

Meeting of:	<b>Cabinet</b>
Date of Meeting:	<b>Monday, 25 October 2021</b>
Relevant Scrutiny Committee:	Corporate Performance and Resources
Report Title:	Corporate Risk Register Quarter 1 Update
Purpose of Report:	To update Cabinet on the quarter 1 position of Corporate Risks for April 2021 - June 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.
<p><b>Executive Summary:</b></p> <ul style="list-style-type: none"> <li>This report provides Cabinet Members with an overview of the Corporate Risk Register for Quarter 1 (April 2021-June 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 risks with the ability to drill down to the detail of risks as and when required.</li> </ul>	

## Recommendations

1. That Cabinet notes the Quarter 1 position of corporate risks for the period April 2021-June 2021 as outlined in Annex A.
2. That Cabinet considers and endorses the Corporate Risk Register for Quarter 1 and the associated Corporate Risk Summary Report.

## Reasons for Recommendations

1. To ensure Cabinet identify the quarter 1 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. This section of the report provides an analysis of the emerging risk issues associated with risks on the Register.

- 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 1 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 the quarter 1 position of the Risk Register, whilst noting the following developments.
- 2.11 Covid-19-** By the end of the quarter 1 period (June 2021), a number of restrictions had been eased and as a result of the successful vaccination programme we began to see a reduction in infection rates.
- 2.12** In response to this improving public health picture the Welsh Government began to further ease restrictions.

- 2.13** From the 17<sup>th</sup> July, Wales moved fully into alert level 1, which allowed for up to six people to meet indoors in private homes and holiday accommodation, organised indoor events for up to 1,000 people seated and up to 200 standing and the reopening of ice rinks. The phased move to level 1 also allowed children to attend residential activity centres in group of up to 30. The Welsh Government also put in place specific requirements for employers to provide information on risk and mitigations as identified in their Covid risk assessments with their employees.<sup>1</sup>
- 2.14** As part of the Coronavirus Control Plan, the Welsh Government confirmed that from the 7<sup>th</sup> August, Wales would move to alert level zero<sup>2</sup>. This saw:
- The removal of legal restrictions on the numbers 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.
- 2.15** At the time, 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<sup>3</sup>. 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<sup>4</sup>. But they have emphasised that this aspect will be kept under ongoing review<sup>5</sup>.
- 2.16** 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 7<sup>th</sup> August<sup>6</sup>. 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<sup>7</sup>.
- 2.17** On the 8<sup>th</sup> August, there were further changes to the [traffic light system](#) for travel 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 required to self-isolate but instead are required to take a COVID tests both prior and after arrival

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<sup>1</sup> Welsh Government, Press Release, [Next Steps towards a future with fewer Covid rules](#), 14<sup>th</sup> July 2021

<sup>2</sup> Welsh Government Press Release, [Wales moves to alert level zero](#), 5<sup>th</sup> August 2021

<sup>3</sup> Welsh Government Press Release, [Wales moves to alert level zero](#), 5<sup>th</sup> August 2021

<sup>4</sup> Welsh Government Press Release, [Wales moves to alert level zero](#), 5<sup>th</sup> August 2021

<sup>5</sup> Welsh Government Press Release, [Next Steps towards a future with fewer Covid rules](#), 14<sup>th</sup> July 2021

<sup>6</sup> Welsh Government, Press Release, [Self-isolation support payment increased to £750](#), 4<sup>th</sup> August 2021

<sup>7</sup> Welsh Government, Press Release, [Self-isolation support payment increased to £750](#), 4<sup>th</sup> August 2021

to the UK<sup>8</sup>. 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<sup>9</sup>. On the 4<sup>th</sup> October the UK government announced a further change to the travel rules, by replacing the traffic light system with a single red list<sup>10</sup>. This will mean fully vaccinated individuals arriving from non-red list countries will now not be required to take a test prior to their arrival in the UK<sup>11</sup>. However, the rules have not changed for those arriving from red listed countries, they will still be required to pay for hotel quarantine for 10 days<sup>12</sup>. All travellers will still be required to pay for a PCR test two days after their arrival and those who are not fully vaccinated will be required to take a pre-departure test and a PCR test on days two and eight of their return and must still self-isolate at home for 10 days<sup>13</sup>. The UK government have indicated they plan to remove the requirement for fully vaccinated people in England to have a PCR test 2 days after arrival and to instead take a cheaper lateral flow test<sup>14</sup>. However, the Welsh Government has opposed this proposed change to PCR testing and has asked the UK government to reverse any decision that moves away from PCR testing<sup>15</sup>.

- 2.18** From September, the Welsh Government 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<sup>16</sup>. To support these decisions, the Education Minister published a 'Local Covid-19 Infection Control Decision Framework' for [school operations](#) on the 27<sup>th</sup> August that further set out arrangements for the delivery of learning from the autumn term<sup>17</sup>
- 2.19** In responding to the impact and pressures the pandemic has placed on our public services and in particular social care, the Welsh Government announced on the 14<sup>th</sup> September a £48m COVID recovery fund to support social care in Wales. Of this £48m, the majority (£40m) has been allocated to local authorities to help address the ongoing pressures in social care, whilst the remaining £8m will be prioritised for extending the carers support fund, tackling loneliness in older

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<sup>8</sup> Welsh Government, Written Statement, [International travel changes from 8<sup>th</sup> August 2021](#), 5<sup>th</sup> August 2021

<sup>9</sup> Welsh Government, [CMO advice on 21 day review of COVID-19 restrictions](#), 5<sup>th</sup> August 2021

<sup>10</sup> BBC News, [Covid: Amber list scrapped as travel rules simplified](#), 4<sup>th</sup> October 2021

<sup>11</sup> BBC News, [Covid: Amber list scrapped as travel rules simplified](#), 4<sup>th</sup> October 2021

<sup>12</sup> BBC News, [Covid: Amber list scrapped as travel rules simplified](#), 4<sup>th</sup> October 2021

<sup>13</sup> BBC News, [Covid: Amber list scrapped as travel rules simplified](#), 4<sup>th</sup> October 2021

<sup>14</sup> BBC News, [Covid: Amber list scrapped as travel rules simplified](#), 4<sup>th</sup> October 2021

<sup>15</sup> Welsh Government Press Release, [Welsh Government confirms international travel changes and calls for PCR test retention](#), 27<sup>th</sup> September 2021.

<sup>16</sup> Welsh Government Press Release, [Changes to keep schools safe and learners learning](#), 9<sup>th</sup> July 2021

<sup>17</sup> Welsh Government Written Statement, [Local Covid-19 Infection Control Decision Frameworks for schools and colleges from autumn 2021](#), 27<sup>th</sup> July 2021

people, investing in the social care workforce's wellbeing and in residential services for care-experienced children<sup>18</sup>

### **Infection rates**

**2.20** Infection rates have been rising, as coronavirus restrictions have been eased. At the end of quarter 1 (29<sup>th</sup> June), the latest coronavirus data available for a rolling seven days (between 19<sup>th</sup>-25<sup>th</sup> June) showed there had been 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%<sup>19</sup>. Since then, infection rates have been escalating. As at the 29<sup>th</sup> September, the latest coronavirus data for a 7-day rolling period (between 17<sup>th</sup>-23<sup>rd</sup> September) showed that there had been 1,037 cases identified in the Vale of Glamorgan, with a case rate of 776.3 per 100,000 with a positivity rate of 16.8%<sup>20</sup>. 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 19<sup>th</sup>-25<sup>th</sup> June to 650.6 per 100,000 of the population between 17<sup>th</sup>-23<sup>rd</sup> September. There has also been a marked increase in the positivity rates between these periods, with positivity rates increasing from 4.2% between 19<sup>th</sup>-25<sup>th</sup> June to 15.4% between 17<sup>th</sup>-23<sup>rd</sup> September<sup>21</sup>. Although infection rates across the Vale of Glamorgan and nationally are on the rise, there is not the same correlation as in previous waves between Covid infections and hospitalisation and deaths. At the week ending 19<sup>th</sup> September, 5% (70) of all inpatients in hospital within the Cardiff and Vale University Health Board Trust were confirmed as Covid positive cases. This is similar to the rest of Wales where 7% (637) of inpatients across Wales were confirmed Covid cases. Although these inpatient figures are higher than those seen at the end of quarter 1 (27<sup>th</sup> June), where 1% (12) of inpatients in Cardiff and Vale were confirmed cases and 1% (51) of inpatients across Wales as a whole were Covid positive cases, the inpatient numbers remain far lower than that seen during the peak of the second wave in December 2020.

### **Vaccination progress**

**2.21** Significant strides continue to be made with the vaccination programme. By the 31<sup>st</sup> August, over 4.5 million vaccinations have been administered to people in Wales<sup>22</sup>. As vaccination coverage continues to rise, the Chief Medical Officer reported that as at the 5<sup>th</sup> August 80% of the adult population in Wales is now fully vaccinated<sup>23</sup>. The total number of doses of vaccines administered in Cardiff and the Vale of Glamorgan was 719,954 (comprising of 371,077 first doses and 348,877 second doses) as at 15<sup>th</sup> September. This data is reported on a daily dashboard by the [Cardiff and Vale Health Board](#).

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<sup>18</sup> Welsh Government Press Release, [£48m COVID recovery fund to support social care in Wales](#), 14<sup>th</sup> September 2021

<sup>19</sup> [Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area](#),

<sup>20</sup> [Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area](#)

<sup>21</sup> [Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area](#),

<sup>22</sup> Welsh Government, [Covid-19 vaccination programme update](#), 31<sup>st</sup> August 2021

<sup>23</sup> CMO advice: [21 day review of COVID-19 restrictions](#), 5<sup>th</sup> August 2021

- 2.22** The focus of the vaccination programme continues to be on targeting younger age groups (18-40 year olds) where there are more vaccine-hesitant communities<sup>24</sup>. This is being done concurrently with accelerating second dose vaccination and vaccinating those who might have missed their first dose appointments. As at the 15<sup>th</sup> September, Cardiff and Vale UHB's Vaccination figures indicated that 76.4% of individuals aged 18-29 and 70.9% of 16–17-year-olds had taken up their offer of a first vaccine compared to vaccine uptake rates of over 90% for those over 55 years old<sup>25</sup>.
- 2.23** The Welsh Government confirmed that the JCVI published advice regarding the vaccination of children and young people. The JCVI have recommended vaccination of 16 and 17-year-olds<sup>26</sup>. In the Welsh Government's latest vaccination programme update they confirmed that all 16- and 17-year-olds in Wales have received their first dose vaccination offer with all appointments scheduled at the end of August<sup>27</sup>. Since then, the Welsh Government have also confirmed in a written statement, their position on the vaccination of 12–15-year-olds following JCVI and Chief Medical Officer advice. Initially the JCVI advised that the wider vaccination of 12–15-year-olds without underlying health conditions has only a marginal benefit, but that this benefit was too small to recommend a universal programme of vaccination<sup>28</sup>. However, in their advice they did highlight that if Ministers agreed that there are wider issues of consideration that sit outside the remit of JCVI i.e education, mental health, that the UK's 4 Chief Medical Officers (CMOs) were best place to advise<sup>29</sup>. The UK Chief Medical Officers considered these wider issues in order to come to a decision. Following detailed consideration, the UK's CMOs recommended that all children and young people aged 12-15years should be offered a first dose of Pfizer-BioNTech vaccine on the basis of the benefits of reducing educational disruption and reducing other public health harm as well as the small advantage it provides at the individual level<sup>30</sup>. Following the CMO's advice, the Welsh Government confirmed that they will now proceed with offering a vaccine to all children and young people aged 12-15years old with parents/guardians asked to give consent<sup>31</sup>. The Welsh Government have indicated that they plan to vaccinate all 12-15year olds who wish to take up the offer of a vaccine by October half term<sup>32</sup>.

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<sup>24</sup> CMO advice: [21 day review of Covid-19 restrictions](#), 14<sup>th</sup> July 2021.

<sup>25</sup> Data published on the [Cardiff and Vale Vaccination Dashboard](#) on a daily basis.

<sup>26</sup> Welsh Government, Written Statement, [COVID-19 Vaccination- JCVI announcement on vaccinating Children and Young People](#), 4<sup>th</sup> August 2021.

<sup>27</sup> Welsh Government, [Covid-19 vaccination programme update](#), 31<sup>st</sup> August 2021

<sup>28</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI & Chief Medical Officer advice on vaccinating 12-15year olds](#), 14<sup>th</sup> September 2021

<sup>29</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI & Chief Medical Officer advice on vaccinating 12-15year olds](#), 14<sup>th</sup> September 2021

<sup>30</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI & Chief Medical Officer advice on vaccinating 12-15year olds](#), 14<sup>th</sup> September 2021

<sup>31</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI & Chief Medical Officer advice on vaccinating 12-15year olds](#), 14<sup>th</sup> September 2021

<sup>32</sup> Welsh Government Statement by the Minister for Health and Social Services, [Update on Covid-19](#), Plenary 14<sup>th</sup> September 2021

- 2.24** On the 14<sup>th</sup> September in another written statement, the Minister for Health and Social Services outlined that the Joint Committee on Vaccination and Immunisation (JCVI) have published its advice regarding Autumn vaccine booster campaign<sup>33</sup>. The JCVI advice provided clarity on progressing the next phase of the vaccination campaign, by recommending that an autumn booster campaign be undertaken for specific groups within the population<sup>34</sup>. This advice has been made in order to reduce Covid-19 incidences and to maximise protection of those groups most vulnerable to a serious infection over the winter months<sup>35</sup>. The JCVI have recommended that for phase 1 of the booster programme priority groups 1-9 should be offered a third dose with a minimum 6-month interval after their 2<sup>nd</sup> dose<sup>36</sup>. They also recommended the use of mRNA vaccine (Pfizer-BioNTech or Moderna) regardless of which vaccine was given as a primary dose<sup>37</sup>. The single priority groups include: those living in residential care homes for older adults, all adults aged 50 years or over, frontline health and social care workers, all those 16-49 years old with underlying health conditions that put them at higher risk of severe Covid-19 and adult carers and adult household contacts of immunosuppressed individuals<sup>38</sup>. In the written statement the Welsh Government indicated that there may be an opportunity to co-administer Covid-19 and flu vaccines, but that this would be subject to where timing and logistics allowed<sup>39</sup>.
- 2.25** JCVI have also recommended that children aged 12–15- 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<sup>40</sup>. On the 3<sup>rd</sup> September, the JCVI issued further advice on the vaccination of 12–15-year-olds. They recommended the expansion of the list of underlying health conditions for those aged 12-15 that are eligible for two doses of vaccine but did not advise universal immunisation of this age group when taking into account the benefits versus uncertainty of any potential harm<sup>41</sup>.
- 2.26** The Welsh Government also confirmed the launch of a new [NHS COVID Pass](#) to enable individuals to evidence their vaccination status<sup>42</sup>. The Welsh Government

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<sup>33</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI announcement Autumn booster programme](#), 14<sup>th</sup> September 2021

<sup>34</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI announcement Autumn booster programme](#), 14<sup>th</sup> September 2021

<sup>35</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI announcement Autumn booster programme](#), 14<sup>th</sup> September 2021

<sup>36</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI announcement Autumn booster programme](#), 14<sup>th</sup> September 2021

<sup>37</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI announcement Autumn booster programme](#), 14<sup>th</sup> September 2021

<sup>38</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI announcement Autumn booster programme](#), 14<sup>th</sup> September 2021

<sup>39</sup> Welsh Government Written Statement, [Covid-19 Vaccination-JCVI announcement Autumn booster programme](#), 14<sup>th</sup> September 2021

<sup>40</sup> Welsh Government, Written Statement: [Covid-19 Vaccination- JCVI announcement on vaccinating children and young people](#), 19<sup>th</sup> July 2021

<sup>41</sup> Welsh Government, Written Statement, [Covid-19 Vaccination, JCVI advice on 12-15 year olds](#), 3<sup>rd</sup> September 2021

<sup>42</sup> Welsh Government, [Covid-19 vaccination programme update](#), 31<sup>st</sup> August 2021



since announced that from the 11<sup>th</sup> October it will be compulsory for anyone over 18 to show a NHS Covid Pass on entry to night clubs or large-scale events<sup>43</sup>. This pass will prove whether an individual is fully vaccinated or has had a negative lateral flow test in the last 48 hours<sup>44</sup>.

