 2021	**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:	The service will exceed the current statutory recycling rate from its performance during 2020/21.												
WMR/NS 003	Commence the construction of a Waste Transfer Station for Barry.	☑	☑	☑	☑	☑	☑		☑	☑	ER	March 2021	**RED (Slipped)**
ACTION UPDATE:	The proposed Waste Transfer Station now requires further assessments to complete the planning stage. These are proposed impacts on noise and odour which should be completed in quarter one (2021/22) for planning consideration. The construction will therefore now commence in 2021/22.												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	All claims for grants have been submitted to Welsh Government and the projects identified are ongoing. These are the construction of a reuse shop at Atlantic Trading Estate, the introduction of source separated recycling at flats and apartments and new sorting equipment for the proposed Waste Transfer Station.												

Appendix 5 Corporate Risk 5: Workforce Needs

Return to Risk Summary Report

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 and social workers). Skill shortages exist in some areas like Social Work, Legal Services, Planning, and 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 programme 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. Human Resources, ICT and Senior Management had 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. In addition, working in partnership with Cardiff Council and the Health Board staff have been redeployed to support the regional approach to Track, Trace and Protect and the vaccination programme. 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 ensure operational plans are refreshed and succession planning continues, 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	

CR5: Workforce Needs

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. This is already impacting on key areas of Social Services such as qualified Social Worker roles in Children and Young People Services. 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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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 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. We also continue to review staff wellbeing, with the continued and sustained support our staff provide as the pandemic progresses to mitigate any future impact in terms of absence, resilience, and burnout.
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.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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 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		Effectiveness of controls		
Category	Current 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 Workforce plan is now being reviewed and refreshed for September 2021 • 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 and OD and learning team, this may lead to minor	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	structural changes and improved operational ways of working • 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 and is now progressing to the launch of our new 'Culture Book' in September 2021. 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 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. Whilst the pandemic has paused this for 2020 plans are held in abeyance for an awards ceremony at the end of 2021 • 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,			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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 and will next run in October 2021 • Apprenticeship pathway is in place to enable direct recruitment of apprentices and enables us to better support succession planning. This year we have introduced the Government Kickstart scheme to further support this process and hope to convert some of our 'kickstarters' across to apprenticeship programmes. • Social Service OD and learning has now been brought back inhouse, with investment in additional staff ongoing to support this process. We continue to invest in training of social care professionals and support secondments and placements, in addition to establishing collaborative working relationships with Social Care Wales to ensure our processes align where relevant. • Job Description and Person Specification for Adult Services Social Workers that includes a requirement to undertake Approved Mental Health Professional (AMPH) training has been approved and distributed to management. • A new mobile working solution with Neighbourhood services has been approved and procured.			
Service Delivery & Well-being	• Workforce planning processes delivered with a focus on alternative service delivery and workforce implications. This process is now being refreshed with a new operational emphasis for September 2021 • The HR team continue to monitor and report performance against corporate	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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 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 shortly to be launched Culture Book) and Reshaping agenda. The appraisal process has been launched on iDev. • 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 2019/20 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, and the recently established Ethnic Minorities Network a new brand for the Council's network for our colleagues and allies. • Councils new Volunteering Policy has been launched. • The NJC Single Status 2020 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 management development sessions have been held in accordance with the new Management Competency Framework.			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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 programme. • We have procured an E Bulk solution to provide a significant reduction administration and the time in accessing Disclosure and Barring Services (DBS) 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. This may see some minor tweaks to the HR team in future months • Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process is under development. • Purchased an Occupational Health IT package to support the effective and efficient processing of all occupational health processes • Continued to develop 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. • Management promote and enhance staff involvement and engagement across the Council. • Increase opportunities for all with particular focus on underrepresented 16-24-year olds to participate in work placements via the KickStart scheme. • The Regional Internal Audit Shared Service is fully operational. • Staff have been encouraged to participate training and development to support their roles, which has been reaffirmed through the #itsaboutme process.			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
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 as a result a new Culture Book will be launched in September 2021. • 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 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%	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	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, this will be launched for September 2021	**Red (Slipped)**
ACTION UPDATE:	Progress in developing a strategic Workforce Plan has been hampered by the Pandemic. This action will be carried forward into 2021/22. A Workforce planning team was established to support during the pandemic. This team have now been reviewing the refreshed and revised Workforce plan giving due consideration to the impact the pandemic had on our staff. The revised plan will be presented to SLT in July for sign off in September.												
WFR/HR002	Develop a new HR strategy with a particular focus on supporting and improving staff well-being.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2021, this will be launched for September 2021	**Red (Slipped)**
ACTION UPDATE:	Progress has been hampered by the Pandemic. A new staff wellbeing survey was launched in Q4, although the closing date of the survey and result will be reported during the Q1 of 2021-22. Further online wellbeing activities continued during Q4 to support staff during the pandemic, however, this is likely 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			
	continue due to the positive feedback received. This action will be carried forward into the 2021/22 Risk Register. The new Strategy is in the process of consultation with the aim to launch in September 2021.												
WFR/HR003 WFR/SL002	Create a new Employee Development Programme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD T Bowring	March 2021	**RED (Slipped)**
ACTION UPDATE:	Progress in developing an Employee Development Programme has been hampered by the Pandemic. This action will be carried forward into 2021/22 Risk Register.												
WFR/HR004	Review recruitment practices to increase diversity within the Council's workforce.	☑		☑	☑	☑		☑		☑	TD	March 2021	**RED (Slipped)**
ACTION UPDATE:	Work commenced in Q4 to look review the Attraction Strategy and data relating to the Council's workforce. This also links to the review of the Council's reward and benefits strategy from a recruitment and retention perspective. This work will be continued into 2021-22 and action carried forward into the 2021/22 Risk Register.												
WFR/HR006 WFR/FIT001 WFR/HS002 WFR/LD002	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 Programme Strategy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD CL MI DM ER MG	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			
WFR/NS001 WFR/RP001 WFR/SRS001											DH		■
ACTION UPDATE:	HR Business Partners are currently meeting with all Directors and Heads of Service to complete Succession Planning and Talent Template - deadline for this data gathering was the end of March. For example, within Housing Services Chief Officer meetings have been held with HR Business Partners to identify key posts and succession plans. Corporate succession plan matrix completed including SWOT analysis and officer aspirations. These to be incorporated into action plans and Itsaboutme appraisals in 2021. In Finance, work has been undertaken to identify key posts to start to evaluate the actions required to ensure opportunities are made available to staff to meet their future potential. Legal and Democratic Services have regular meetings with team members to explore succession planning. Handover notes and advice folders developed to ensure information/guidance and good practice is shared. 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. These have been completed with help from colleagues from HR Business Partnership Team. Within SRS, succession planning arrangements have been developed during Q4. The corporate spreadsheet has been completed in conjunction with Human Resources. This work will continue next year where it is anticipated that SRS will support and develop some themes emerging from work currently being undertaken by Public Protection Wales. The review of this information and development actions off the back of this work will continue into 2021-22, so action is due to be carried forward into the next Risk Register.												
WFR/HR007	Lead on the development and delivery of a Well-being Strategy for the Council.	☑	☑	☑	☑	☑		☑	☑	☑	TD 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			
WFR/ALN001													(RED)
ACTION UPDATE:	Although the specific wellbeing strategy has yet to be fully developed, a number of wellbeing events and activities have taken place during Q4 and information has been available via the StaffNet+ pages and our new Wellbeing Offering has been launched. Staff continue to be signposted to training opportunities. Staff development and wellbeing activities through iDev are used widely both within the directorate teams and schools, with over 100 different courses/activities accessed. This action will be carried forward into the 2021/22 Risk Register.												
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 Programme Strategy.	☑	☑	☑	☑			☑	☑	☑	TD	March 2021	**RED (Slipped)**
ACTION UPDATE:	Progress in developing an Employee Development Programme has been hampered by the Pandemic. This action will be carried forward into 2021/22 Risk Register.												
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	**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:	Currently have 30 kickstart placements recruited with a further 30 live vacancies. For example, 3 Kick start apprentices are now working within Strategy & Resources in ICT & Data. They are receiving valuable training and already having a positive impact of the service delivered to school both remotely and via school visits. A recruitment exercise has recently been completed within housing services and an apprentice appointed. The pre employment checks are currently being made and the new person will start work in the next 2 weeks. OD Team currently designing communication to send to all managers to sell the benefits of recruiting apprenticeship. This work has significantly slowed with the pandemic, but with the introduction of Kickstart, this work will continue into 2021/22.												
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:	The pandemic has reduced the number of apprentices that are being recruited into the Council. The OD Team is currently preparing communications to send to managers around apprenticeship recruitment opportunities and linking in with the possibility of converting Kickstart placements into apprenticeship roles within the Council.												
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 (ongoing)**
ACTION UPDATE:	We have started to engage with diversity groups within the Council and their thoughts have contributed to the Culture Book and Attraction Strategy. This work will continue in to 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			
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	**Green (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The Councils new Volunteering Policy has been launched, however due to the pandemic there has yet to be the opportunities for our staff to participate. number of internal "volunteering" activities has taken place during the last 12 months due to the repurposing of staff into front line roles, together with the specific tree planting activity.												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Job description and Person Specification has been completed and circulated to all Team Managers and in use for recruitment.												
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	☑	☑	☑	☑	☑		☑	☑	☑	TD RE DH	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			
	around targeted recruitment to specialist posts and where there are skills gaps).												(red)
ACTION UPDATE:	Work commenced in Q4 to look review the Attraction Strategy and data relating to the Council's workforce. This also links to the review of the Council's reward and benefits strategy from a recruitment and retention perspective. This work will continue into 2021-22. Action to be carried forward into 2021/22 Risk Register.												
WFR/FIT002	Continue to build on existing collaborative working arrangements in the Finance Division and explore new opportunities to improve resilience in the service especially in specialist work areas and in order to deliver fully integrated working practices.		☑	☑	☑	☑	☑	☑	☑	☑	CL	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The Regional Internal Audit Shared Service has operated well during the year and has been able to undertake sufficient work for the Head of the Service to be able to make the annual opinion on the overall governance framework and control systems in place.												
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 (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:	Despite the Pandemic, staff have been encouraged to participate training and development to support their roles. This has been reaffirmed through the #itsaboutme process. For example, within Strategy Community Learning and Resources, all 2,400 school users now accessing statutory safeguarding training and wellbeing resources via iDev. Further training modules are coming online for school staff during the summer term.												
WFR/HS003	Undertake a restructure of Building Services.		☑	☑		☑		☑	☑	☑	MI	March 2021	**N/A**
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Report cleared by Cabinet on 22nd February 2021. Suppliers have all in informed verbally that an Award has been placed. Digital Market Place, updated, and template completed. Procurement / Finance / Audit have all cleared the process. The agreement is currently with Legal in order that it can be updated. Suppliers in regular contact, within relation to the implementation plan. Two Phases of implementation. Priority - Highways, Street Lighting (as the current system, will no longer be supported). Trees due to the risk, will also be part of the Phase I. This will also link into the Corporate CRM Procurement. Insight Board have been provided with an update. Implementation plan has been passed to ICT in relation to resources. Due to the procurement process and clearance, delay around start of implementation. Aiming for middle of April 2021. Also aiming for the implementation of app for residential parking and												

		Risk Categories				Demonstration of 5 Ways of Working							
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**
	seasonal tickets. Initial meeting to take place during Quarter 4. App already in place for resort parking (PaybyPhone). This technology will enable teams to work in a more mobile way.												
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	**Green (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The management team have continued to promote the engagement and wellbeing activities of the Council and Directorate for the workforce. Basic functions such as ensuring the distribution lists have been up to date have been completed. The Director and HoS have attended team meeting (digitally) to listen to the teams and connect with all staff, encouraged the staff to advise of any gaps in comms/engagement. The Social Care Forum has stalled at present and we will revisit in Qtr 1 of new financial year. Continue to engage with staff re their ideas for preferred operating models moving forward. Limited progress made due to additional work generated by the Covid-19 pandemic. The division is supported through the corporate engagement processes. Further work to be taken forward into 2021-22 under Action Reference RMS/A002.												

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. • Information Governance Board ensures that changes made to working practices, support and maintain the integrity of our systems and the security of all information used by the Authority.			
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. • Maintained compliance with relevant security standards, including GDPR, PCI and PSN. • Second internet connection has been installed at the Civic Offices.	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Review of WASPI documentation remains ongoing. • IT Asset Register maintained for all equipment/devices in schools that have an SLA agreement. • 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 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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The Information Governance Board has continued to meet throughout the year and have ensured that changes made to support changes in working practices have maintained the integrity of our systems and ensured the safety of all information used by the Authority												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	This has been done throughout the year as new ways of working and new systems have come online												

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/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:	Work commenced in Q4 to start the review of the Business Partner structure, which will continue in the early part of 2021-22.												
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 Q4 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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	SLA Technical Support Schools: 1. All Chromebooks are fully managed and enrolled into Google Gsuite												