- 2.27 Brexit-** There have been some developments and emerging issues as follows:
- 2.28** The deadline for EUSS applications was 30<sup>th</sup> June 2021. The [EUSS guidance](#) was originally published in December 2020, with further [guidance](#) updated in June that takes 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 their status, their rights will also be maintained until their status is determined. To account for any determination delays, the Government have made 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.
- 2.29** However, there are concerns that many EU citizens living in the UK are unaware that children needed to apply to stay. Concerns have been raised by some 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<sup>45</sup>.
- 2.30** Up to the 30<sup>th</sup> June, the Home Office data has shown that 98,600 had applied via the EUSS scheme in Wales<sup>46</sup>. The Home Office continues to accept late applications, provided they meet the acceptable grounds as outlined on their [website](#).
- 2.31** There are also concerns at the local level, in terms of how Councils ensure that they can uphold the rights of citizens to continue 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.
- 2.32** Another emerging area of risk in part associated with Brexit has been the emergence of lorry driver (HGV/LGV) shortage which has led to supply chain/service disruption and food/product shortages and logistical issues with fuel distribution across multiple sectors. For example, the most recent issue regarding panic buying of fuel at the pumps has been in part been due to wide reports in the media of shortages of fuel and its distribution which has been linked to Covid and Brexit (due to a lack of HGV/LGV drivers). It has been stressed

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<sup>43</sup> BBC News, [Wales Covid pass: What is it and how do I get one?](#) 6<sup>th</sup> October 2021

<sup>44</sup> BBC News, [Wales Covid pass: What is it and how do I get one?](#) 6<sup>th</sup> October 2021

<sup>45</sup> BBC News, Brexit: [‘EU citizens in Wales unaware children need to apply to stay’](#), 30<sup>th</sup> July 2021

<sup>46</sup> Home Office, [EU Settlement Scheme Statistics](#), Updated 2<sup>nd</sup> July

by the oil companies that there is no shortage in fuel available and that this is being driven by a 'temporary spike in customer demand'<sup>47</sup>. Although the issue of a shortage of fuel in some forecourts is primarily being driven by the consumer's response, the situation has highlighted the fragility of the market in terms of the 'just in time' supply chain and also the impact a lack of HGV/LGV drivers to get supplies to market can cause. In particular it has exposed the vulnerability of the system to sudden changes in consumer behaviour and workforce shortages on its inability to flex and respond to changes in demand.

- 2.33** According to the Road Haulage Association Survey it estimates there is now a shortage of 100,000 drivers in the UK<sup>48</sup>. Brexit has been quoted as a key driver behind the driver shortage, and it is thought to be result of a combination of other factors such as Covid and changes in the workforce demographic (e.g. aging workforce now retiring).
- 2.34** Brexit was identified by Hauliers in the Road Haulage Association Survey as one of the most prevalent reasons (joint with retiring drivers) for the driver shortage<sup>49</sup>. Brexit is believed to be exacerbating driver shortages, as at the end of transition period greater border bureaucracy alongside the decline in the pound against the Euro made the UK less attractive to EU drivers<sup>50</sup>. The pandemic contributed to slowing down trade, which resulted in some drivers being furloughed and a number of EU nationals returned to their home countries<sup>51</sup>. The added impact of Brexit has meant, many EU national drivers decided not to return to the UK and instead opted to remain in the EU<sup>52</sup>. This in part maybe linked to the UK's new immigration system that came into force on 1<sup>st</sup> January that gives priority to high skilled roles<sup>53</sup>. HGV/LGV drivers were not identified among the list of eligible skilled occupations, and so were excluded from the Government's new [Skilled Worker Visa](#)<sup>54</sup>. As a temporary measure, the UK government have announced that a temporary visa scheme will be introduced for foreign lorry drivers to work in the UK for a period of up to three months (ending Christmas Eve)<sup>55</sup>. The UK government have also indicated this is just a temporary arrangement whereby a longer-term draft of measures will focus on training up drivers and addressing a backlog of driving tests<sup>56</sup>.
- 2.35** This labour shortage is in turn driving up the pay of some lorry drivers, as businesses compete to secure their supply chains<sup>57</sup>. This creates further cost pressures for many small firms and public sector organisations that just cannot compete in terms of pay and may lead to price rises for the goods being transported.

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<sup>47</sup> BBC News, [Petrol shortage: Is the fuel crisis improving?](#) 29<sup>th</sup> September 2021

<sup>48</sup> BBC News, [How serious is the shortage of lorry drivers?](#) 3<sup>rd</sup> September 2021

<sup>49</sup> BBC News, [How serious is the shortage of lorry drivers?](#) 3<sup>rd</sup> September 2021

<sup>50</sup> BBC News, [How serious is the shortage of lorry drivers?](#) 3<sup>rd</sup> September 2021

<sup>51</sup> BBC News, [Brexit and Covid cause big jump in pay for lorry drivers](#), 2<sup>nd</sup> July 2021

<sup>52</sup> BBC News, [Brexit and Covid cause big jump in pay for lorry drivers](#), 2<sup>nd</sup> July 2021

<sup>53</sup> BBC News, [Brexit and Covid cause big jump in pay for lorry drivers](#), 2<sup>nd</sup> July 2021

<sup>54</sup> BBC News, [Brexit and Covid cause big jump in pay for lorry drivers](#), 2<sup>nd</sup> July 2021

<sup>55</sup> BBC News, [Lorry Driver Shortage: Temporary Visa Scheme to run until Christmas Eve](#), 26<sup>th</sup> September 2021

<sup>56</sup> BBC News, [Lorry Driver Shortage: Temporary Visa Scheme to run until Christmas Eve](#), 26<sup>th</sup> September 2021

<sup>57</sup> BBC News, [Brexit and Covid cause big jump in pay for lorry drivers](#), 2<sup>nd</sup> July 2021

- 2.36** In relation to the impact this issue has had on Council services, the greatest over recent weeks has been seen in relation to the waste team. The driver shortage has impacted heavily on our garden waste collection service. As a non-statutory service, garden waste collections normally operate between March and November where the Council recruits agency staff on a temporary basis to fulfil this role. However, the shortage in drivers has meant there are fewer agency staff available to support garden waste service collections and as a result, this has led to delays to garden waste collections across the Vale. To help mitigate this, the Council has had emergency powers approved to appoint 12 new drivers to enhance resilience within the service. Additional training opportunities for existing staff are being developed in order to increase our pool of drivers.
- 2.37** In acknowledgement that many of the initial issues/concerns arising from Brexit may have changed or moved on, a review of Brexit issues/risks was completed over the summer to explore the impact Brexit is having on service areas at this point in time. The emerging issues and risks were identified and analysed as part of this exercise to build a picture of the current Brexit related pressures affecting service areas. The key areas identified as part of this analysis were as follows:
- 2.38 Learning and Skills-**Loss of European Social Funding enhancement resulting in a reduction in the Communities for Work programme and impacts on the delivery of pre and post 16 NEET work. This has the potential to have a wider impact on the Welsh Government's agenda where the focus is to get more people into employment.
- 2.39 Neighbourhood Services & Transport-** Scarcity of some materials leading to delays in meeting scheme/programme timescales and/or resulting in project overspends. We have witnessed a significant rise in the cost of materials, which is placing pressure on budgets for existing schemes and increasing the costs of proposed works. Availability of professional drivers continues to be an ongoing concern (this affects waste LGV drivers, winter maintenance drives and non-LGV C1 drivers) in terms of service delivery, continuity, and reputation. There is also concern regarding the availability of key operational posts across Neighbourhood Services & Transport. Delays in terms of vehicle/machinery parts has the potential to impact on availability of vehicles vital to our service delivery and this in turn can impact on the reputation of the Council.
- 2.40 Regeneration & Planning-** Key risk driver is currently the loss of EU funding for socio-economic projects and rural support.
- 2.41 Social Services-** There are concerns that Brexit could further challenge the viability of some providers/contractors to provide a service. This is especially a concern in relation to our externally commissioned social care providers.
- 2.42 Housing-**Disruption to material supplies has been experienced linked to the driver shortage coupled with reduced material availability and increased demand for some products. Subsequently, this is presenting significant cost pressures to the service estimated on average to be a 10% on cost at present, which has the potential to increase further. For example, the recent increasing material and labour costs has required the approval of a 10% cost uplift on responsive repairs which will have a knock-on impact on the housing service. In terms of housing repairs we anticipate a cost uplift of around £100K over the course of the year. There are also rising project costs linked to the abundance of work on the market

which is creating a cost pressure where clients are prepared to pay higher rates for the completion of work. This in turn is making these projects more attractive and as a consequence, contractors are pushing up the costs of work for others. Contractor viability is also an area of concern. The combination of increased material costs and a lack of supply has driven up delivery costs for contractors. This has been at a time when the Pandemic limited the trade and income of many businesses. Many contractors would have continued to incur costs throughout the year without much income. As a consequence, this has threatened the viability of some businesses, with some medium sized contractors going into liquidation. There is currently a skilled trade shortage within the construction sector which is adding to additional difficulties in sourcing contractors.

- 2.43 General/Council wide-** The above demonstrates the significant risk of increased costs of capital schemes as a result of a shortage in materials e.g. rising price of steel is having significant cost implications. Delays in availability of materials is also extending the time for completion of key projects/programmes.
- 2.44** As part of this exercise a series of mitigations by service areas have also been identified to help alleviate where possible some of the pressures associated with these emerging issues/risks. The emerging areas of risk and the identification of mitigations were discussed by the Senior Leadership Team (SLT) in September to enable work to commence on updating the Brexit Action Plan that contains both corporate and service specific actions to manage the impact of Brexit. These updates will be reflected in the next Risk Register update for Quarter 2. SLT have also adopted a risk/issue-based format for the fortnightly Gold meeting that commenced in September to closely monitor the nature of a range of corporate risks/issues and the mitigating actions being taken so as to ensure close operational oversight at such a turbulent time. This process will follow the same approach as has been adopted during the pandemic, in line with the Council's emergency planning protocol.
- 2.45** Attached at **Annex A** is the **Quarter 1 Risk Summary Report**. **Annex B** provides the complete **Corporate Risk Register**.

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

- 3.1** Risk Management is an intrinsic part of corporate governance and integrated business planning which underpins the delivery of the Council's Corporate Plan and its Well-being Outcomes. Our Corporate Plan has been structured around the Well-being of Future Generations (Wales) Act 2015, through the development of four Well-being Outcomes and eight Well-being Objectives. By aligning our Well-being Outcomes in the Corporate Plan with the Well-being Goals of the Act, this will enable us to better evidence our contribution to the Goals.
- 3.2** Corporate Risks are considered in the context of the Well-being of Future Generations in terms of their potential impact on our ability to deliver /meet the Well-being Goals. The multi-faceted nature of risk means they have the potential

to impact on how we deliver our priorities within the Corporate Plan and ultimately impact on our ability to meet/deliver on the Well-being Goals. A failure to identify the different facets of risk and mitigating actions using the five ways of working puts us in a more vulnerable position in terms of our ability to manage the risks and could significantly impact on our ability to evidence our contribution to meeting the Well-being Goals into the longer term. For example, the Welfare Reform risk cuts across five of the seven Well-being Goals in relation to a Prosperous Wales, A Resilient Wales, A Healthier Wales, A More Equal Wales and a Wales of Cohesive Communities with multiple aspects of risk associated with Welfare Reform that have the potential to impact on our ability to contribute to these Goals. For instance, the social impact of welfare reform could impact on tenant's health and their ability to heat their homes, live in good quality housing, and feed themselves which directly impacts on the Healthier Wales and Cohesive Communities Goals. Equally there is the risk that welfare reform could have a detrimental impact on citizen's finances and their ability to sustain tenancies, access employment opportunities and pay bills. Collectively these could have an impact on our ability contribute to developing a Resilient Wales, Prosperous Wales, a More Equal Wales, and Cohesive Wales Goals.

- 3.3** The five ways of working are also a key consideration in relation to our corporate risks as a key part of managing the risk involves developing a Risk Management Plan that identifies the mitigating actions that have a focus on the long term, prevention, integration, collaboration and involvement.

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

### **Financial**

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

### **Employment**

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

### **Legal (Including Equalities)**

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

## **Background Papers**

None.



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK SUMMARY REPORT

QUARTER 1 APRIL 2021 - JUNE 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 and 11 risks scored medium. During the first quarter of the year, there has been some movement in risk statuses. This can in part be attributed to the COVID-19 pandemic and/or Brexit. The multifaceted nature of these risks continues to have an impact on all aspects of risk on the Register. All risks on the Register continue to reflect the influence the pandemic and/or Brexit has had on the Register, demonstrating its cross-cutting impact. (**See Section 2**)

### Direction of Travel:

- The majority of risks on the Register have maintained their static position with the exception of Deprivation of Liberty Safeguards, Safeguarding, WCCIS and the Workforce risk.

### DoLS-

- The Deprivation of Liberty Safeguards risk score has decreased from its risk score from 8 (Medium/High) to a score of 6, giving it a medium status. Although the resource pressures and demand for assessments continues to exist, we have made significant progress in progressing outstanding authorisations that have enabled us to reduce the risk to a medium position on the Register. For example, in May 2021, 22% of applications in the Vale were assessed in month compared to just 11% during May the previous year (2020).
- Nationally DoLS is recognised as an ongoing challenge across health and social care services and the issues we face locally are mirrored at the national level. Due to the presence of assessments for the need for care and support the impact of this risk is predominately a financial one, with some reputational risks too.
- The additional legal resource has given us some added capacity to process applications and agree Deprivations of Liberty via the Courts in a timely way, however this only impacts on community deprivations relating to Adult Services and has not had an impact in relation to residential and nursing settings.
- Further, new legislative developments in relation to Mental Capacity (Amendment) Act and the associated Liberty Protection Safeguards (LiPS) will also go some way in providing us with greater resilience around this issue. It is hoped that the LiPS scheme will help to address the resource /capacity issues once this legislation comes into force. It is anticipated that the new legislation will run alongside the existing DoLS requirements until full implementation. A national working group has been established to focus on the implementation of the LiPS alongside a DoLS Partnership Board. Further work on this will be progressed once the Code of Practice regarding this legislative change has been published.
- Resource and capacity limitations will continue to impact on this risk, as the risk cannot be fully removed or mitigated against. Instead, the focus is on how we can tolerate the risk using our existing capacity and resources effectively to mitigate the risk where possible and embrace any opportunities that the legislative changes may bring.