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				
	2. All iPads are fully managed and enrolled into Cisco Meraki 3. 290 Windows devices have been enrolled into Microsoft InTune for management, we anticipate that all supported schools will be onboarded by the end of the academic year. Not only do the above management platforms allow for remote management of devices, they also form the IT asset register for devices on the curriculum network in schools, however this is only applicable to schools that purchase the support SLA from ICT & Data. It is not possible to have an accurate/reliable up to date central IT asset register for schools that are supported by third party contractors (including Secondary 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 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). Zero Carbon surveys are being undertaken in buildings to create a programme of works which help towards meeting the Carbon Management Plan targets. • Space Programme and Asset Management Strategy • Automatic meter readings for utilities for all Vale owned buildings.	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• We completed the implementation of LED lighting in residential areas during summer 2018. We have been awarded a Salix Grant to the value of £1,134,491 to update LED main road (highway) lighting which is due to be rolled out in Summer 2021. LED lighting installations have been completed at Colcot school and a project for Cowbridge Leisure centre agreed with Legacy Leisure. • 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.			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Biodiversity Forward Plan approved by Cabinet and aims and targets for services have been agreed. • PSB Climate Emergency Charter was launched in February and accompanied by a social media campaign highlighting work being undertaken by partners. • Social Services have evaluated ways of working to inform the development of a new operating model that takes account of climate change and sustainability.			
Service Delivery & Well-being	• Prioritise maintenance in all council services – including gritting, drainage, etc. • 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/Extra care • Local Biodiversity Plan • Licences for grazing land have been advertised and bids are currently being assessed. New licences will incorporate biodiversity gains wherever possible. • Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	offences through the appointment of an environmental enforcement organisation. • Pre-planning consultation 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 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. • Grant funding from Welsh Government has been secured to support carbon reduction and tackle fuel poverty in relation to our housing stock. • Construction of Llancarfan Primary School, the first net zero carbon primary school in Wales, is progressing in line with agreed programme. The Council has allocated an additional £300k to support decarbonisation of the Centre for Learning and Wellbeing and Ysgol Y Deri Expansion schemes, • 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.			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• 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. • 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 and 4. • 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 planned for quarters 1 and 2 2021/22 • Successful delivery of grant funded biodiversity programme. Projects have included; the re-introduction of water voles at Cosmeston, woodland improvement works at Porthkerry and Cosmeston, Badger survey at Porthkerry and the Heritage Coast, Environmental education delivered at all sites, new leaflet designed for the Heritage Coast, community projects with Vale ways, Wick and Graig Penllyn, pollination project at Porthkerry and Heritage Coast plus a hedgerow connectivity project at Cosmeston. • Ten of our Parks, eight urban parks and two Country Parks have been awarded Green Flag Status. Penarth Marina and, Southerndown. have maintained their Blue Flag status. We have successfully maintained our Seaside Awards for Jackson Bay, Whitmore Bay Cold Knap. • The Greenlinks scheme provides transport to residents in the Vale of			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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. • Submitted a planning application for a reuse shop at Atlantic Trading Estate in Barry.			
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										Direction of Travel	Forecast Direction of Travel
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score				
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	**Green (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The PSB Climate Emergency Charter was launched in February and accompanied by a social media campaign highlighting work being undertaken by partners. In March the Council launched consultation on the draft Climate Change Challenge Plan with a view to the plan being approved by Council in July. The draft plan has been informed by discussions with key officers, Heads of Service and Senior Leadership Team and sets out a series of challenges and proposed activities in response to the climate emergency. Consultation on the draft Plan will be undertaken from the end of March until early May. Work to tackle climate change is also a key area of the Council's new transformation programme and the aim is to ensure across the Council everyone is playing their part in tackling climate change. Within the Property Division, work has been undertaken on Council buildings where it has been safe to do so to ensure they are as energy efficient as they can be. Regeneration and Planning commissioned an iTree survey, survey works will be undertaken May 2021 - September 2021, with a written report and findings completed by December 2021. Draft tree strategy circulated to key officers, responses and comments received December 2020. Tree strategy re-drafted and will be circulated to key officers for further comments April 2021. A further presentation on the draft Green Infrastructure Strategy was presented to SLT in January which focussed on the green space audit stage of the project. Officers have mapped existing green infrastructure assets across the authority using GIS software and identified their existing functions. Various datasets from a variety of sources (e.g. VOGC, NRW, Cadw, Welsh Government) have been used for this work. Internal consultation with the GI working group is due to commence shortly to review the													

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			
	functions and identify any gaps in provision. Draft GI Guidance has now been issued by NRW for consultation purposes and officers have been working closely with them on this.												
ESR/AS001 ESR/CS001 ESR/RMS 001	Review our working practices to enable us to operate more sustainably.		☑	☑	☑	☑		☑	☑	☑	SC/RE	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Across Social Services non-frontline staff continue to primarily work from home. As outlined previously we are evaluating our ways of working for our workforce and our citizens to ensure we have an operating model that takes account of climate change and sustainability in terms of our environment, as well as our efficiency and effectiveness. This learning will be used to inform 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 (Completed)** Action completed and

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			

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
	biodiversity value of untenanted land by reducing cutting regime of hedgerows.												will be reflected as a control in the Register
ACTION UPDATE:	Licences for grazing land have been advertised and bids are currently being assessed. New licences will incorporate biodiversity gains wherever possible. Untenanted land hedgerows have not been cut unless urgently required for H&S reasons												
ESR/FIT003	Continue to meet our commitments under the CRC Energy Efficiency scheme and achieve annual certification.	☑	☑	☑	☑				☑	☑	CL	March 2021	**RED (Slipped)**
ACTION UPDATE:	This work has slipped - the report will go to Scrutiny Committee early in the new financial year.												
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 (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:	Further LED lighting installations have been completed at Colcot school and a project for Cowbridge Leisure centre agreed with Legacy Leisure. Further work with Energy Saving Trust has been commissioned looking at the next phase of fleet vehicles and low carbon alternatives. Visits and surveys have begun with Carbon Trust and Welsh Government Energy Service assessing buildings within the portfolio. The aim of the surveys are to create a programme of works which will map out how the portfolio will achieve net Zero carbon target by 2030. The programme will be created in phases with the first phase of surveys being completed in Q2 21/22.												
ESR/FIT005	Work towards achieving our targets in the Vale of Glamorgan Council Carbon Management Plan 2018-22.	☑	☑	☑	☑	☑			☑	☑	CL	March 2021	**Green (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Zero Carbon surveys are being undertaken in buildings to create a programme of works which help towards meeting the Carbon Management Plan targets. As per Q3 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.												

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/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.													
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 (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:	Work continues within the Housing stock to deliver carbon reduction. The Grant funding from Welsh Government has been secured and the team continue to work with all partners to ensure delivery of the project.												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Progress work on our Housing stock to deliver carbon reduction. The Grant funding from Welsh Government has been secured and the team continue to work with all partners to ensure delivery of the project.												
ESR/HR001	Review our corporate policies to invest in supporting infrastructure to encourage more sustainable behaviours of employees e.g. transport to and from work, agile working, active travel, waste and recycling and reducing energy consumption.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2021	**RED (Slipped)**

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 started to support how staff will work as we come out of the pandemic. The wellbeing survey will inform the latest position on how staff want to work i.e. from home, work or a blended approach. A review of office accommodation will also take place. This action will be carried forward into 2021/22 Risk Register.												
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	**Red (Slipped)**
ACTION UPDATE:	Work on the cycle to work scheme has been put on hold during Q4 due to the additional work related to the Oracle project which has taken resources from the payroll team. This will be reviewed further in 2021-22												
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. *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*	☑	☑	☑	☑				☑	☑	ER	March 2021	**RED (Slipped)**

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	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:	Next bike docking stations in Sully to be operational in Q1 of 21/22. Additional funding from Welsh Government for two more docking stations in Dinas Powys received and work underway to decide suitable locations. EV charging points for taxis in Barry delayed with install now set for Q1 in 21/22. Electric pool cars were not purchased this year as infrastructure for charging has not been procured.												
ESR/NS003	Implement the main road LED lighting scheme with the use of SALIX finance.	☑	☑	☑	☑				☑	☑	ER	March 2021	**RED (Slipped)**
ACTION UPDATE:	The LED lanterns have now been delivered and all other materials including lighting columns are either ordered or in stock to facilitate the implementation of the Salix scheme. As such, the Council has during March requested and received a drawdown of Salix funds to the value of £1,134,491 for the above equipment and materials which was received into the Council's bank on 29th March 2021. To allow receipt of the majority of equipment and material as well as allow sufficient time for the contractor to plan and programme the installation phase, the commencement on site was further delayed, but is now confirmed as 12th April 2021 with an anticipated 14 week period for completion.												
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	☑	☑	☑	☑	☑		☑	☑	☑	ER MG	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			
	the drafting of a Tree Management Strategy and an action plan to manage Ash Dieback.												█
ACTION UPDATE:	Funding was secured during quarter 4 (approx. £75k) to specifically manage high risk Ash Die Back along strategic routes e.g. A48. Discussion has continued this quarter regarding the capital bid and accompanying strategy for Ash Die Back, Cabinet report being prepared to assist with securing capital bid and service is working alongside other officers to produce an Ash Die Back Management Plan. Further work to be progressed into 2021/22.												
ESR/NS005 ESR/RP003	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.* • *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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	ER MG	March 2021	**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:	During Q4, progress has been made on several S106 schemes to deliver sustainable transport, including a new crossing and pedestrian improvements in Dinas Powys. Phase 2 of the Active Travel Network Map consultation has now closed and responses are being collated and evaluated before Phase 3 goes live.												
ESR/NS006	Monitor and assess changes in coastal morphology, including the beach and cliffs, in accordance with the appropriate Shoreline Management Plans. Includes milestone action: • Monitor the actions contained in the Shoreline Management Plan.		☑	☑	☑		☑	☑	☑	ER	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The wave monitoring continues to be ongoing uploading information to CCO website. The weather station is now back online following resolution of IT issues. A drone survey was completed in Q4 of The Knap beach and a procurement exercise carried out for further profile surveys at Penarth, Aberthaw and Llantwit Major. To assist with future monitoring and assessment of coastal morphology, the Council has in Q4 purchased a high specification drone using Welsh Government grant to undertake future survey works along coastal areas to monitor coastal erosion and beach levels in 2021/22 and beyond. Discussion is also ongoing with Welsh Government developers regarding additional coastal monitoring requirements at Cosmeston as a result of new development in this area.												
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	**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:	The National strategy has now been updated. Following the extra ordinary meeting South East Wales Flood Risk Management Group and a subsequent meeting with relevant parties, it was determined that the Welsh Government, Natural Resources Wales and WLGA are developing guidance for Local Flood Risk Management Strategies incorporating both statutory and non-statutory flood risk management plans within same document. Consultation on this guidance will be carried out post Welsh Government elections on 6th May 2021 due to purdah restrictions prior to guidance being finalised and issued. Following release of this guidance to local authorities, the revised Local Flood Risk Management Strategy for the Vale will be progressed and implemented and this is currently considered feasible by the end of Q2 for next financial year.												
ESR/NS008	Implement the Llanmaes Flood Risk Management Scheme.		☑	☑	☑		☑	☑	☑		ER	March 2021	**RED (Slipped)**
ACTION UPDATE:	Cabinet was updated on 25 January 2021 (Minute C456) regarding delivery of the Llanmaes Flood Risk Management Scheme and subsequently updated construction cost estimates have been provided by the scheme designer which indicate an increase to £2,939k. These increased scheme costs are due to a combination of the increased scale of works, particularly on land above the village and the detailed design being available for more accurate pricing of the works. The current delivery programme for this FAS anticipates appointment of the preferred contractor on 15th October 2021 and a six-month construction period. Funding is currently allocated based on construction being completed in 2021-22 and further consideration is underway of options to deliver the scheme within financial year, including an assessment of the feasibility for reducing the construction period.												
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*	☑	☑	☑	☑		☑	☑	☑		MG	March 2021	**GREEN (Completed)** Action completed and

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			
	and where possible enhance our natural and built environment and cultural heritage.												will be reflected as a control in the Register
ACTION UPDATE:	Annual Monitoring Report (AMR) 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 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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Construction of Llancarfan Primary School, the first net zero carbon primary school in Wales, is progressing in line with agreed programme. The Council has allocated an additional £300k to support decarbonisation of the Centre for Learning and Wellbeing and Ysgol Y Deri Expansion schemes, which is												

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			
	supplemented by an additional Welsh Government grant of £900k. 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:	Trees have been delivered to schools for planting. Launched a trial of the Biodiversity project with selected schools. Also progressing with green space audits across all schools. Biodiversity was a key component of the competitive procurement for the appointment of the contractor to deliver the Cowbridge Primary Provision and Centre for Learning and Wellbeing schemes. Slippage due to COVID-19 and school closures.												

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 homeowners 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 digital platforms 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. • Social media has been used throughout the Pandemic to communicate with businesses/citizens in relation to grants and support available.			
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/FIT001	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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Social media has been used throughout the year to communicate with businesses/citizens in relation to grants available. The annual consultation in relation to the budget proposals was undertaken using technology, opportunities with regards to the future use of the Council assets have been promoted via social media.												
WRR/FIT002	Continue to signpost applicants to enable them to fully access support on the digital service for UC applications.	☑	☑	☑	☑	☑		☑	☑	☑	CL	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Work continues to be signposted to digital platforms and all claimants are now accessing services via a digital platform												
WRR/FIT003	Continue to work with colleagues across the Council to raise awareness of Welfare	☑	☑	☑	☑	☑		☑	☑	☑	CL	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			
	Reform changes, along with coordinated money advice and employment initiatives in order to maximise rental income and reduce rent arrears.												
ACTION UPDATE:	This has slipped due to capacity issues. A report will be presented to Committee early in the new financial year.												
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	Red (Slipped)
ACTION UPDATE:	The One Stop Shop advice service commenced 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

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			
													control in the Register
ACTION UPDATE:	An established process is in place and the DWP notifies the Housing team each time a claimant moves onto Universal Credit. The Money Advice team contact each person to provide more information and advice about UC, budgeting, income maximisation etc												

Appendix 9 Corporate Risk 9: Public Buildings Compliance

Return to Risk Summary Report

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 whereas 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.
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. 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.

1.3 Risk Categories		
Categories	**Yes/No**	**Definition**
		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 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.	2	2	4
Resources	• Successful appointment of a Compliance Officer and two administrators.	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact Score**	**Total Score**
	• 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. • Regular compliance updates provided to School Investment Operational Board (SIOB). • Building compliance arrangements in relation to our Social Services buildings is in place and compliance status up to date.			
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 same time. Individual site managers are	2	2	4

2.2 Controlling Inherent Risk		Effectiveness of controls		
Category	**Current Controls**	**Likelihood Score**	**Impact Score**	**Total Score**
	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	2	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/FIT002	Review the way in which compliance issues are managed across the authority.	☑	☑	☑	☑				☑	☑	CL/LC	March 2021	**RED (Slipped)**
ACTION UPDATE:	This work has stalled due to Covid and will be recommenced in 2021/22.												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Compliance status up to date. Due/Overdue compliance checks identified, and arrangements made with building managers and contractors to recommence compliance checks but, many buildings still inconsistently occupied, hindering access.												