### Workforce-

- The Workforce risk has heightened over the last quarter from a risk score of 4 to a 6, although it has continued to maintain its medium status on the Register. This elevation in the risk score reflects the impact that both the pandemic and Brexit has had on some aspects of this risk.
- A more detailed analysis of the quarter 1 position is outlined in the emerging risks and issues section below.

### **Safeguarding risk-**

- This risk has increased from a risk score of 3 (medium/low) to a 4, resulting in a medium status on the Register. This escalation in the risk score reflects how the nature of this risk has changed during the course of the pandemic in terms of the impact the public health crisis has had on the driving up safeguarding rates in relation to both children and young people and adults at risk of abuse and or sexual exploitation. A more detailed overview of the key drivers behind the risk is outlined in the risk and emerging issues section of the report below.

### **WCCIS-**

- The emergence of performance issues both locally and nationally with WCCIS has driven this risk upwards from its medium (6) position to a medium/high status (8) on the Register. The identified performance issues are currently being taken forward by the WCCIS Senior Management Board in discussion with the provider Advance. More detail behind the issues being experienced the current mitigations in place is explored in the emerging risk and issues section below.

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

- The forecast direction of travel for risks on the Register have predominately remained the same. The integrated health and social care risk continue to be forecast to drop, whilst Reshaping, Environmental Sustainability and Welfare Reform are still anticipated to continue to rise over time. In relation to Reshaping, we anticipate that this risk has the potential to rise in relation to the resource and service delivery/wellbeing aspects of the risk linked to the financial impact the pandemic has had on the Council and the pressure it has placed on our resources in terms of our recovery and capacity to delivery of future transformation projects.
- Waste risk is forecast to maintain its heightened medium/high status to reflect the ongoing financial pressures and workforce pressures associated with the labour supply shortage of LGV/HGV drivers.
- The School Reorganisation/Investment risk is forecast to increase over time in relation to 21<sup>st</sup> Century school investment programme. Supply issues and the escalating cost of materials will have a significant impact on the deliverability of remaining projects within the Band B Programme and will be the subject of consideration when developing the Band C Programme due to commence in 2024. It is uncertain at this point whether additional investment from Welsh Government will be available to mitigate the increased costs.
- In relation to the risks that have shown an increase over the last quarter, Workforce, Safeguarding and WCCIS, these are all forecast to continue to maintain a heightened static position over the next couple of quarters. However, the Council will maintain a watching brief on any further developments over time.
- Consideration has been given to the forecast direction of travel with regards to Brexit. Given the uncertainty associated with Brexit, in terms of its volatility and how quickly circumstances can change it has the potential escalate in relation to the service delivery/wellbeing and reputation aspects of this risk. As a consequence, it is forecast Brexit is likely to increase. We will continue to maintain a watching brief over future quarters to monitor shift changes in this risk.

### **Risk Management Plans:**

- Excellent progress has been made during quarter 1 in relation to the actions associated with the Risk Management Plans across all aspects of the Register.
- In total there are 212 mitigating actions currently being monitored via the Register, the majority of which are also aligned to a Corporate Plan activity. During quarter 1, we have been able to assign a RAG status to 209 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. **(See Section 5)**



- During quarter 1, a total of 5% (10) of actions were Green and completed, 93% of actions (194) were Green and on track and 2% (5) of actions were allocated a red status for slippage. A full breakdown of these individual exceptions along with a rationale is provided in **Section 6**.

## Emerging risks and issues:

### Workforce-

- The Workforce risk has heightened over the last quarter from a risk score of 4 to a 6, although it has continued to maintain its medium status on the Register. This elevation in the risk score reflects the impact that both the pandemic and Brexit has had on some aspects of this risk.
- During the peak of the Pandemic in 2020/21 our turnover figures were lower than in previous years. For example, our voluntary turnover for 2020/2021 stands at 5.35% which was significantly lower when compared to 2019/20 which was 8.39%. This lower turnover for 2020/21 may reflect that over the past year, public sector positions were viewed as a more secure form of employment, and consequently staff were remaining in their roles. Equally, fewer external opportunities and the introduction of pay incentives for some front-line staff during the pandemic will have all contributed to maintaining a stable workforce. However, as restrictions have begun to ease and the economy is now opening up, we are beginning to see an upward trend in our turnover (albeit the rate of turnover is not as high as previous years). During this last quarter (quarter 1 2021/22) our turnover rate was 1.55% and remains under our quarterly target of 1.87%. Although this turnover rate is still lower than anticipated, we forecast that it will increase as the year progresses. This is something we will need to maintain a watching brief on to review whether any further rise in turnover rates is going to compound existing workforce pressures in terms of recruitment/retention across the Council.
- This fluctuation in turnover in part, may have been influenced by the effects of the pandemic. The pandemic has undoubtedly put pressure on our workforce to adapt in a rapidly evolving public health situation. For many, the pandemic has made individuals reflect on the past year to re-evaluate their career and aspirations for the future. As a consequence, we are seeing a higher turnover across a range of our service areas where individuals may have decided to change careers or bring forward their plans for retirement. This has particularly been the case in some school positions, administrative, Shared Regulatory Service and planning roles. The other key driving force elevating the workforce risk is the increased absence rates, that we have witnessed during quarter 1. This rise was anticipated and in part reflects the impact the pandemic has had on the wellbeing of our staff, where we have seen a rise in absences associated with stress and anxiety. This corresponds to the growth in demand we have also seen in staff accessing counselling services. Equally, with NHS services resuming more people who were waiting on treatments/surgeries are now being seen and treated which in turn is driving up absence rates.
- In relation to Brexit as a key driver, we continue to witness a shortage in domiciliary care workers and within waste services as HGV/LGV drivers are in short supply. Brexit has served to further exacerbate existing workforce pressures in these areas, pushing up salary costs beyond the reach of the Council's pay structure. We are also seeing staff shortages within our social work and legal services (especially within the remit children's services) and within ICT, health and safety, enforcement, planning, and customer service. To address some of these workforce pressures we have explored looking to grow skillsets from within by focusing on succession planning and the introduction of the Kickstarter initiative. In some instances where market forces are at play, we have been able to make adjustments to pay to enable greater market parity, supported by our trade union colleagues which is particularly the case within Legal Services.
- To address the escalation in this risk, significant progress has been made in identifying and developing solutions to further mitigate the risk. These mitigations have been vital to

preventing the risk from escalating any further and as these mitigations are fully implemented, we are confident that this risk will decrease over time. In terms of key developments over the past quarter, Human Resources have been leading on the development of an Attraction strategy which it is anticipated will be completed by the end of September. The purpose of this Attraction Strategy is to proactive and innovative ways of recruiting candidates with particular attention being paid to hard to recruit positions. In tandem with this, the Council is also looking to implement some quick wins to offset recruitment issues, through looking to proactively using 'Linked In' as a professional networking platform to attract potential candidates. We are enhancing recruitment practices in tandem with the development of a Strategic Workforce Planning Strategy Implementation Plan. This implementation plan is currently being consulted on prior to adoption and will aim to address skill shortages being experienced across a range of services areas. Integral to this work will be the development of Operational Plans across all service areas. The Council is working with the Local Government Association to enhance the skill sets of our HR Business Partners through training that will enable them to have conversations with Heads of Service to identify pressure points and skills gaps within the workforce and to support them in the development of Operational Plans bespoke to the needs of their service areas.

- We remain committed to our values of openness and inclusivity and a key aspect of reinforcing our Attraction Strategy and Workforce Planning will be on further widening engagement. Over the next quarter we intend to do this by delivering in partnership with an external organisation a series of Diversity and Inclusion Engagement sessions. These sessions will be rolled out to managers as part of the Management Development Programme during the Autumn.
- We acknowledge that the pandemic has significantly challenged aspects of employee's wellbeing. Although, the shift change to remote working has on the whole been positive experience for most in terms of managing a better work-life balance it has not been without its challenges in terms of the impact a loss of social interaction has had on some individual's levels of anxiety and feelings of isolation. Whilst we begin to shape our plans to move towards a 'hybrid' model of working that will allow for a balance between office and home working, we have continued to focus our efforts in supporting the wellbeing of our staff. Over the next quarter, we will refresh our wellbeing initiatives that will see an increased offering of physical activity sessions alongside which we are looking to dovetail our wellbeing initiatives with 'trauma-informed' support. This will see the offering of a training webinar for staff to access in work time with additional links and support to counselling where needed. This 'trauma informed' work will further support and complement existing practice that is already happening across schools.
- During September, the Culture Book was launched that has been developed with staff for staff. It will act as a guide to new and existing employees as well as the public on how we operate in the Vale through stories of colleagues that live the values and ethos of the organisation. This Culture Book will sit alongside the other developments to further reinforce and embed the Vale of Glamorgan Council as an inclusive, diverse, flexible, and attractive place to work.

#### **Safeguarding risk-**

- Since the start of the pandemic, it has been widely anticipated that there would be a heightened risk of abuse, neglect and exploitation amongst both children, young people, and adults.
- Children and young people have been at a higher risk of abuse, neglect or exploitation 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. Most children had spent extended periods of time at home as a result of lockdowns and school closures. The combination of this disruption to contact with professionals, the long

periods spent at home where there may be increased family pressures or tensions coupled with children spending more time online has opened up opportunities for abuse/neglect that endanger the safety and wellbeing of children and young people<sup>1</sup>. The NSPCC outlined in their briefing paper 'isolated and struggling', that Covid-19 has created three main areas of risk associated with increased likelihood for multiple stressors (parents facing financial insecurity, juggling multiple responsibilities i.e. childcare, working and care for family who are shielding), the emergence of vulnerabilities (caused by isolation and spending long periods of time at home and the impact this has had on emotional and mental health) and the reduction in protective services (families had access to reduce levels of support whether it be family, friends, school etc)<sup>2</sup>.

- In this report, NSPCC note that at the start of the pandemic their helpline saw an increase in contacts with contacts being 31% higher in May 2020 than the previous month (April).
- The rising trend in safeguarding incidents nationally, is also one that is emerging at the local level in the Vale of Glamorgan. Over the course of the past year (2020/21), there has been a 31.76% increase of children on the Child Protection Register with a 13.51% increase in Children Looked After in the Vale of Glamorgan.
- Covid-19 has also impacted on adult safeguarding. An Insight study by the Local Government Association into adult safeguarding during the pandemic (in English Local Authorities), indicated that although there had been a marked drop in safeguarding concerns initially (during the first lockdown), this increased significantly after June 2020<sup>3</sup>. For example, the LGA study noted that June 2020 saw the highest average rate of safeguarding concerns of 77.7 concerns per 100,000 adults compared with 63.0 concerns per 100,000 in June 2019. This rate was also higher than what was reported in April 2020 (50.0) and May 2020 (57.5) indicating a delay in reporting at the initial start of the pandemic.
- 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. The LGA study indicates that when concerns were raised referrers expressed high levels of anxiety and distress. Some of the Councils that participated in the study noted that they had received more community-based concerns from contact with shielded and vulnerable resident with regard to self-neglect<sup>4</sup> The study also indicated that a proportion of concerns were reported by blue light services with 18% of councils (who participated in the study) indicating that they had seen an increase in levels of referrals predominately from the Police<sup>5</sup>.
- This national picture mirrors what we are witnessing at the local level. Within the Vale of Glamorgan, there was a 33% increase in adult safeguarding referrals in May 2020 when compared with March 2020. May 2020 saw the highest number of referrals (70) of any month. This also points to a delay in reporting during the months of March and April. Similarly, during the autumn/winter lockdowns a similar pattern emerged, with fewer referrals being received between October-February followed then by a steady rise from March 2021 onwards when we began to see restrictions ease. October 2020 saw the fewest number of referrals (29) of any

<sup>1</sup> Romanou E, Belton E, [Isolated and Struggling: Social isolation and risk of child maltreatment in lockdown and beyond](#), NSPCC June 2020

<sup>2</sup> Romanou E, Belton E, [Isolated and Struggling: Social isolation and risk of child maltreatment in lockdown and beyond](#), NSPCC June 2020

<sup>3</sup> Biswas Sasidharan A, Cooper A, Harman J, [Covid-19: Adult Safeguarding Insight Project](#), Local Government Association December 2020.

<sup>4</sup> Biswas Sasidharan A, Cooper A, Harman J, [Covid-19: Adult Safeguarding Insight Project](#), Local Government Association December 2020.

<sup>5</sup> Biswas Sasidharan A, Cooper A, Harman J, [Covid-19: Adult Safeguarding Insight Project](#), Local Government Association December 2020.

month, but this then peaked in June 2021 with 56 referrals. The percentage change in numbers of referrals received in June 2021 did increase by 6% when compared with March 2021.

- We are also beginning to see in the context of safeguarding the emergence of a greater complexity of cases which are presenting as multi-layered issues often linked to relationships, finance, and housing issues. In particular we are seeing a greater severity of cases, some of which are linked to domestic violence.
- The UK Parliament's Home Affairs Select Committee published its report on domestic abuse and coronavirus on the 27<sup>th</sup> April 2020 where they identified there has been an increase in demand for phone/online support<sup>6</sup>. Refuge reported that there was a 700% increase in calls to its helpline on a single day<sup>7</sup>. At the local level, in the Vale of Glamorgan, although overall we have not seen a significant surge in demand for support services (associated with domestic abuse) during the pandemic, we have observed a rise in incidents presenting as high-risk cases that were either referred to formal MARAC or dealt with via more informal twice weekly discussion meetings. For example, during 2020/21, 586 high risk incidents/cases were reported in the Vale of Glamorgan compared to 418 high risk incidents/cases in 2019/20. Although, this rise can't be linked to the impact of the pandemic, it does provide an indication that the severity of incidents has escalated over this period of time. This rise in part maybe due to increased stressors being experienced at home either linked directly/indirectly to the pandemic and due to the greater awareness and publicity amongst partner organisations of accessibility of referral options.
- It's widely acknowledged that domestic abuse in the home poses a safeguarding risk to children and young people. Our data for 2020/21 shows that in the Vale of Glamorgan, of the 586 high risk incidents/cases reported, 435 incidents/cases were referred onto a MARAC (most serious/high risk cases requiring multiple agency intervention). Of these 435 MARAC referrals, 325 cases were known to involve children (whether they were present at the time or not). This equates to nearly 75% of MARAC referrals involving children or young people.
- Lockdown restrictions have proliferated household tensions and additional economic stress. Increased levels of social isolation has fostered an environment where abuse can escalate and be easily hidden. The lockdown has created additional barriers to reporting abuse due to fewer social interactions with GP, teachers and workplaces<sup>8</sup>. The Home Affairs Select Committee also noted that cases have been escalating more quickly and are becoming more complex and serious and referenced higher levels of physical violence and coercive control<sup>9</sup>.
- Although, services have adapted their processes to operate digitally, it has not replaced the benefits 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.
- It is anticipated that the rise in demand as outlined by the factors above coupled with pressure on our existing workforce capacity (particularly within Children and Young People Services) will continue to drive this risk. On this basis we forecast that this risk will continue to maintain a medium status over the forthcoming year whilst we continue to see the aftereffects of the pandemic emerge. The monitoring of this risk will be kept under ongoing review and any further changes to the risk will be reflected in the Register.