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/HS002	Provide regular compliance updates to the School Investment Operational Board (SIOB).	☑	☑	☑	☑	☑			☑	☑	MI	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Regular updates have been provided throughout the year.												
BCR/HS004	Undertake regular public buildings inspections to ensure we meet our building compliance responsibilities.	☑	☑	☑	☑	☑			☑	☑	AT	March 2021	**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:	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.												

Appendix 10 Corporate Risk 10: Safeguarding

Return to Risk Summary Report

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. Impact of workforce capacity to safeguard adults and children and young people, as a result of recruitment and retention difficulties. Failure to have suitable information sharing mechanisms in place to ensure safeguarding concerns are reported to the right people at the right time.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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, 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.	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• 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 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. Regular compliance monitoring received by group. 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	3	2	6

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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. • The iDev 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.	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	- 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 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. - Good compliance with Safeguarding training. - Staff are following the Wales Safeguarding Procedures and using the App and other resources to inform their practice. Levels 1,2 and 3 training is available to our workforce. - CPR/APR/DHR learning is regularly disseminated, mechanisms for sharing within various platforms to be explored. - Regional Exploitation Strategy has been ratified by the Regional Safeguarding Boards. - As part of 21st Century Schools Investment Programme, safeguarding is a regular agenda item at design team meetings. - Policies for schools visits and safer recruitment in schools are supported via iDev that has been rolled out to all schools.			

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

2.2 Controlling Inherent Risk				
		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	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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	School DSP/DDSP compliance was 62%. Of those out of compliance 50% are booked on to be trained in next 6 weeks. Level 1 training for schools on iDEV since roll out in January has seen 653 people complete training. At the end of Q4 Directorate DSP training compliance was 100%. Level 1 compliance sits at 100% within service area.												
SR/AS001	Implement/adhere to the Wales Safeguarding Procedures as it relates to Adult Services.	☑	☑	☑	☑	☑		☑	☑	☑	SC	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Staff are following the WSP and using the App and other resources to inform their practice. The delivery of the formal training by the regional training unit has been delayed. Training will be facilitated locally in the coming months.												

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/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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Levels 1,2 & 3 training is available to our workforce. The roll out has concluded but we continue to embed relevant changes to policies and procedures to reflect the requirements of the new safeguarding procedures.												
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.												

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/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 exploitation and how this can be used to information policy and practice.*	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
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 that will be progressed into 2021/22.												
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*	☑	☑	☑	☑	☑		☑	☑	☑	AP/NJ	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			
	exploitation and how this can be used to information policy and practice.												
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.												
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 (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:	Monitoring compliance has continued throughout the Covid-19 pandemic. The latest Safer Recruitment figures will be fed back to Corporate Safeguarding. Schools compliance for 2020/2021 was 97%. This mirrors last year's compliance which was also 97% (2019/20). Corporate compliance for 2020/2021 was 99%. This is a slight reduction on last year's figures of 100% for Corporate (2020/2021). Overall figures improved in comparison to last year where compliance was 98% (2020/2021) compared to 96% (2019/2020). Due to the pandemic, it was noted that there was a reduction of the number of new starters within the authority and schools.												
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:	No further progress has been made during Qtr 4.												
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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DH	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			
	Milestone Action: Deliver the Shared Regulatory Service Business Plan actions *(set out in section 6.2 of the Plan).*												
ACTION UPDATE:	The fluctuating restrictions experienced throughout the last year, saw Qtr 4 being largely locked down with only permitted retailers and businesses being authorised to open. This inevitably prevented the service returning fully to its "business as usual" activities, severely impacting the delivery of many of the actions contained in the SRS Business Plan. Notwithstanding this, the service has continued to be at the forefront of the enforcement of the Coronavirus Regulations, and continued to support Test, Trace and Protect through the secondment of officers and managing the risks in care homes and schools. A significant number of officers have also directed their attention to dealing with clusters identified at business premises. Any Business Plan activities that we were unable to deliver will, where appropriate, be rolled over to the next financial year.												
SR/SL001	Continue to work in partnership to maintain rigorous safeguarding protocols as part of the 21st Century School Investment programme governance scheme and monitor compliance.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T. Baker	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	In addition to the work of SIOB, a new project has not been identified and resources to undertake condition surveys for all schools in order to identify and plan appropriate improvements. In terms of all Band B projects, safeguarding is on the agenda at design team meetings and designs are considered by Designing Out Crime Officer.												

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/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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The roll out of iDev to schools is now complete and appropriate training programmes have been identified.												

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. • Joint Commissioning Strategy for Adults with learning Disabilities continues to be the focus of all developments with Learning Disability services.			
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	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	commissioning strategy for accommodations with care and the creation of 6 intermediate care beds at the Ty Dyfan reablement unit to support 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			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	Vale's Locality Mental Health Team has been established and is now operational. • Get Me Home Plus has been implemented and established into discharge structures. • Joint Commissioning Strategy for Adults with learning Disabilities continues to be the focus of all developments with Learning Disability services. Workstreams were restarted September/October 2020 to review activity over the period of the pandemic and refocus on commitments for the next year.			
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

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	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	**RED (Slipped)**
ACTION UPDATE:	We have utilised qtr 4 to plan the future models for taking this project forward in 2021-2022. This is dependent on staffing resources released from other key priorities and ensuring that the GP triage pilot links in with new services that the UHB has developed over the course of the pandemic - e.g. urgent care pathfinder/CAV 24/7.												
IHSR/AS002	Develop more 'closer to home' and strengths-based services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**RED (Slipped)**
ACTION UPDATE:	Training booked for delivery in Q1 of 2021, which will be completed by social care staff.												
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	**RED (Slipped)**
ACTION UPDATE:	Qtr 4 has as predicted seen some planning towards the implementation of this project. We have secured ongoing funding for a transitional year, and the HoS is working with the HSC partnership team to scope out the project and how we can accelerate this work over the coming 12 months. Recruitment is actively happening for project staff, and for backfill to release capacity for some leadership roles to enable them to fully engage in the project for the coming year. Action to be taken forward into 2021-22 under Action Reference AS/A010												

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 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:	As outlined in Qtr3 reporting we have been unable to progress this in qtr 4, but we have planned a way to take forward this action in 2021-2022, subject to the release/recruitment of staff from other critical services - TTP/Testing/Vaccination booking centres. Action to be taken forward into 2021-22 under Action Reference AS/A015												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Joint Commissioning Strategy for Adults with learning Disabilities continues to be the focus of all developments with Learning Disability services. Workstreams were restarted September/October 2020 to review activity over the period of the pandemic and refocus on commitments for the next year. Briefing for people with a Learning Disability and their carers in draft currently, that was finalised for distribution January 2021. Briefing distributed March 2021 outlining progress made under the eight Workstreams. Workstreams re-started but acknowledged that review required in Q1 of 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:	Due to the Departments response to the Covid-19 pandemic, opportunities for further implementation of Your Choice have not been possible in this financial year. However, we have identified the first agency for inclusion on the scheme in the new financial year. Providers currently on the Your Choice scheme continue to report positive outcomes for both service users and staff. Action to be taken forward into 2021-22 under Action Reference RMS/A012.												

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 workload/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. Monthly data reporting has been put in place across the partnership, with quarterly monitoring taking place through the DoLS partnership board.	1	2	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Service Delivery & Well-being	Ongoing prioritisation of cases based on levels of risk and deprivation assisted by an effective case management system. 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.	1	2	2
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

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	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/RMS001	Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2021	**RED (Slipped)**
ACTION UPDATE:	Code of Practice to support Liberty Protection Safeguards are still awaited. The COVID-19 pandemic has meant that WG has pushed back the original implementation date of Oct 2020 and we are awaiting further information. 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. Working parties will be progressing the development of a Code of Practice in partnership with Welsh Government that will be taken forward during 2021/22.												
DOLR/RMS002	Implement, with the advice of Legal Services, the requirements of the Liberty Protection Safeguards (subject to publication of the relevant Code of Practice)	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2021	**RED (Slipped)**
ACTION UPDATE	Code of Practice to support Liberty Protection Safeguards are still awaited. The COVID-19 pandemic has meant that WG has pushed back the original implementation date of Oct 2020 and we are awaiting further information. Work has begun on reviewing team structure and resource and the partnership board meet regular to have a strategic overview.												
DOLR/RMS005	Identify and utilise data from the DoLS team to monitor outstanding requests for deprivations.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2021	**Green (Completed)** Action completed and will be reflected as a

3. Risk Management Plan – Mitigating Actions															
		Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status		
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term					
													control in the Register		
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														

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. • Welsh Government Performance Measurement Framework guidance is designed to be referenced by Local Authorities when undertaking or commissioning work on both the "Understanding Experiences and Outcomes" element and the "Using Evidence to in Inform Improvement" element of the Performance and Improvement Framework.	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	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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 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. • Financial assessments are also undertaken virtually.			
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	**Green (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Residential: Full ICT survey completed across all homes which has identified the need for further upgrade. Funding being explored. Procurement processes are using technology to ensure that the views, wishes and feelings of the citizens are captured in service specification design. Financial assessments are also undertaken virtually.												
WCSR/RMS 002	Co-ordinate the implementation of a new Welsh Government Performance Measurement Framework across Social Services.	☑	☑		☑	☑				☑	AP	March 2021	**Green (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Work has started to develop two sets of guidance concerning the Performance and Improvement Framework. The guidance is designed to be referenced by Local Authorities when undertaking or commissioning work on both the "Understanding Experiences and Outcomes" element and the "Using Evidence to in												

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			
	Inform Improvement" element of the Performance and Improvement Framework. Workshops are being planned for the year ahead guidance to support the Code of Practice in relation to Measuring Performance and Improvement Framework.												

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. • Data flows exercise to map and identify any potential IT systems/databases where data is held by Third parties outside of the UK. To date no significant areas of concern have been identified.	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.	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• 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 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. • Refreshed our content on our digital platforms such as our website and social			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	media accounts. Key messages continue to be disseminated via our communication platforms. • All ESF funded projects are designed with an exit strategy and will be looking to implement these from June 2022. • Established a mechanism/tool for monitoring cost pressures in relation to supplies as result of Brexit. • Council staff have been attending several briefings and meetings with UK Government officials with a view to submitting a bid in June to access grant funding for interim projects.			
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. • 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. • Two pilot awareness raising webinars on the EUSS scheme were held with housing and homelessness services staff and external partners. • Established an exploratory group that meets on a regular basis to explore potential food poverty projects in Llantwit Major.	1	1	1

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

2.2 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	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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Good progress continues to be made in the implementation of the Brexit Impact Assessment Action Plan. We have kept under continuous review our supply chains an maintain close contact with our suppliers to gain assurance of any potential supply chain issues. During the quarter we completed a data flows exercise to map and identify any potential IT systems/databases where data is held by Third parties outside of the UK. To date no significant areas of concern have been identified, but this work will be undertaken on an ongoing as and when new IT systems are procured/implemented unless a data adequacy ratification is received in the next 4 months. Further advice has been provided on staff applying for EU settled status, which needs to be undertaken by 30th June 2021. Two pilot awareness raising webinars on the EUSS scheme were held with housing and homelessness services staff and external partners such a Newydd, Hafod, Llamau, Wallich, Taff Housing and Atal Y Fro.												
BXR/PB002	Provide communications and	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	**GREEN (Completed)**

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			
	information to staff, customers/citizens, and businesses on Brexit issues.												Action completed and will be reflected as a control in the Register
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. Although the comms work we intended to undertake this financial year has been completed, this will remain an ongoing piece of work.												
BXR/ALN001 BXR/SP001	Ensure that appropriate exit strategies are in place for ESF funded projects.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 20201	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	All ESF funded projects are designed with an exit strategy and will be looking to implement these from June 2022. The current plan remains to identify funds to continue the work. The Vale is working with other LAs and regional leads to secure a regional or national project for current ESF projects to transition into, although this may look different from the current provision. 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. Information from Westminster has recently seen the launch of the Community Renewal Fund which is seen as a precursor to the Shared Prosperity Fund (replacement for ESF/EDRF funds). The funds within the CRF are limited and the Vale is not a priority area. A team of officers will be working up a LA plan although a regional bid for employability is favoured. Positively C4W+ has secured an additional £193,418 for 2021-22 financial year. The launch of many employability-based projects by the DWP has seen the numbers being referred to the CfW team reducing this quarter.												

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	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	We closely monitor on a regular basis with providers, this is now being undertaken on an ongoing basis.												
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 completed and will be reflected as a control in the Register
ACTION UPDATE:	Corporately the Council continues 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.												
BXR/RP001	Work with Welsh Government and Welsh Local Government	☑	☑	☑	☑				☑	☑		March 2021	**GREEN (Completed)**

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Association and local businesses to maximise opportunities for new grant sources after leaving the European Union.												Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Council staff have been attending several briefings and meetings with UK Government officials with a view to submitting a bid in June for interim projects. Funding levels will be significantly lower than predicted EU allocations. It is likely that the UK Government will want to see a single large project from each area as opposed multiple smaller projects.												
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
ACTION UPDATE:	A review was undertaken, and all officers are properly authorised to continue their statutory duties.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/PB003	Work in collaboration with GVS to assess Community Organisation/Third Sector resilience to impact of Brexit.	☑	☑	☑	☑	☑	☑	☑	☑	☑		April 2021	**Red (Slipped**
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. Further work to be progressed into 2021/22.												
BXR/PB004	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 applied to other areas post transition.											March 2022	**GREEN (Completed)** Action completed and will be reflected as a control in the Register