<sup>6</sup> House of Commons Home Affairs Committee, [Home Office preparedness for Covid-19: domestic abuse and risks of harm within the home](#), 24<sup>th</sup> April 2020

<sup>7</sup> Refuge press Release, [Refuge sees online traffic to its National Domestic Abuses Helpline website rise by 700%](#), 9<sup>th</sup> April 2020

<sup>8</sup> House of Commons Home Affairs Committee, [Home Office preparedness for Covid-19: domestic abuse and risks of harm within the home](#), 24<sup>th</sup> April 2020

<sup>9</sup> House of Commons Home Affairs Committee, [Home Office preparedness for Covid-19: domestic abuse and risks of harm within the home](#), 24<sup>th</sup> April 2020

## WCCIS-

This risk has heightened over the last quarter from a medium risk score of 6 to medium high status of 8. This elevation in the risk score reflects the recent challenges that have emerged in relation to WCCIS.

- The Welsh Community Care Information System (WCCIS) developed by Advanced is a national IT system that was commissioned by the Welsh Government but overseen by the NHS Wales Informatics Service. It is designed to be a universal system to enable greater integration of health and social care and information sharing via shared electronic records. This system was developed to replace the range and variation of back-office systems in operation across both health and social care.
- The original aim was that all 7 Health Boards and 22 local authorities would implement the system. However, take up of the system across a regional footprint has been slow and uncertain. According to Audit Wales, as at August 2020, 19 organisations were either using WCCIS or had signed deployment orders<sup>10</sup>. Of these 19, 13 local authorities and two health boards had gone live with the system<sup>11</sup>. The Vale of Glamorgan signed the deployment order for WCCIS in February 2017 and went live with WCCIS in November 2017. The slow take up by partners has presented as an ongoing risk to the full realisation/benefits of WCCIS. To date Cardiff and Vale University Health Board has not signed a deployment order.
- Without, the sign up of key partners across the regional potentially jeopardises the intended outcome of having a national wide system to support greater information sharing and to enhance workforce efficiency and capacity. Equally, the Audit Wales identified in their report published in 2020, that of the organisations currently using WCCIS, there is variation in terms of how it is being used, with some organisations only using certain functions<sup>12</sup>. This in turn is limiting opportunities to integrate working which was the original purpose of the new system<sup>13</sup>. There have also been delays in terms of the roll out of key functions such as the Welsh language and mobile interfaces, that are forecast to complete by the end of 2021<sup>14</sup>.
- The other aspects of concern driving this risk relate to emerging issues associated with its functionality and performance. The issues being experienced locally predominately relate to speed and access. This in turn has impacted on the efficiency and capacity of practitioners especially in terms of timeliness of information available on the system. These known issues have been flagged and discussed through the regional Service Management Board.
- If these faults/issues are not resolved it will continue to delay plans to roll out an upgrade of the system. Due to the number of parties involved with this system's development across the region there are risks associated with business continuity and it also challenges our ability to meet our statutory timescales for certain aspects of service delivery. For this reason, it is felt that the risk warrants a heightened position on the Register to reflect the current uncertainty and lack of control we have over the nature of this risk.

## Additional Learning Needs Risk-

- We have continued to respond positively to the challenges associated with the Additional Learning Needs (ALN) risks. It is recognised that the challenges we face are similar to that experienced at the national level. The key driving forces associated with this facet of risk relate to growth in demand, our capacity and financial viability to meet the growing needs which have been further compounded by the impact of new responsibilities and duties arising from the Additional Learning Needs (Wales) Act.

<sup>10</sup> Audit Wales Press Release, [Ambitious vision for Welsh Community Care Information System still a long way from being realised](#), October 2020

<sup>11</sup> Audit Wales, [Welsh Community Care Information System](#), Report of the Auditor General for Wales, October 2020.

<sup>12</sup> Audit Wales, [Welsh Community Care Information System](#), Report of the Auditor General for Wales, October 2020.

<sup>13</sup> Audit Wales Press Release, [Ambitious vision for Welsh Community Care Information System still a long way from being realised](#), October 2020

<sup>14</sup> Audit Wales, [Welsh Community Care Information System](#), Report of the Auditor General for Wales, October 2020.

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

1. 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)
  2. an integrated, collaborative process of assessment, planning and monitoring which facilitates early, timely and effective interventions; and
  3. a fair and transparent system for providing information and advice, and for resolving concerns and appeals.
- Progress with preparations for the implementation of the ALN Act have been significantly delayed as a result of the Pandemic. As a consequence, the accompanying Additional Learning Needs Code and Regulations were not published by the Welsh Government until March 2021.
  - From September 2021, the ALN system will come into force over a three-year phased implementation period. The Welsh Government have taken into account the disruption caused by the Pandemic, and published in February 2021 a revised plan, based on what they believe to be reasonably deliverable in the current circumstances.

Based on this revised plan from September 2021, it is anticipated that the ALN system will commence for children of compulsory school age and below who:

1. Attend maintained schools in Nursery, Years 1, 2, 3 and 5;
  2. Year 7 and Year 10 who have special educational provision via school action or school action plus;
  3. are detained and;
  4. do not have special educational needs on or before that date, regardless of their year group or setting (including those that may attend an EOTAS setting, an independent school or who are electively home educated).
- This will mean that children who currently have special education provision via a statement and those who are in any form of post-16 education will not be included in the first year of implementation.
  - This decision by Welsh Government for a softer launch is welcomed, as it will provide the opportunity for a more gradual implementation over time. The Welsh Government has stated that it will provide an implementation guide to support planning for the commencement of the new system and the aims and objectives for years 2 and 3 of the Plan which will be crucial for future planning.
  - To date the full impact of these whole system changes as a result of the new Act are yet to be felt. However, preparations for this phased implementation from September 2021 are progressing well despite the difficulties that have been presented as a result of Pandemic and considerably good progress continues to be made in delivering the priorities as set out in our action plan.
  - In terms of the how implementation of the ALN Act will impact on Welsh language pupils, as part of the transition programme a regional training programme for ALN through the medium of Welsh has been established which is a very positive step forward and will improve the capacity of Welsh medium schools to meet the needs of pupils with ALN. Consideration is also being given to developing a Specialist Resource Base for pupils with ALN in a Welsh medium school.
  - As mentioned in previous briefings on ALN Act developments, a key challenge has been the growing demand in relation to children and young people experiencing social, emotional, and mental health difficulties. The work we have been undertaking to develop capacity it is anticipated will help to manage the need for out of county placements, particularly for young children with social, emotional, and mental health difficulties.

- We are confident through our future planned developments of the Centre for Learning and Wellbeing, the Specialist Resource Base for Autism at Whitmore High School and the expansion of Ysgol Y Deri are crucial in ensuring that we can effectively mitigate the risks and ensure additional learning needs of Vale pupils can be met in the Vale which will reduce the need for out of county placements in future.
- Despite the challenges that the Pandemic has presented, there have been a number of achievements of note. The establishment of a school to school network to support development has been a great success. This network is based around clusters of schools with each cluster identifying a lead Additional Learning Needs Coordinator to work closely with the regional Transformation Lead and local authority officers. Very good progress has also been made in developing training materials for Early Years Practitioners. An Early Years Lead Officer has been seconded from Cardiff which has enabled very positive regional working to take place. An Early Years forum has been established which will bring together professionals from a range of disciplines who work with pre-school children. This will facilitate joint planning and specialist provision for children with ALN in this age group by ensuring early identification of needs. Significant progress has been made in developing provision to ensure that sufficient places are available in specialist provisions for Vale pupils with complex ALN. The Council has developed a strategy to transform special education in the Vale of Glamorgan to meet projected future demand and best meet the needs of our most vulnerable learners.

The strategy has identified three key areas:

1. Increase capacity of Ysgol Y Deri, the Council's special school, to meet projected demand for special education;
  2. Establish a new Centre for Learning and Wellbeing, which would replace Y Daith, the Council's pupil referral unit (PRU); and
  3. Establish specialist resource bases in mainstream schools to ensure learners with additional learning needs (ALN) have access to mainstream education.
- In terms of the key challenges these continue to remain the same mainly around managing growth in demand of children presenting with increasingly complex additional learning needs and the impact this has on our capacity and financial viability to meet these growing needs in line with the new responsibilities/requirements arising from the ALN Act. Despite the good progress that has been made there continues to be pressure in ensuring sufficient provision to meet the social, emotion and mental health needs of children and young people. Other areas of emerging risk are proving more complex to address.

Outlined below are some emerging areas risk and what mitigations we have put in place to address them:

1. The development of an IT structure to support the planned transfer to the new system is proving to be a particular challenge. At one time it appeared that an all Wales approach was going to be developed led by Welsh Government, but this has not as yet come to fruition. The service will continue to maintain a watching brief on this area of risk and how it is addressed. To mitigate this, a working group has been established with Capita and regional partners to address this issue.
2. The issue of planning in partnership with Further Education Institutions will be an ongoing challenge. The major area of risk remains in relation to funding for Specialist College placements which is due to be transferred from Welsh Government to local authorities. No further information has been provided by Welsh Government regarding the timescale for this which does not help planning. To mitigate this, progress is being made and a joint post-16 lead officer has been created with Cardiff to lead a regional approach and relationships with local further education providers have developed positively which is encouraging. Meetings are being held

regionally between lead officers in education and social services to identify the risks associated with the transfer of funding to local authorities for specialist college placements and a position paper will be prepared in due course.

3. The Cardiff and Vale Health Board have now appointed a designated education clinical lead officer (DECLLO). This will assist in moving forward this agenda, however there is no doubt that there is a significant amount of work required to develop a joint understanding between the Health Board and local authorities in relation to how services will work together in future. In terms of mitigation, a regional multi- agency steering group has been established to oversee an operational group that is developing a document outlining the role of health services in meeting the ALNs of children and young people in the Vale. This work is now progressing well and will be the focus for development in the medium term.
- Based on the above assessment of developments, challenges, and areas of emerging risk the ALN risk continues to maintain its medium/high status (9) on the Risk Register. It is anticipated that the forecast direction of travel for the short to medium term is unlikely to change given the phased implementation of the ALN Act from September 2021 and the existing pressures/challenges regarding the ongoing impact from the Pandemic and pressure on existing capacity and resources associated with growth in demand for ALN provision.

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

- By the end of the quarter 1 period, we witnessed substantial easing of restrictions in a number of areas. Although this next phase has been welcomed it has continued to challenge us in terms of how to phase in these changes and enabling services to recommence in a safe way for both our citizens and our workforce.
- By April, the successful roll out of the vaccination programme began to show an impact on Covid infection rates where we began to see a reduction in infections and pressure on our hospitals. As a consequence, the Welsh Government began to ease some restrictions which led to the reopening of some sectors.
- Although this next phase has been welcomed it has continued to challenge us in terms of how to phase in these changes, enabling services to recommence in a safe way for both our citizens and our workforce.

During quarter 1, the key easing of restrictions to bring Wales into alert level 3 were as follows:

- All retail and close contact services were able to reopen from the 12<sup>th</sup> April<sup>1</sup>.
- Full return of all face-to-face teaching in schools, colleges, and University from the 12<sup>th</sup> April. There continued to be focus on blended learning for post-16 particularly in University<sup>1</sup>.
- Outdoor hospitality reopened from the 26<sup>th</sup> April<sup>2</sup>.
- Organised outdoor activities and outdoor weddings resumed from 26<sup>th</sup> April (brought forward from the 3<sup>rd</sup> May)<sup>15</sup>.
- Reopening of gyms and leisure centres from 3<sup>rd</sup> May (a week earlier than planned)<sup>1</sup> and the reopening of community centres and organised indoor activities such as sport, children's activities, and recreational clubs<sup>16</sup>.
- Extended household rule (two households) was re-introduced to allow contact indoors<sup>1</sup>. This allowed for two households to come together to form an exclusive bubble. Up to six people from different households to mix outdoors<sup>17</sup>.
- Stay local rule was lifted allowing people to travel into and out of Wales.

<sup>15</sup> Welsh Government Press Release, [Covid-19 restriction relaxations in Wales brought forward](#), 8<sup>th</sup> April 2021.

<sup>16</sup> Welsh Government Press Release, [Coronavirus restrictions relaxations confirmed](#), 30<sup>th</sup> April 2021

<sup>17</sup> Welsh Government Press Release, [Outdoor hospitality given go-ahead to reopen and rules on mixing outdoors relaxed in Wales](#), 19<sup>th</sup> April 2021.



- These planned and phased easing of restrictions outlined above completed Wales' move to Alert Level 3 by 3<sup>rd</sup> May<sup>2</sup>. Following on from this, the Welsh Government announced that Wales would move to Alert Level 2 on 17<sup>th</sup> May<sup>18</sup>. 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<sup>4</sup>. Despite the easing of restrictions regarding foreign travel, the Welsh Government advised people to only travel for essential purposes<sup>4</sup>. To support these changes the Welsh Government made available from the 24<sup>th</sup> 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<sup>4</sup>.
- The First Minister at its next 3 weekly review, confirmed that Wales would have a phased move to Alert Level 1<sup>19</sup>. From 7<sup>th</sup> June, up to 30 people could meet outdoors, including private gardens, in outdoor hospitality and public place<sup>5</sup>. 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<sup>5</sup>.
- By the end of quarter 1, the public health position showed signs of improvement. As of 29<sup>th</sup> June, the latest coronavirus data available for a rolling seven days (between 19<sup>th</sup>-25<sup>th</sup> 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%<sup>20</sup>. This has given us a growing picture of confidence, that the vaccination programme success is beginning to sever the link between Covid infections and hospitalisation and death.
- The success of the vaccination programme continues to maintain its momentum. The Welsh Government announced that it had reached it had met its third milestone of offering all eligible adults in Wales a first dose of vaccine, 6 weeks ahead of their schedule<sup>21</sup>
- Based on the current position of COVID, its volatility and our ongoing response (mitigations) to date, it is recommended that the risk maintains its medium/high (8) status.

<sup>18</sup> Welsh Government Press Release, [Wales Moves to Alert Level 2](#), 14<sup>th</sup> May 2021.