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			

3. Risk Management Plan – Mitigating Actions

ACTION UPDATE:	We have continued to explore ways of supporting those in greatest of need/poverty to be able to access food supplies in the event of Brexit and any disruption to supplies. We have also utilised our learning from the Pandemic to create and further strengthen support networks via the 'Vale Heroes' to support emerging food poverty issues. During the quarter we have continued with the work of the exploratory group that meets on a regular basis to explore potential food poverty projects in Llantwit Major. The Group have agreed a project outline and brief that provides an overview of how the pilot project in Llantwit Major will look and is looking to answer the question 'why can some people not have a good meal every day?'. The work will seek to explore reasons associated with affordability and accessibility of food. A twin-track approach has been agreed for this pilot project that will focus on: i) identifying action we can take now-The partnership will continue to meet to share ideas, learning and experience to identify new opportunities and actions that can be put in place to ensure everyone can have a good meal every day. ii) engaging our residents-working collaboratively with partners in Llantwit Major and the community, the group will deliver an engagement programme with a focus on explorative conversations around the question of why some people cannot have a good meal every day. These conversations are intended to be personal and experience-based and seek to identify reasons and solutions. To progress the engagement work, an engagement sub-group has been established that are working to develop and engagement plan. Sub-group membership includes representatives from Creative Rural Communities, GVS, Vale Food Bank, Ysgol Y Ddraig and council officers. We have also utilised grant funding to support the operation of the Fareshare scheme in Llantwit Major, further extending the range of options available to people to access affordable food locally. Although the work we intended to undertake this financial year has been completed, food poverty will remain an ongoing area of activity in relation to Brexit.

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			
New Action	Explore with CAB the option of delivering virtual webinars that can be accessed/delivered generally to citizens and also webinars tailored to business community, housing associations, and voluntary sector organisations to raise awareness of EUSS application support available.										TB	April 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	We have worked in conjunction with CAB to deliver EUSS awareness raising Webinars to staff and key partners. For example, during March two webinars were delivered to our housing and homelessness teams as well as other key partners that included Newydd, Hafod, Atal Y Fro, Taff Housing, Llamau and the Wallich.												

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			
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 being made, and progress made on mitigations.										DM/TB	April 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Briefing paper produced and presented to SLT that set out reasons and approach for assessing the status of data held by Third Parties to the Council. We completed a data flows exercise to map and identify any potential IT systems/databases where data is held by Third parties outside of the UK. To date no significant areas of concern have been identified, but this work will be undertaken on an ongoing as and when new IT systems are procured/implemented unless a data adequacy ratification is received in the next 4 months.												

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*

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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 require the same type of statutory plan. This could impact on the

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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. • Effective 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. • A significant amount of training has been undertaken on trauma informed approaches.	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. • IDP training has continued through ALNCO training. IDPs have been trialled and training has addressed the format, systems and procedures around IDPS. Regular half termly ALNCO training has continued to address the wider implementation needs of the Act and the new code. • Strategic links have been developed with CAVC to develop an agreed vision for the inclusion of learners with additional learning needs post 16. • Dispute resolution training has continued to be delivered.	1	1	1

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Central training delivered and well attended on the wider implication of the ALN Act for local authority staff. IDP and PCP training will be offered to EOTAs staff and Social services. PCP training has been offered to CLA coordinators.			
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. • Early Years meetings continue to be attended, regionally and with Cardiff in order to plan early years provision. • An Early Years Forum has been established and the Early Years toolkit has been published and is being shared with Early Years providers. • 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. • Partners have advocated for the educational needs of learners in the 7 different vulnerable groups. • Proposals have now been through all stages of the consultation process for	2	1	2

2.2 Controlling Inherent Risk				
Category	• Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	the development of an additional resource base at Whitmore High. • All schools are trialling Individual Development Plans (IDP) and EY and LA IDPS. Person Centred Planning (PCP) and IDP reviews have been developed and new formats trialled. PCP training has continued to be run and offered. A PCP toolkit has been developed. • Outreach services have worked regionally to consult on barriers to learning and provision to address these barriers. • New policies on pupil well-being have been well received by schools and are going to Governing Bodies for adoption. • Additional provision for school-based counselling has been commissioned via Barnardo's Cymru to provide additional capacity. A specialist counsellor has also been commissioned to deliver a counselling service to primary aged pupils. • In response to increased need the capacity of the Engagement Service which works with schools to meet the SEMH needs of children and young people in the Vale has been increased. An additional specialist teacher has joined the team and plans are in place to employ clinical psychologist to add further expertise. • The Motional assessment tool has been purchased for schools for 3 years 2021-2024. Motional is an online tool for identifying, assessing, and improving the emotional health and wellbeing of children and young people. It builds capacity within mainstream schools to respond quickly to mental distress as pupil assessments generate activity/intervention plans tailored to the emotional health profile of the individual.			

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• In order to build emotional resilience of staff and schools have been provided with the following: • 2 x 45 minutes 'Recovery from Trauma' webinar Dr Coral Harper for all staff working in schools • Action for Happiness initiative across all schools including resources and training for staff self-care, Keys to Happier Living journal • Increased provision of clinical supervision for education staff working as trauma informed practitioners • Subscription to The Happy Newspaper for all staffrooms • In addition to the comprehensive Trauma and Mental Health Informed Schools training already commissioned and continuing 2019-22 additional training has been made available to schools as follows: • 'Supporting the Return to School' Trauma Informed Schools 3 hr training for all education staff • Additional Senior Leaders Trauma Informed Schools 2-day course for all pastoral leads/heads of year in secondary schools • Mental Health first Aid training available for all schools • Therapeutic workshops, Play, music, OT understanding the functions of behaviour • DDP Level 1 training – for all secondary schools • The following resources have also been made available to schools: • Action for Happiness Schools Toolkit – All primary schools and Year 7 pilot group • Rainbow Pathway – Trauma informed PSE curriculum - all primary schools			

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Comprehensive library of books and resources to support emotional wellbeing • Additional Welsh language books and resources • Resources to support co and self-regulation including drum kits, balance boards, exercise balls, stretchy bags/tunnels and bands, floor surfers, spinners • The Centre for Learning and Wellbeing will be opening in September 2021, albeit on the current site of the PRU. Also, the autism resource base will be welcoming pupils in September in the newly constructed Whitmore High School			
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											
	Inherent Risk Scores			**Effectiveness of controls Score**			**Residual Risk Score**			**Direction of Travel**	**Forecast Direction of Travel**
Category	**Likelihood**	**Impact**	**Total**	**Likelihood**	**Impact**	**Total**	**Likelihood**	**Impact**	**Total**		
Political & Legislative	3	3	9	2	1	2	2	3	6	↔	↔
Resources	4	3	12	1	1	1	4	3	12	↔	↔
Service Delivery & Well-being	3	3	9	2	1	2	2	3	6	↔	↔
Reputation	2	3	6	1	1	2	2	3	6	↔	↔
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	**Green (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Work with partners to develop and implement a new way of working with children and their families is ongoing. The team have worked in partnership to advocate for the educational needs for learners in the 7 different vulnerable groups												
ALNR/ALN001	Develop early years ALN provision in line with the expectations of the ALNET (Wales) Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (Completed)** Action completed and will be reflected