<sup>19</sup> Welsh Government Press Release, [First Minister confirms phased move to Alert Level 1](#), 3<sup>rd</sup> June 2021.

<sup>20</sup> [Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area](#),

<sup>21</sup> Welsh Government Press Release, [All adults in Wales offered a vaccine ahead of schedule](#), 13<sup>th</sup> June 2021

## SECTION 1: RISK DESCRIPTIONS

Risk Ref	Risk	Scope
CR1	<b>Reshaping Services</b> <b>Appendix 1</b>	Risk that the Council fails to deliver the Reshaping Services Programme and does not utilise alternative methods of service delivery and other approaches to mitigate the impact of budget reductions and demand for services which could result in further cuts to services impacting on their availability and quality.
CR2	<b>Legislative Change &amp; Local Government Reform</b> <b>Appendix 2</b>	Inability to appropriately respond/adapt to new and emerging legislative change and reform developments across the breadth of Council services.
CR3	<b>School Reorganisation &amp; Investment</b> <b>Appendix 3</b>	Inability to invest in improving and developing the quality of our school buildings. This could result in schools no longer being 'fit for purpose' and not meet the Welsh Government's '21 <sup>st</sup> Century Schools' agenda. Failure to effectively plan and provide sufficient school places to meet demand in relation to both English and Welsh Medium provision.
CR4	<b>Waste</b> <b>Appendix 4</b>	Failure to fund the national waste agenda and its associated targets.
CR5	<b>Workforce Needs</b> <b>Appendix 5</b>	Inability to anticipate and plan for workforce needs in the future in order to meet the changes in demand and provision of services. (Risk links to Reshaping risk and legislative reform risk)
CR6	<b>Information Security</b> <b>Appendix 6</b>	Failure to implement adequate information management controls and systems across the Council.
CR7	<b>Environmental Sustainability</b> <b>Appendix 7</b>	Failure to reduce our carbon footprint and mitigate against the impact/effects of climate change.
CR8	<b>Welfare Reform</b> <b>Appendix 8</b>	Roll out of Welfare Reform programme has a detrimental financial and social impact on residents.
CR9	<b>Public Buildings Compliance</b> <b>Appendix 9</b>	Failure to comply with our statutory responsibilities for ensuring the health, safety and welfare of both our staff and citizens when using Council owned and leased assets.
CR10	<b>Safeguarding</b> <b>Appendix 10</b>	Failure to meet our statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.
CR11	<b>Integrated Health &amp; Social Care</b> <b>Appendix 11</b>	Inability to develop, commission and implement alternative models of service delivery that fully integrate how we deliver health and social care services across organisational boundaries and on a regional footprint.
CR12	<b>Unauthorised Deprivation of Liberty Safeguards</b> <b>Appendix 12</b>	Failure to effectively safeguard adults who are at risk of deprivation of liberty.
CR13	<b>Welsh Community Care Information System (WCCIS)</b> <b>Appendix 13</b>	Failure to fully maximise and mobilise WCCIS functionality to ensure full implementation/development of the system across Social Services and over a regional footprint.
CR14	<b>Brexit</b> <b>Appendix 14</b>	Failure to effectively identify and respond to the changing policy and legislative landscape as a result of 'Brexit' and the impact this has on our ability to deliver services to our citizens.
CR15	<b>Additional Learning Needs (ALN)</b> <b>Appendix 15</b>	Capacity and capability to effectively meet the Additional Learning Needs of our learners from birth to 25. The key driving forces associated with this risk relate to growth in demand, our capacity and financial viability to meet growing needs which have been further compounded by the impact of new responsibilities and duties arising from the ALN Act.
CR16	<b>COVID-19</b> <b>Appendix 16</b>	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 <sup>22</sup>	Forecast Direction of Travel <sup>23</sup>
				Likelihood	Impact	Total		
1	Reshaping Services	9 (M/H)	4 (M)	2	2	4 (M)	↔	↑
2	Legislative Change and Local Government Reform	12 (H)	2 (M/L)	2	3	6 (M)	↔	↔
3	School Reorganisation & Investment	12 (H)	4 (M)	2	2	4 (M)	↔	↑
4	Waste	12 (H)	2 (M/L)	4	2	8 (M/H)	↔	↔
5	Workforce Needs	9 (M/H)	4 (M)	3	2	6 (M)	↑	↔
6	Information Security	12 (H)	2 (M/L)	2	3	6 (M)	↔	↔
7	Environmental Sustainability	12 (H)	4 (M)	2	3	6 (M)	↔	↑
8	Welfare Reform	12 (H)	4 (M)	2	3	6 (M)	↔	↑
9	Public Buildings Compliance	9 (M/H)	4 (M)	2	2	4 (M)	↔	↔
10	Safeguarding	9 (M/H)	4 (M)	2	2	4 (M)	↑	↔
11	Integrated Health and Social Care	9 (M/H)	4 (M)	3	2	6 (M)	↔	↓
12	Unauthorised Deprivation of Liberty Safeguards	9 (M/H)	2 (M/L)	3	2	6 (M)	↓	↔
13	Welsh Community Care Information System (WCCIS)	12 (H)	2 (M/L)	4	2	8 (M/H)	↑	↔
14	Brexit	12 (H)	2 (M/L)	3	3	9 (M/H)	↔	↑
15	Additional Learning Needs	9 (M/H)	2 (M/L)	3	3	9 (M/H)	↔	↔
16	COVID-19	16 (VH)	2 (M/L)	2	4	8 (M/H)	↔	↔

<sup>22</sup> **Direction of travel** compares residual risk score for the current quarter with the previous quarter to indicate whether the risk is increasing/ decreasing or staying static.

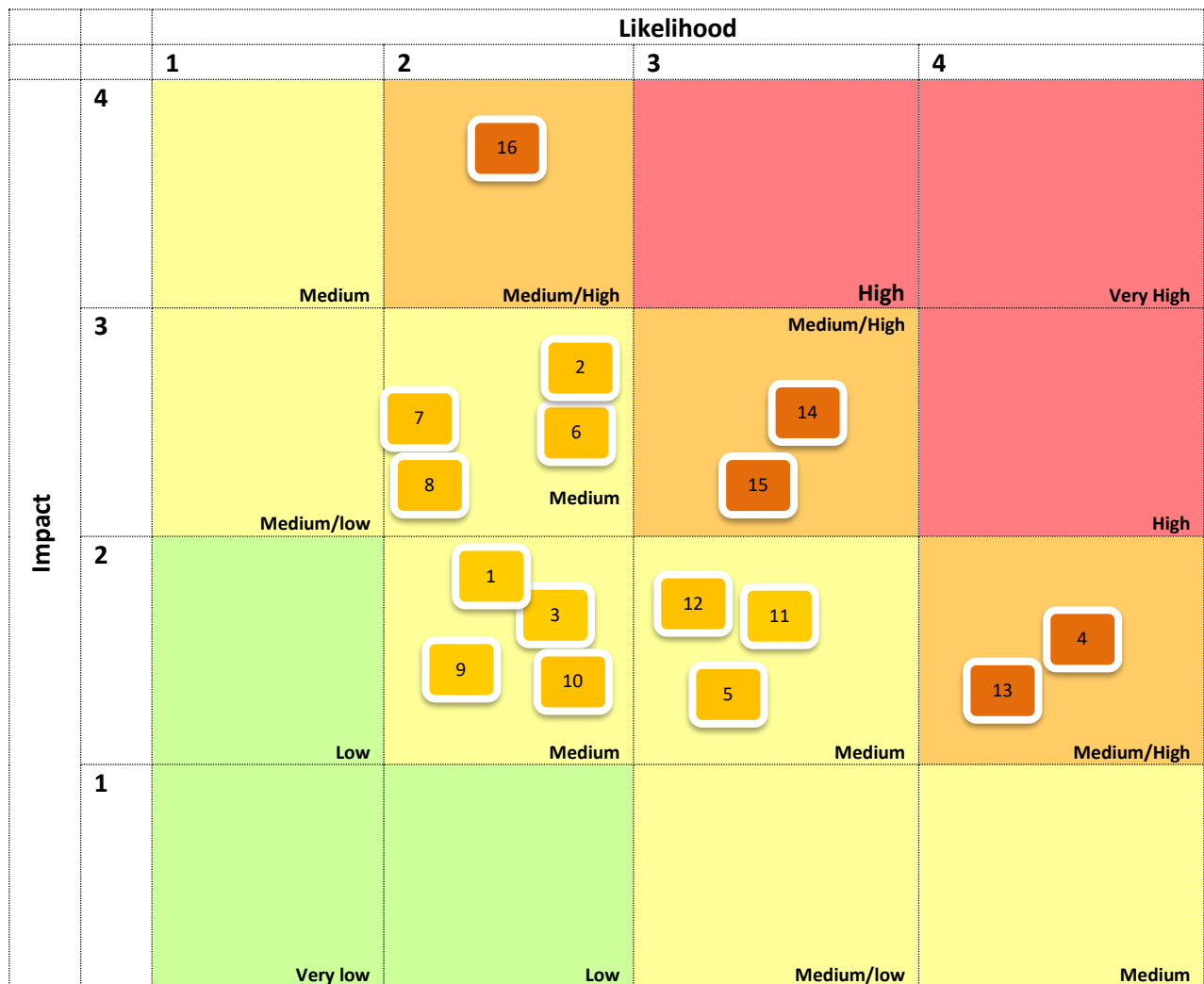
<sup>23</sup> **Forecast direction of travel** anticipates the future direction of the risk by taking into account factors that are likely to impact on it

 Risk increasing, 
  Risk is decreasing, 
  Risk remaining static

## SECTION 3: OVERALL RISK HEAT MAP

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

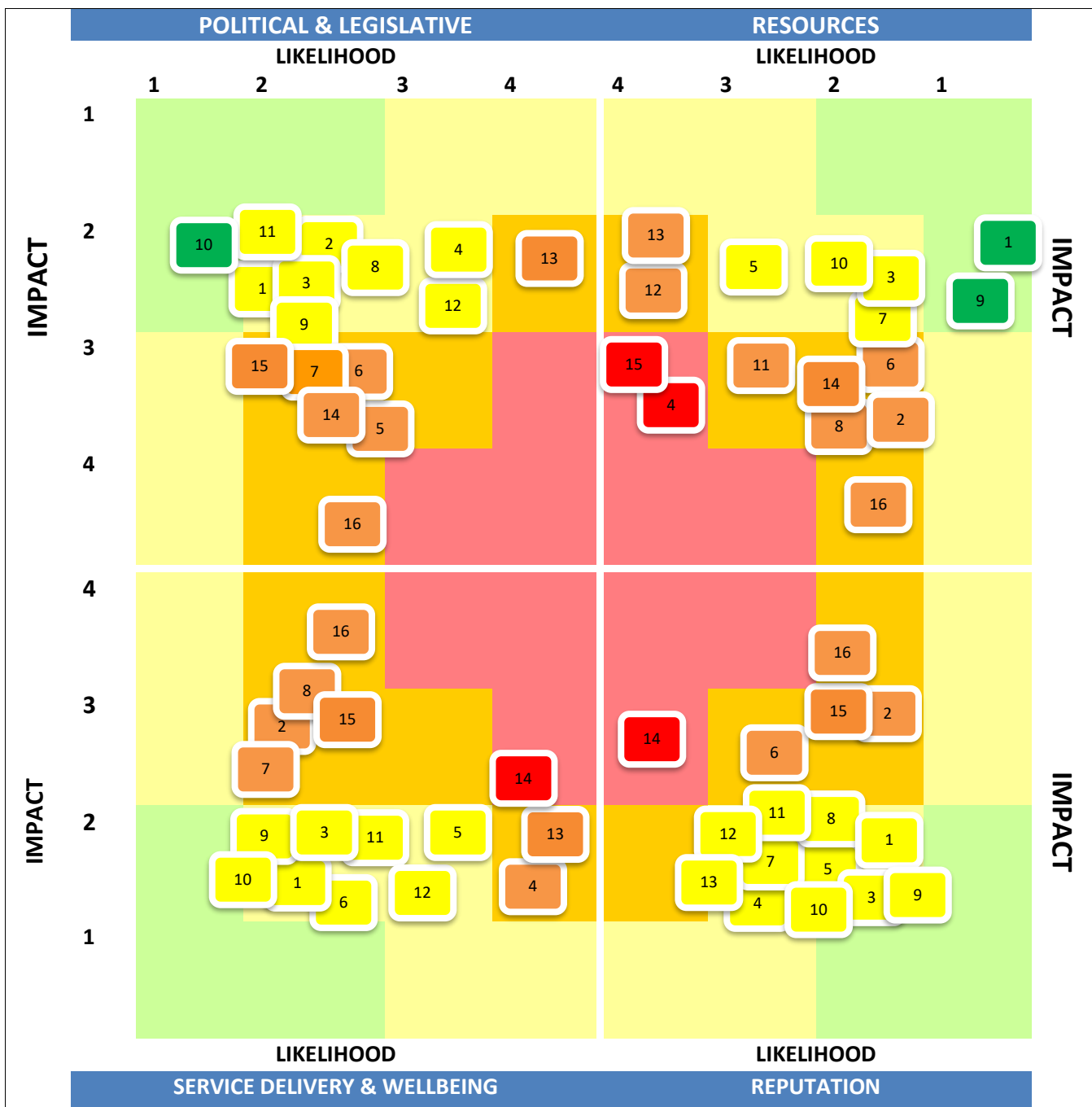
- The heat map for quarter 1 shows that the greatest number of risks continue to congregate at a medium status.
- Additional Learning Needs, Brexit, Waste and COVID-19 risks have maintained their Medium/High status. WCCIS has increased to a medium/high status (8) from a medium position (6).
- There are no risks on the Register below a medium status. Safeguarding risk has increased from medium/low (3) to a medium (4).
- DoLS has decreased to a medium position (6) from its previous medium/high status (8).



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 and Brexit 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) this reflects the ongoing pressures following the end of the transition period.
- 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 in reflection of the financial and workforce pressures are putting on service delivery.
- 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.

- 98% (204) of actions were allocated a Green status (completed or on track) and 2% (5) were allocated a red status at the end of quarter 1.
- 100% of risk actions contained in the Risk Management Plans for Reshaping, Legislative Change, School Reorganisation, Waste, Public Buildings Compliance, Safeguarding, Deprivation of Liberty Safeguards, WCCIS and ALN are on track in terms of progress, 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)	GREEN (On Track)	AMBER (Minor slippage)	RED (Slipped)		
CR1: Reshaping Services	N/A	100% (19)	N/A	N/A	20	19
CR2: Legislative Change & Local Government Reform	N/A	100% (6)	N/A	N/A	6	6
CR3: School Reorganisation & Investment	N/A	100% (6)	N/A	N/A	6	6
CR4: Waste	N/A	100% (11)	N/A	N/A	11	11
CR5: Workforce Needs	5% (1)	90% (18)	N/A	5% (1)	20	20
CR6: Information Security	14% (1)	72% (5)	N/A	14% (1)	7	7
CR7: Environmental Sustainability	5% (2)	92% (34)	N/A	3% (1)	37	37
CR8: Welfare Reform	22% (2)	78% (7)	N/A	N/A	10	9
CR9: Public Building Compliance	N/A	100% (6)	N/A	N/A	7	6
CR10: Safeguarding	N/A	100% (11)	N/A	N/A	11	11
CR11: Integrated Health & Social Care	N/A	90% (9)	N/A	10% (1)	10	10
CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs)	N/A	100% (3)	N/A	N/A	3	3
CR13: Welsh Community Care Information System (WCCIS)	N/A	100% (2)	N/A	N/A	2	2
CR14: Brexit	16% (3)	79% (15)	N/A	5% (1)	19	19
CR15: Additional Learning Needs (ALN)	N/A	100% (12)	N/A	N/A	12	12
CR16: COVID-19	3% (1)	97% (30)	N/A	N/A	31	31
<b>Totals</b>	<b>5% (10)</b>	<b>93% (194)</b>	<b>N/A</b>	<b>2% (5)</b>	<b>212</b>	<b>209</b>

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

Risk	Action Ref	Action Description	Commentary
<b>CR5: Workforce Needs</b>	WFR/RP003 (RP/A006)	Conduct a review of Economic Development to identify synergies across teams, foster greater joint working and increase flexibility.	Much of this work will depend on the resources needed to develop and deliver new UK government programmes. The Council is working with consultants to identify these gaps in capacity. Work will take place in Q2 to prioritise resources.
<b>CR6: Information Security</b>	ISR/SRS001	Undertake a review of information security against GDPR regulations.	This activity has not yet started. Progress to be reported in next quarter.
<b>CR7: Environmental Sustainability</b>	ESR/NS015 (NS/A050)	Revise the Local Flood Risk Management Strategy in response to the updating of the National Flood and Coastal Erosion Risk Management Strategy	Update on hold pending guidance from Welsh Government.
<b>CR11: Integrated Health and Social Care</b>	IHSR/AS004 (AS/A014)	Implement actions arising from Vale Community Resource Service review.	This has paused in the first quarter whilst we concentrated on a move of the team back to base at Barry Hospital. In addition, we have seen a dramatic increase in the number of care and support hours delivered in the first quarter, despite staffing shortages. We are about to put an advert out for a Business Improvement Manager position to give additional capacity to the leadership team to assist with maintaining momentum on this review.
<b>CR14: Brexit</b>	BXR/LS002 (LS/A002)	Provide support to officers in relation to the review of procurement practices and policies to ensure our procurement activities contribute to the national well-being goals and support work around climate change.	Approach to procurement review has not yet been progressed by the Procurement Team for Legal Services to feed into. Resources have been made available by Legal Services when review is ready to be progressed.

## SECTION 7: Risk Scoring Definitions

### Inherent and Residual Risk Scoring

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

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

See matrix below:

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

### Effectiveness of Controls Score

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

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



## RISK REGISTER (SEE ANNEX B)

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

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

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









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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Challenge process in place to identify projects.</li> <li>Mixed economy model approach to Reshaping approved.</li> <li>Mix of service specific and corporate projects that lessen impact on front line services.</li> <li>Risk management processes embedded in project management to identify and mitigate impacts on service users.</li> <li>Programme documentation makes linkages with Well-being of Future Generations Act.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees.</li> <li>Programme board and manager in place, with project team resources considered for each project.</li> </ul>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>• Council's Financial Resilience considered good by WAO.</li> <li>• Business cases developed for projects and guidance in place.</li> <li>• The management development programme has concentrated on the introduction of the core competency and management competency frameworks.</li> <li>• Tranche 5 projects have been identified, with savings included in the revenue proposals for the budgets of 2020/21.</li> <li>• The Digital Strategy 2017-2020 sets out the strategic direction for the development of services to embrace new digital technologies to improve services whilst reducing costs.</li> <li>• Website refreshed Office 365 - roll out across the organisation.</li> <li>• A broader review to improve online processes from a customer view has been started. This involves hosting of dedicated digital days with services to identify improvements and potential efficiencies.</li> <li>• As part of the Procurement project, Third Party Spend targets have been established for service areas. Guidance has been provided and monitoring arrangements are being put in place.</li> <li>• The income generation and commercial opportunities project team and project board continue to identify opportunities for income generation.</li> <li>• Delivery of Space project New fee structures and reporting processes are in place for income generating services.</li> <li>• 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 the year, the highlight of which was the formal virtual launch of the platform.</li> <li>• Reshaping Services Programme project portfolio has been agreed in line with the revenue budget.</li> </ul>			

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

## 2.3 Residual Risk Scoring & Direction of Travel

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/PB001 (PB/A011)	Lead on the development and delivery of a new Transformational Change Programme with an emphasis on community, resources and new ways of working.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	<b>GREEN (On track)</b>
RSR/RP001 RSR/FIT001 RSR/HS001 RSR/HR001 (HR/A001) RSR/NS001 RSR/SRS001	Support delivery of the next iteration of the Council's Transformational Change Programme to respond to current and future organisational challenges.										DM ER T Baker MG CL MI TD ER		
<b>ACTION UPDATE:</b>	Following Cabinet's approval for the new Reshaping programme in March 2022, work has commenced on developing the focus of the Reshaping Board, including project monitoring arrangements, resources and any additional governance arrangements. The Programme's projects have made progress including the consultation on the Climate Change Challenge Plan and work on the Llantwit Major Food Poverty project. All service areas continue to work to support reshaping, organisational change and transformation particularly which will continue to be developed over the next 3 quarters.												



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 (PB/A006)	Undertake a review of the customer relations operating model.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TC	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	Initial analysis of future requirements has been undertaken and is being further developed subject to other corporate developments and implementation of the CRM replacement software.												
RSR/PB003 (PB/A008)	Establish mechanisms to ensure that across Council services, information is shared about planned consultations, engagement and outcomes to reduce duplication and strengthen the Council's evidence-base.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	<p>Work has commenced during the quarter to build the Council's 'Insight' function, drawing together public perception (consultation, engagement, involvement information), performance and data/research forms of insight. A series of discussions have been held at the Insight Board to discuss the public engagement database and a calendar of public engagement activities has been developed. This has been populated with key aspects of the Council's forthcoming engagement/consultation work, including the Well-being Survey to support the Well-being Plan and the work on Project Zero. A revised section on the intranet has been completed to provide access to this information for other colleagues. This work will inform the development of the Public Participation strategy which is required in 2022.</p> <p>During Q2, the 'Insight' function will be further developed to draw together the above sources of insight to provide a strengthened evidence base for the Council and to support the development of impact assessments, such as those required under Equalities legislation."</p>												
RSR/PB004 (PB/A009) RSR/NS002	Contribute to projects that seek to use our property and land assets to support changes in service delivery, including agile working,	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring ER	March 2022	Green (On Track)

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
(NS/A002)	tackling climate change and achieving financial savings (ADP/004) <i>Milestone action: Prepare the necessary reports to Cabinet which (if approved) will be implemented to assist with reshaping savings in respect of savings/income, sports grounds, parks, open spaces, allotments, public conveniences and sports clubs.</i>												
RSR/FIT002 (FS/A003)	Use our property and land assets to support changes in service delivery, including agile working.										CL		
RSR/SRS001 (SRS/A002)	Maximise mobile working opportunities by reviewing ICT and mobile working needs across the service including evaluating options for virtual communication between staff and other stakeholders to ensure service continuity.										DH		

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	<p>During the quarter, Policy and Business Transformation has contributed to key projects associated with the Council's assets. Interim guidance for the safe use of Council office accommodation was developed and communicated to colleagues and work started on developing a future approach to the use of office accommodation. The Pier Pavilion at Penarth was a key project for Policy &amp; Business Transformation to support, following the surrender of the lease by PACL and a consultation exercise was undertaken to identify potential future uses for the building, receiving over 1000 responses. Work has also commenced on developing proposals for the future use of the Kymin, following the Penarth Esplanade Board's decision not to award the lease to those who submitted tender responses.</p> <p>In relation to Neighbourhood Services, a number of bus shelters throughout the VOG have been upgraded and now include digital bus information boards. Next bike is being rolled out into Sully and Dinas Powys following on from WG Active Travel grant. Electric charging points are being installed at car park and on street for e-taxis. Officers are working with the CCR office and Transport for Wales to look at problems and solutions for the decarbonisation programme - submitting an Expression of Interest to run passenger transport vehicles on bio-gas.</p> <p>Within Finance and Property Division, commercial concessions have been developed, and marketed at The Clifftops (Penarth) Cosmeston (food x2), Cosmeston Water Sports, Barry Island Eastern Promenade, Romilly Park and Former Train shed BSC2. In additional Interim arrangements have been put in place to assist service areas to return to the workplace where safe and appropriate to do so. Work is ongoing to support an agile workforce going forward.</p>												
RSR/PB005 (PB/A010)	Work with Social Services to review Telecare services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	<p>Staff surveys and interviews have been undertaken to identify key service issues and gather ideas for developing service to ensure it meets the requirements of residents and other stakeholders. Steering Group has been established to oversee the review and operational groups created to move work forward. During Q2 work will commence to exploit functional opportunities offered by the Granicus Firm step product (CRM replacement) to improve customer engagement and online application process.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/FP002 (RP/A001)	Continue to focus on developing the digital delivery of services focusing on productivity and customer experience.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	All staff working from home using remote technology. All planning and building control services are available on-line and the department functions as a paperless office. The Regeneration team continues to work well from home using digital technology but also welcomes the return to the workplace for collaborative purposes.												
RSR/HS002 (HS/A002)	Continue to contribute towards the Council's Digital Vale programme by developing a Digital Transformation Strategy for Housing and Building Services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	The Housing team are a key partner in the development of the Councils Digital transformation work and contribute to a series of corporate groups and projects. In addition, a range of projects are continuing to support tenants to get on line. These include purchase of tablets and laptops which are available for loan, provision of training for tenants via 'champions'. Engaged tenants i.e. people who are part of established tenants groups are being supported first, along with sheltered tenants. Others will be identified based on need following the completion of the tenant profiling exercise.												
RSR/SL001 (SL/A003)	Deliver ICT infrastructure improvements within schools in line with the Welsh Government's Education Digital agenda and	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	Green (On Track)

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	to support new ways of working resulting from COVID-19.												
<b>ACTION UPDATE:</b>	<p>1. 704 Windows devices have been enrolled into Microsoft InTune MDM for remote management.</p> <p>2. Completed IOS Workshop this quarter and anticipate enrolling at least 200 Apple devices into Microsoft InTune MDM for remote management.</p> <p>3. 1,394 new devices have been ordered under the Hwb funding for 2021/22, currently awaiting delivery of these devices.</p>												
RSR/SL002 (SL/A001)	Update Council's Digital Strategy to reflect the changing needs of the council and its citizens, and to expand the range of digital methods used to engage and communicate with Vale of Glamorgan citizens.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	CGI consulting has been commissioned to carry out some work on an ICT Maturity Assessment, the results of which will inform a new ICT Service Structure and the Digital Strategy.												
RSR/FIT003 (FS/A002)	Engage with Vale of Glamorgan citizens on budget issues to inform the Council's Transformational Change Programme for 2022/23.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	This piece of work will be undertaken with the Comms team during December2021												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/FIT004 (FS/A004)	Reshape procurement practices and policies to ensure our procurement activities contribute to the national well-being goals and support work around climate change.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	Internal review of the service commenced in this quarter with feedback being received from all Directorates.												
RSR/ALN001 RSR/LS001	Respond to current and future organisational challenges as part of the Council's Transformational Change Programme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD DM	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	The extensive ALN strategy to develop specialist provision in the Vale continues to be implemented. In September the PRU provision will be placed under the umbrella of Ysgol y Deri as will the Loft and Burrow provision at Gladstone School. Support provided by Legal and Democratic Services and through support provided at Senior Leadership Team meetings.												
RSR/AS001 (AS/A005)	Review our new ways of working in response to the pandemic to inform the transformation of services going forward.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	Within Adult Services, we have engaged with people who attend our day services and ensured that day services are made increasingly available as result. This has been delayed as we try to recruit to a Service development manager position to assist us in engaging with the public and key stakeholders to shape our future service models. We are also working with the Policy Assurance officer to undertake a survey of people's experiences 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			
	<p>interacting with the workforce using digital means during the pandemic, so that we can understand what worked well when conducting assessments/reviews using technology and what we may have missed.</p> <p>This quarter saw our social care teams enabled to return to office bases, adhering to social distancing measures and all WG guidelines re working safely. This has now commenced a programme of blended working, which we will continue to monitor and assess. Our services work in an integrated way and we have continued to use the assets within the Vale locality portfolio flexibly, accommodating UHB staff in Council premises and vice versa where this is prudent to do so. This will continue to inform our accommodation needs moving forward. In addition, once the Service Development Manager is in post we hope to recommence the accommodation needs of our day services through working with our attendees to shape the model and consider the accommodation requirements to deliver the agreed service model.</p>												
RSR/AS002 (AS/A004)	Investigate opportunities to improve provision and access to care and support services via digital means (e.g. Self-assessments, Telecare)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	<p>During qtr 1 we have worked in partnership with the Customer Relations division based at Contact 1 Vale, Adult Services will explore opportunities for maximising digital services through development of website to enable greater customer integration to enable: electronic referrals, intelligent information sharing, self-assessments for Telecare, minor adaptations/OT equipment real-time access to service user records. In the Adult Learning Disability Team the regional ICF Digital Support Officer is piloting a digital assessment tool that case managers can use to identify people's strengths in using technology and also where they need further help. This will enable the team to target digital technology in the best way to support people's independence. In LD day services 'SeeMe' continues to be rolled out to enable people to express how they wish to be supported via video.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/AS003 (AS/A003)	Undertake a review of our assets to enable the service to respond to or changing accommodation requirements in order to meet future service needs.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	This quarter saw our social care teams enabled to return to office bases, adhering to social distancing measures and all WG guidelines regarding working safely. This has now commenced a programme of blended working, which we will continue to monitor and assess. Our services work in an integrated way and we have continued to use the assets within the Vale locality portfolio flexibly, accommodating UHB staff in Council premises and vice versa where this is prudent to do so. This will continue to inform our accommodation needs moving forward. In addition, once the Service Development Manager is in post we hope to recommence the accommodation needs of our day services through working with our attendees to shape the model and consider the accommodation requirements to deliver the agreed service model.												
RSR/CS001 (CS/A003) RSR/RMS001 (RMS/A006)	Determine our preferred operating model in terms of service delivery to inform future building / space requirements.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	RE AP	March 2022	<b>GREEN (On track)</b>
<b>ACTION UPDATE:</b>	We've received feedback from staff on preferred ways of working which going forward will be used to inform future work on developing a Preferred Operating Model.												