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													
													as a control in the Register
ACTION UPDATE:	The Early Years Officer has developed the Early Years Forum to identify, plan, support and review Early Years pupils with ALN and their needs. Training has been offered for spring and summer terms for ALN Early Years. The Early Years toolkit has been published and is being shared with Early Years provision.												
ALNR/ALN002	Develop additional specialist resource base and special school places to meet current and projected need.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Proposals have now been through all stages of the consultation process and implementation will begin from September 2021. The SRB at Whitmore High School will be the first to open in September 21. Staff have been appointed to the SRB and young people identified for the first cohort of pupils.												
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 (Completed)**

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 completed and will be reflected as a control in the Register
ACTION UPDATE:	All schools are trialling Individual Development Plans (IDP) and EY and LA IDPS. Person Centred Planning (PCP) and IDP reviews have been developed and new formats trialled. PCP training has continued to be run and offered. A PCP toolkit has been developed and shared with schools. Provision Mapping is being developed through the ALNCO training.												
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)**
ACTION UPDATE:	Work has progressed in quarter 4 with the completion of a regional professional learning offer, which has been a positive step forward. Further work will continue into quarter 1, as a result of the impact of the Pandemic.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ALNR/ALN005	Support development of the ALNCo role in schools as set out in the ALNET (Wales) Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	IDP training has continued through ALNCO training. IDPs have been trialled and training has addressed the format, systems and procedures around IDPS. Regular half termly ALNCO training has continued to address the wider implementation needs of the Act and the new code.												
ALNR/ALN006	Work with partners to develop an education and training offer for young people 16-25.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**Red (Slipped)**
ACTION UPDATE:	This is an ongoing piece of work that will be carried forward into next financial year. This is a complex area and good progress has been made in meeting expectations this academic year, despite the difficulties in liaising with partners as a result of the pandemic. The Vale and Cardiff are working closely with Cardiff and Vale College and good relationships are being established. A lead officer will be appointed next academic year to lead on this work across Cardiff and the Vale which will provide the additional focus required in this key area of work. Action to be carried forward to 2021/22 Risk 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			
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The transition group continued. Training has taken place with Cardiff around the protocol and guidance being developed for secondary schools and YYD. Consultation groups were set up and the guidance revised. The FE forum continues to run with CAVAC . Project work on ALN needs for post 16 continues.												
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	**Red (Slipped)**
ACTION UPDATE:	Updates to the Vale website planned. Further information for parents and school websites being developed for ALNCos to use with pupils and parents. Information for parents shared with ALNCOs in ALNCO training. All work on track to be published by the end of the summer term.												

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/ALN009	Seek the views of service users on current additional learning needs provision and on how to develop provision in future.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**Red (Slipped)**
ACTION UPDATE:	Further parental consultation has been limited due to continuing COVID restrictions. Close work with ALNCO clusters on developing future ALN provision has been organised through the year.												
ALNR/AL010	Further develop the role of outreach services, and support inclusion in all educational settings more effectively.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Regional work around provision continues to inform practice. Outreach services have worked regionally to consult on barriers to learning and provision to address these barriers. Outreach work has now begun again with risk assessments in place, data will be analysed. Provision mapping is being worked on regionally and with ALNCos.												

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/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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Dispute resolution training has continued to run. Guidance around dealing with complaints is being developed to share with schools using the theory covered in the training.												
ALNR/ALN012	Work with schools to ensure that pupils are happy, safe and free from discrimination.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**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:	The new policies have been well received by schools and are going to Governing Bodies for adoption.												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	• Ongoing discussions between Improvement Partners and schools regarding use and impact of PDG. This has led to a clear overview of what changes have had to be made to the PDG plan, any impact on EFSM learners focussing on teaching and learning, well-being and engagement, and main concerns regarding EFSM learners and how schools are planning to address these in 2021-22. • Ongoing discussions between Improvement Partners and headteachers in relation to the allocation of the Recruit, Recover, Raise Standards: Accelerating Learning Programme grant and how planned activities have been adapted during lockdown. Planned joint monitoring activities by Improvement Partners and leaders have not happened due to lockdown. • Ongoing discussions between Improvement Partners and schools about continuity of learning with a strong focus on supporting vulnerable learners.												

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			
	• Comprehensive professional learning offer in place linked to equity and wellbeing. • Successful and well received programme of events during PDG week (March 22-26); sessions recorded to enable future dissemination of messages and sharing of best practice with those unable to attend. • Appreciative inquiries beginning to be developed to support the identification of strong practice in relation to support for vulnerable learners and its impact. • CSC have worked with LA officers, improvement partners and strategic advisers to develop a regional document that describes the decision-making process for mainstream schools for identifying ALN. Consultations have been undertaken with specialist LA teams, HTs, ALNCos and health. The next steps are to work with ALNCos to create case studies to illustrate the processes outlined in document. • CSC continue to work with external partners to support the individual progress of vulnerable learner groups including SSCE, BAME and young carers and signpost schools to support and resources available.												
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 (Completed)** Action completed and will be reflected as a control in the Register

		Risk Management Plan – Mitigating Actions											

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 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. Panel has been re-orientated and re-established to reflect the requirement to be functional during the pandemic.												
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 (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	A significant amount of training has taken place this academic year despite the pandemic. The continuation and expansion of this professional learning offer is a key aspect of the Directorate's action plan to meet the increasing social, emotional and mental health needs of children and young people in the Vale of Glamorgan.												
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 (Completed)**

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 completed and will be reflected as a control in the Register
ACTION UPDATE:	Central training has been offered, and well attended on the wider implication of the ALN act for LA staff. IDP and PCP training will be offered to EOTAs staff and Social services. PCP training has been offered to CLA coordinators.												

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. • Localised Recovery Planning priorities have been identified and reflected within the Annual Delivery Plan for 2021/22.			
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	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	support needs and if they need any 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.			
	• The Council's Communications Manager is the Communications lead for a range of regional groups responding to the coronavirus pandemic.			
	• A Community Impact Assessment and an Economic Impact Assessment dashboards are regularly updated and discussed at SLT. Dashboard data is also regularly disseminated and shared with staff via weekly messages from the Managing Director.			
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.	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
	256	**Likelihood Score**	**Impact score**	**Total Score**
	• 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.			
Overall Effectiveness of Controls Score		**2**	**1**	**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	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/PB002	Develop Directorate Recovery Plans to guide service areas through transition to recovery.	☑	☑	☑	☑	☑	☑	☑	☑	☑	Directors	September 2020	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Localised Recovery Planning priorities have been identified and reflected within the Annual Delivery Plan for 2021/22.												
CV/PB003	Develop a suite of insight reports to monitor the community and economic impact of coronavirus.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TBowring	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
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 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.												

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/PB004	Maintain a regular communications plan to accompany service changes and other important public health messages to share information.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TBowring	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
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.												