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/RMS002 (RMS/A005)	Implementation of digital medication in our residential care homes.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	Ty Dyfan is the only home which has had re-cabling completed which will enable digital medication introduction into that home. Contracts have been agreed with Boot's pharmacy. ICT have undertaken IT survey, but more funding is required to change cabling in the 3 remaining homes. ICF has been applied for but this application has failed. Alternative funding sources to be explored.												
RSR/RP003 (RP/A020)	Work with Financial Services to review the Capital Programme and the use made of the Council's assets to support recovery and economic growth including the consideration of an investment strategy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	Funding has been allocated via the Transforming Towns Welsh Government funding to support projects in town centres. All funding awards were approved prior to Q1 and projects continue to be monitored. Some projects completed in Q1 include the refurbishment of Llantwit Major Train Station car park and public realm. Improvements to planting and public realm have also been completed in Holton Road.												

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/NS003	Secure income from enforcement, inspections and fleet sponsorship.		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	Enforcement team reinforced Quarter 1. Income from parking offences steady but environmental offence income low. Review of the service has been undertaken in quarter 1 and will need to be considered by Cabinet in Quarter 2. Roundabout and bus stop advertising being delivered and promoted.												
RSR/SRS002	Formulate the next three-year financial programme (2021-2024) with all three partner Councils.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	<b>N/A</b>
<b>ACTION UPDATE:</b>	Work not yet started. Budget setting activity due to commence in Quarter 2.												

Return to Risk Summary Report

1 – Risk Overview	
<p><b>1.1 Risk Description</b></p>	<p>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 Local Government &amp; Elections (Wales) Act 2021.</p> <p>The <a href="#">Local Government and Elections (Wales) Act 2021</a>, in terms of reforming Local Government sets out a series of provisions, including:</p> <ul style="list-style-type: none"> <li>• The reforming of electoral arrangements for local government</li> <li>• A general power of competence for principal councils and eligible community councils</li> <li>• Reforming public participation in local democracy</li> <li>• The leadership of principal councils, including to encourage greater diversity amongst executive members and establishing a statutory position of chief executive</li> <li>• 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)</li> <li>• 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</li> <li>• Powers to facilitate voluntary mergers of principal councils and restructuring a principal area</li> <li>• Local government finance including non-domestic rating and council tax</li> </ul> <p>As a result of the pandemic, scrutiny of the Local Government and Elections (Wales) Act was delayed. Stages 2 and 3 of the scrutiny process resumed at the latter end of 2020 before the Bill was agreed in Plenary by the Senedd on 18<sup>th</sup> November 2020. The Bill became an Act when it received royal assent on the 20<sup>th</sup> January 2021. In preparation for this legislation gaining royal assent, the Council has developed an action plan through which key requirements of the Act are addressed. This action plan has been referenced in the Risk Management Plan through the extraction of some high-level actions that contribute to mitigating risks associated with implementing new requirements of the Act.</p>
<p><b>1.2 Risk Owner</b></p>	<p><b>Senior Leadership Team</b></p>

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

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	<p>Political and legislative repercussions of failing to meet the requirements of the Local Government and Elections (Wales) (LG&amp;E) Act 2021 could lead to litigation, fines and/or political instability.</p> <p>Failure to respond appropriately to the changes required by the LG&amp;E Act 2021 regarding public participation, performance management and leadership of Councils.</p> <p>Failure to use the General Power of Competency introduced by the LG&amp;E Act 2021 appropriately and/or to make use of opportunities arising from this provision.</p> <p>The pandemic brings with it an increased risk of challenge (from Welsh Government and/or regulatory perspective) and the potential for litigation if there is a failure to implement/meet new requirements of the LG&amp;E Act.</p>
<b>Resources</b>	Yes	<p>Insufficient funding to ensure that we can meet our legislative requirements associated with the LG&amp;E Act.</p> <p>Failure to effectively engage and mobilise our resources to effectively meet and deliver requirements associated with LG&amp;E Act. This is applicable in light of COVID, which has impacted on both our function and capacity.</p> <p>At a time when our resources have been diverted and repurposed to business-critical areas in response to coronavirus, there is a risk that this could impact on our ability to have capacity to put in place appropriate preparations for new legislative requirements. eg. LG&amp;E Act.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Service Delivery and Wellbeing</b>	Yes	Failure to deliver on our wellbeing objectives and contribute to the national wellbeing goals in keeping with the new requirements of the LG&E Act. Particularly in terms of how we engage with our citizens and how we can evidence base delivery of our wellbeing objectives and demonstrate effective governance.
<b>Reputation</b>	Yes	<p>Failure to communicate effectively could undermine the trust of employees, external stakeholders and our customers and poorly orchestrated delivery of organisational changes associated with legislative change.</p> <p>Loss of confidence and trust by the public as a consequence of a failing to meet our constitutional and legislative obligations and the associated negative publicity. Lack of credibility and potential criticism from our external regulators.</p>

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

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments relating to legislative change.</li> <li>Attendance at WLGA Heads of Policy Network meetings.</li> <li>Name change of Committee to Governance &amp; Audit Committee agreed by Council. Democratic Services used Emergency Powers to update Committee Terms of Reference and the Constitution.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Budget setting process includes considerations of cost pressures arising from legislative change.</li> <li>The Council's Annual Report format is under ongoing review and refinement to further strengthen how we report our performance as a Council with the proposed changes associated with the LG&amp;E Act in mind.</li> <li>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.</li> <li>Contributing to the development of national guidance to accompany the changes required by the Act to the performance framework for local authorities.</li> <li>A project group has been established for implementing requirements of the LG&amp;E Act.</li> </ul>	2	1	2
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>We have developed and agreed a new 5-year Corporate Plan that sets out our vision of 'Working together for a Brighter Future'. The Plan sets out four new Well-being Objectives and how it will contribute to delivery of the Well-being Goals.</li> </ul>	2	1	2
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Regular meetings and liaison with Audit Wales, WLGA and Welsh Government, City Deal and various other professional networks on</li> </ul>	2	1	2

## 2.2 Controlling Inherent Risk

Category	• Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	progress being made on delivering our LG&E Action Plan.			
<b>Overall Effectiveness of Controls Score</b>		<b>2</b>	<b>1</b>	<b>2</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
LCR/PB001	Enhance performance and risk reporting to reflect and respond to the changes introduced by the Local Government and Election (Wales) Bill.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On track)
<b>ACTION UPDATE:</b>	Work is underway to refresh our performance reporting format and Risk Management Strategy to ensure that they are in keeping with the new requirements of the LG&E Act. Work has also commenced on reviewing the format for a self-assessment document in line with the Act that will involve input from Elected Members through the establishment of a Member Working Group.												
LCR/PB002	Develop the Insight function to further enhance and inform decision making with a focus on responding to the changes introduced by the Local Government and Elections (Wales) Bill.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	<p>Work has commenced during the quarter to build the Council's "Insight" function, drawing together public perception (consultation, engagement, involvement information), performance and data/research forms of insight. A series of discussions have been held at the Insight Board to discuss the public engagement database and a calendar of public engagement activities has been developed. This has been populated with key aspects of the Council's forthcoming engagement/consultation work, including the Well-being Survey to support the Well-being Plan and the work on Project Zero. A revised section on the intranet has been completed to provide access to this information for other colleagues. This work will inform the development of the Public Participation strategy which is required in 2022.</p> <p>During Q2, the "Insight"function will be further developed to draw together the above sources of insight to provide a strengthened evidence base for the Council and to support the development of impact assessments, such as those required under Equalities legislation."</p> <p>"Work has commenced during the quarter to build the Council's ""Insight"" function, drawing together public perception (consultation, engagement, involvement information), performance and data/research forms of insight. A series of discussions have been held at the Insight Board to discuss the</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>public engagement database and a calendar of public engagement activities has been developed. This has been populated with key aspects of the Council's forthcoming engagement/consultation work, including the Well-being Survey to support the Well-being Plan and the work on Project Zero. A revised section on the intranet has been completed to provide access to this information for other colleagues. This work will inform the development of the Public Participation strategy which is required in 2022.</p> <p>During Q2, the "Insight" function will be further developed to draw together the above sources of insight to provide a strengthened evidence base for the Council and to support the development of impact assessments, such as those required under Equalities legislation.</p> <p>Work has commenced during the quarter to build the Council's "Insight" function, drawing together public perception (consultation, engagement, involvement information), performance and data/research forms of insight. A series of discussions have been held at the Insight Board to discuss the public engagement database and a calendar of public engagement activities has been developed. This has been populated with key aspects of the Council's forthcoming engagement/consultation work, including the Well-being Survey to support the Well-being Plan and the work on Project Zero. A revised section on the intranet has been completed to provide access to this information for other colleagues. This work will inform the development of the Public Participation strategy which is required in 2022.</p> <p>During Q2, the "Insight" function will be further developed to draw together the above sources of insight to provide a strengthened evidence base for the Council and to support the development of impact assessments, such as those required under Equalities legislation.</p>												
LCR/FP001 (RP/A010)	Following the implementation of the Local Government and Election Act, work with the Cardiff Capital Region to reach agreement to progress a Strategic Development Plan for the Cardiff Capital Region in agreement with all South East Wales Local Authorities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
LCR/FIT001 (FS/A010)	Establish a Corporate Governance & Audit Committee to review the Council's response to self-assessment, peer assessment and combined assessment and governance reviews in line with the requirements of the Local Government and Elections (Wales) Bill.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Committee name changed and Terms of Reference updated. Forward work programme compiled. Training of Members and recruitment of lay members are the main tasks ahead.												
LCR/LS001 (LD/A006)	Respond and deliver the changes introduced by the Local Government and Elections (Wales) Act as the provisions are implemented and delivering the relevant actions as appropriate and as set out in the <a href="#">Action Plan</a> (as endorsed by Cabinet in December 2020). <i>Milestone action:</i> <i>Respond to the work flowing from the Action Plan and Officer Working Group established to programme and ensure delivery of the requirements set out and associated with the</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<i>Local Government and Elections (Wales) Act 2021 to enable (in part) electoral reform and ensure a robust governance framework.</i>												
<b>ACTION UPDATE:</b>	<p>Officer working Group established to progress the action plan in respect of the provisions of the Act. Various elements have been implemented to date as follows:</p> <p><b>Part 1 Elections-</b> Ongoing awareness raising regarding promotion of registrations for relevant young people (aged 16-17) in line with Electoral Commission’s campaign. Translation of documents for elections- appropriate arrangements have been programmed for and it is now business as usual. Awaiting Statutory Instrument Guidance for other aspects of the requirements of Part 1 associated with registration of Local Government Electors without application, qualification/disqualification of Election.</p> <p><b>Part 2 Chapter 1- General Power of competence for Local Authorities-</b> Awaiting guidance regarding the General Power of Competence (Commercial Purpose) (Conditions) (Wales) Regulations 2021 will require Councils to prepare business cases before using the general power to do anything for a commercial purpose.</p> <p><b>Part 2 Chapter 2- eligible Community Councils to qualify for the general power of competence.</b> Action focuses on raising awareness with Town and Community Councils. Action plan has been shared with Clerks and consultation with Town and Community Council’s is underway lead by Welsh Government regarding qualification for Clerks.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p><b>Part 3-Promoting access to Local Government-In terms of encouraging citizens to participate in decision making.</b> The Communications and Democratic Team have prepared social media publicity to raise awareness with the public. In terms of refreshing the Constitution and publishing a Guide, a working group has been established to review this which is due to be concluded in quarter 3. Paper was prepared for Senior Leadership Team (SLT) regarding the resourcing costs associated with broadcasting council meetings. SLT agreed all meetings from 1<sup>st</sup> May be live streamed and procedure has been published on the Website.</p> <p><b>Part 4- Local authority Executives, Members, Officers and Committees-In relation to appointment of Chief Executive rather than Managing Director.</b> This appointment has been picked up as part of the Pay Policy that was reported to Full Council in March 2021. In relation to Job-sharing: non-executive offices in Principal Councils. Welsh Ministers enabled to make regulation (Section 60), the Council is awaiting regulations. Changes to family absence provisions, report produced for Ful Council that includes recommendations for amendments. Requirement to make information available for Scrutiny Committees, WAO action plan update has been reported and approved by Corporate Performance and Resources Committee.</p> <p>Part 5-Collaborative working by Principal Councils- Awaiting further guidance on collaborative working from Welsh Government.</p> <p><b>Part 6- Performance and Governance of Principal Councils and Duty of Principal Council to keep its performance under review-</b> Performance Team currently working on refining the Performance Management Framework and ongoing work regarding the development of self-assessment process and timetable for delivery. Consideration of the format of the Annual Self-Assessment document is currently underway. Awaiting regulations regarding composition and appointment of Performance Panels. Regarding Governance and Audit Committee, renaming and Terms of Reference agreed via Emergency Powers and endorsed by Full Council in May 2021.</p> <p><b>Part 7- Members and Restructuring of Principal Areas-</b> no further action required.</p> <p><b>Part 8- Local Government Finance-</b> No further updates for quarter 1.</p> <p><b>Part 9-Miscellaneous-</b> Head of Democratic Services amended in line with Pay Policy with amendment to Constitution. Regarding the abolition of polls</p>												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	consequent on a community meeting. A report was presented to Clerks meeting in May 2021.												
LCR/LS002 (LD/A007)	Support and advise the responsible officers in relation to the legal implications arising during the full implementation of the provisions within the Local Government and Elections (Wales) Act as set out in the Action Plan.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	This aspect of support and advice is embedded within the Legal Services where the division continues to provide advice in relation to the legal implications arising and risk management.												

Return to Risk Summary Report

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

1.2 Risk Owner	<b>Head of Strategy, Community Learning and Resources (TB)</b>
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1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
No	Yes	No	No	Yes	No	Yes

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

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



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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Awareness raising session held with members, Insight board and CMT on the issues associated with the 21<sup>st</sup> Century Schools Programme with the need to release funding through the rationalisation of places and the need to generate capital receipts.</li> <li>Comprehensive governance structures in place to effectively monitor and manage delivery of the programme such as Programme Officers and a Programme Board including the Strategic Investment Programme Chief Officers Group (strategic), the Strategic Investment Project Board (operational) and engagement with Welsh Governments Gateway Review programme to identify opportunities and risks with key stakeholders .</li> <li>Strategy to support Welsh medium education, Welsh language promotion and contribute to Welsh Governments target of one million Welsh speakers by 2050 through the Council's Welsh in Education Strategic Plan (WESP).</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme.</li> <li>Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects.</li> <li>We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements.</li> <li>(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.</li> <li>A preferred alternative site for Pupil Referral Unit (PRU) has been identified.</li> <li>The Vale WESP 2020 Update was approved by Welsh Government. Gained final approval for Barry</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Secondary Learning business cases (FBCs) and construction is complete at Whitmore and well underway at Pencoedtre.</p> <ul style="list-style-type: none"> <li>• Being bilingual web page available on website with information on Welsh medium education and access to the Welsh Medium Education Survey for completion.</li> <li>• A proposal has been established to address English and Welsh medium primary education in Cowbridge (Western Vale). A phased approach is being proposed with English medium being addressed as part of phase 1 and Welsh medium being addressed as part of phase 2. Proposals for Penarth are subject to planning permission being granted for the Cosmeston development.</li> <li>• Developed proposals for a Centre for Learning and Well-being with implementation expected September 2021.</li> <li>• Building issues identified from the Accessibility Strategy consultation have been fed into the Asset Renewal Plans for 2021/22.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Actively participate in the Council's Carbon Management Group.</li> <li>• 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.</li> <li>• Work closely with the Planning Officers to identify potential educational demand as a result of new housing developments in order to maximise S106 funding.</li> <li>• Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school).</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>• Colcot Primary School Barry – Refurbishment (fully funded by Local Authority)</li> <li>• Romilly Primary School, Barry – new foundation phase block. (Band A)</li> <li>• New 60 place part-time Fairfield Nursery opened.</li> <li>• Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now open and operating successfully.</li> <li>• School Development needs 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.</li> <li>• New admission arrangements for 2022/23 has now been concluded. Admission arrangements consultation approved by Cabinet included some changes to original proposals.</li> <li>• Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report.</li> <li>• 21<sup>st</sup> Century Schools programme Band B projects progressing- Whitmore, Pencoedtre, Ysgol Gymraeg Bro Morgannwg, St David's and Llancafarn 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.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Survey demand for school places in line with the Council's Welsh Education Strategic Plan.</li> <li>• Periodic review rolling 25-year plan for schools asset renewal.</li> </ul>	2	2	4

<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
	<ul style="list-style-type: none"> <li>• Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity.</li> <li>• Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes.</li> </ul>			
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

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

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SRR/SP001	Work with the 21 <sup>st</sup> Century Schools' team and other stakeholders to establish the Centre for Learning and Wellbeing that meets the increasing need to support children with identified social and emotional health needs.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	March 2022	GREEN (On track)
<b>ACTION UPDATE:</b>	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 1 <sup>st</sup> 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 locations which meets their needs and are able to be part of the school community.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	Consultation on the Council’s Accessibility Strategy action plan for schools has been completed and all feedback received will be reflected in the actions of the school condition and suitability sub-group of the School Investment Strategy team. School condition and suitability reviews are due to commence in quarter 3.												
SRR/SLOO 2	Strengthen our approach to school place planning to ensure there are sufficient and quality diverse school places in the Vale of Glamorgan to meet the needs of learners now and in the future.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	A School Investment Strategy Group has been set up in order to inform future strategy. The three Key elements are: 1. School Organisation and demand for school places 2. Condition and suitability of school buildings and 3. Tackle decarbonisation of school assets. The group will report t to SI Project Board on initial position in quarter 2.												
SRR/SLOO 3	Deliver 21st Century Schools Programme improvements (Band B) including the expansion of Ysgol Y Deri, new school buildings for Sant Baruc, Llancarfan, St. David’s, Bro Morgannwg, Pencoedre and Whitmore schools, expansion of primary school capacity in Cowbridge and development of a Centre of Learning and Well-being and specialist ALN resource bases at Whitmore and Gladstone	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	Green (On Track)



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	All projects on track against programme. Key milestones: 1. Whitmore High School - new build opened May 21 2. Morgan Sindall appointed to deliver Centre for Learning and Wellbeing and Cowbridge schemes. 3. Planning application submitted for Ysgol Y Deri.												
SRR/SL004	Lead on implementing the Vale of Glamorgan Welsh in Education Strategic Plan (WESP), focusing on the six key priority areas.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	WESP 2022-2032 preparation is continuing with regular WESP Forum, Focus Groups and Stakeholder meetings conducted and scheduled. First draft of plan prepared with aim to share with DMT and progress to consultation phase early in autumn term.												
SRR/SL005 (Links to Env'tal Sustainability)	Improve existing school buildings and deliver new buildings for St Davids and Llancarfan Primary Schools, making them low carbon and where possible zero carbon buildings to operate and create an adaptable and scalable school design in partnership with the construction industry.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	Green (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	Low and net zero carbon projects on track. Working with Cardiff University's k2n project to set up carbon monitoring once buildings are operational.												

1 – Risk Overview	
<p><b>1.1 Risk Description</b></p>	<p>This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive. There is a Statutory Target for Recycling based on the Welsh Government’s ‘Towards Zero Waste’ Waste Strategy. Aligned to this are national statutory landfill reduction/ diversionary targets. Failure to meet the national waste agenda and meet its associated targets increases the likelihood of incurring significant fines and could have detrimental impact on the Council’s reputation.</p> <p>The biggest shift change has been in relation to reducing the volume of residual waste. The Council secured capital funding from the Welsh Government’s Collaborative Change programme as part of the Waste Strategy to implement a restriction of residual waste. From September 2018, all households across the Vale of Glamorgan were restricted to putting out two bags per fortnight (with exemptions for those with six or more residents, pet waste/bedding, ash from household fires/log burners and adult hygiene products). To oversee this roll out and enforcement, waste wardens have been appointed. This shows that this service changes have resulted in over a 30% reduction in residual waste.</p> <p>In progressing our Waste Strategy, we continue to look at ways of further increasing our recycling rates across the Vale of Glamorgan. Although the Vale of Glamorgan Council continues to be one of the top performing authorities for meeting its recycling targets, more recently we have experienced a growing problem with contamination. This has been due to non-recyclable items such as soiled nappies, food waste and cat litter being mixed with recycling. To combat this problem and to reduce our use of single use plastic, the use of single use plastic bags for placing out recycling has been removed. Recyclable waste will only be collected if it is placed in Council-issued bags/boxes.</p> <p>The roll out of the Waste Blueprint has commenced. This is seeing us make the transition from the collection of co-mingled recyclables to source-segregation of recycled materials. As this is a significant shift change for how we operate our services and our residents. These changes are being introduced as part of a phased roll out that initially commenced in the rural Vale before it progressed in Barry (October 2020) and is planned for Penarth in 2021/22.</p> <p>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.</p>
<p><b>1.2 Risk Owner</b></p>	<p><b>Head of Neighbourhood Services and Transport (ER)</b></p>

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

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running</li> <li>Waste Resource Action Programme (WRAP) is completed. Cabinet agreed a black bag restriction for 2018/19 to move on a phased basis to the Welsh Government Blueprint which commenced on the 14<sup>th</sup> October 2019 for the Rural Vale with</li> </ul>	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.			
<b>Resources</b>	<ul style="list-style-type: none"> <li>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</li> <li>The 25-year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place.</li> <li>Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council.</li> <li>Household Waste Recycling contract operated by the company FCC.</li> <li>A revised Waste Strategy will be presented to Cabinet during 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.</li> <li>Since October 2019, the environmental enforcement service has been brought back in house under a new enforcement team. From 1<sup>st</sup> April 2020 a new dual enforcement team was established. A review of the Service has recently commenced.</li> <li>Annually bid for Welsh Government Environment and other Grants to deliver improvements to the waste management infrastructure.</li> <li>Ongoing monitoring of budgets and grant funding to ensure we are able to deliver the National Waste agenda.</li> </ul>	1	1	1
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Increased waste awareness initiatives and participate with Keep Wales Tidy events.</li> <li>Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.</li> <li>Implementation of real time tracking and communication with Waste Collection fleet to achieve improved</li> </ul>	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>working efficiencies and service delivery.</p> <ul style="list-style-type: none"> <li>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.</li> <li>Council has continued to undertake its normal approach to recycling awareness which has allowed us to ensure we remain on track. This is updating the web site, undertaking letter drops to residential areas where there is poor participation, roadshows with the event trailer and a school education programme.</li> <li>The interim Waste Transfer Station (WTS) at Cowbridge is operational.</li> <li>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.</li> <li>The service will exceed the current statutory recycling rate from its performance during 2020/21.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Regularly implement high profile campaigns in the community to raise awareness of the importance of recycling, composting. Consultation regarding possible changes to waste service including a series of engagement events through throughout the Vale of Glamorgan area.</li> <li>Maximise the use of Social Media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner to raise awareness of dog fouling/littering issues.</li> </ul>	1	2	2
<b>Overall Effectiveness of Controls</b>		<b>1</b>	<b>2</b>	<b>2</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integraton	Collaboration	Involvement	Prevention	Long-Term			
WMR/NSO 01	Implement the Waste Blueprint (source segregated recycling) in Penarth once the permanent Waste Transfer (Resource Recovery Facility) Station is operational.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Construction of Phase 1 of WTS to commence quarter 2. Penarth rollout due once WTS complete anticipated mid-2022.												
WMR/NSO 02 (NS/A046)	Exceed the National Recycling Target. Achieve the National Domestic Waste Recycling Target for 2024 / 2025.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	We are on track to achieve the 2025 recycling rate in 2021/22.												
WMR/NSO 03	Following the granting of planning permission commence the construction of a (Resource Recovery Facility) Waste Transfer Station for Barry.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	Construction of Phase 1 of WTS to commence quarter 2.												
WMR/NSO 04	Monitor budgets to ensure we are able to deliver the National Waste agenda through effective use of grants and resources.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Business Plan for waste to be considered by Cabinet in September 2021.												
WMR/NSO 06 (NS/A039)	Work with the community and our partners to deliver a variety of activities to improve Local Environmental Quality (LEQ) including litter prevention and awareness raising.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	The service area has continued to work with Keep Wales tidy and a coordinated approach to working to improve Local Environmental Quality. In the first quarter we engaged with our local stakeholders and continued to support litter hubs. These are now operational and will received support from the operational service. Working with KWT / Caru Cymru to deliver community litter picking projects, educational / preventative methods for 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			
WMR/NSO 09 (NS/A004)	Review the electronic booking system introduced for Household Waste Recycling Centres.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Testing is currently taking place with the supplier, with some minor changes taking place. expectation is to go live in Qtr 2												
WMR/NSO 10 (NS/A041)	Complete a business plan to deliver a 10-year waste strategy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	A new 10-year waste strategy and business plan is on target to be completed in quarter 2 and they will both be reported to Cabinet thereafter.												
WMR/NSO 11 (NS/A042)	Ensure there are sufficient and appropriate end designations for the resale and reuse of recycle material and minimise the export of recycling and waste wherever possible.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	The roll out of the collections blueprint is minimising the export of recycling material. Once the changes to flats and apartments are made, this will also reduce any risk as the material will be collected separately. Additionally, on completion of the proposed new Resource Recovery Facility this will replace any residual comingled collections to complete a more sustainable collection and treatment process.												
WMR/NSO 12 (NS/A043)	Deliver a range of improvements to waste management including the creation of a Re-Use Facility, completion of the Resource	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Recovery Centre and the development of a Household Waste Recycling Centre in the Western Vale.												
<b>ACTION UPDATE:</b>	The re-use shop is in development and subject to planning, it will be operational by the end of this calendar year. The Resource Recovery Facility has obtained planning permission to proceed, and construction commences 19th July 2022 on a phased approach. The development of a new western Vale HWRC is progressing, and land options identified. Once a preferred site is selected, due diligence will be undertaken and a Cabinet report prepared for consideration.												
WMR/NS0 13 (NS/A044)	Roll out new recycling arrangements in Penarth to complete the introduction of the source separated recycling system for the Vale.	✓	✓	✓	✓	✓		✓	✓	✓	CS/ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	It is intended to roll out the remaining collection blueprint in 2022 but this will depend on the construction progress of the Resource Recovery Facility which has been delayed due to Covid-19 and the site drainage requirements.												
WMR/NS0 14 (NS/A045)	Engage with residents, Housing Associations and other land owners to roll out source separated collections to flats and apartments across the Vale.	✓	✓	✓	✓	✓	✓	✓	✓	✓	CS/ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	All the vehicles and bins have been ordered and the roll out is expected to commence in quarter 3.												

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	<p>As the Council continues to go through significant change over the next few years it is imperative that we are able to anticipate the human resources implications of such change and ensure that we have a number of people with the right skills and experience to deliver the services of the future. In managing the risk it is important to consider the particular challenges presented by the current financial pressures within the public sector, the need to ensure the engagement of staff throughout the change process and the need to plan for and respond to issues of anticipated skills shortages. We continue to experience difficulties in recruiting and retaining staff in some key service areas across the Council e.g. namely health and social care (residential care, domiciliary care 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.</p> <p>This risk needs to be considered alongside the Council’s Reshaping programme agenda could have on our workforce. Therefore, the innate risk is the inability to anticipate and plan for the workforce needs of the future in order to meet the changing service requirements.</p> <p>The risks surrounding workforce needs have been further compounded by COVID-19 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.</p> <p>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.</p> <p>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.</p> <p>Associated with the pandemic, the Council has noted some emerging trends in areas such as turnover, absence and capacity which will continue to be monitored and kept under ongoing review. Given that both the virus and its effects are likely to be experienced for many months/years to come, a series of workforce mitigations will focus on ensuring that operational plans are refreshed and succession planning continues. This will be done in tandem with building capacity and resilience into our workforce. However, Covid has also presented us with new opportunities that we anticipate will lead to new ways of working that will require the cultivation of new skills sets within the workforce. Therefore, the challenge post recovery, will be on how we can maximise these opportunities shape our workforce so that it is fit for the future.</p>

<b>1.2 Risk Owner</b>		<b>Head of Human Resources and Organisational Development (TD)</b>				
<b>1.3 Impact on our contribution to the Wellbeing Goals</b>						
<b>A Globally Responsible Wales</b>	<b>A Prosperous Wales</b>	<b>A Resilient Wales</b>	<b>A Healthier Wales</b>	<b>A More Equal Wales</b>	<b>A Wales of Cohesive Communities</b>	<b>A Wales of Vibrant Culture and Thriving Welsh Language</b>
No	Yes	Yes	Yes	Yes	Yes	Yes

<b>1.4 Risk Categories</b>		
<b>Categories</b>	<b>Yes/No</b>	<b>Definition</b>
<b><i>Political &amp; Legislative</i></b>	Yes	<p>Political and legislative repercussions of failing to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.</p> <p>The COVID pandemic brings with it an increased risk of challenge and the potential for litigation. This could impact on the council if poor judgement is exercised regarding workforce related decisions.</p>
<b><i>Resources</i></b>	Yes	<p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on a range of factors including the commitments to increase the number of apprenticeships within the Council (and wider community), the increase of younger employees (as a percentage of the wider workforce) and the aims within the Council's Equalities Strategy.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan (and specifically in relation to change management) would impact adversely on the Council's ability to respond to financial challenges over the next four years. Whilst our workforce and resources have been reprioritised to manage our emergency response to COVID-19, there is an increased risk that this will hinder our ability to progress key strategic workforce projects.</p> <p>The realisation of the risk would lead to an inability to recruit and retain suitably qualified staff with appropriate skills in the right areas to deliver services effectively. E.g. Inability to recruit and retain staff in business-critical posts due to the impact of market forces and/or skill shortages. This is already impacting on key areas of Social Services such as qualified Social Worker roles in Children and Young People Services.</p> <p>COVID, has the potential to further add to the issues associated with business-critical posts where recruitment and retention difficulties already exist. Added to this is the complexity of overcoming recruitment practices that rely on face to face contact. This is currently being experienced in relation to the</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>shortage in HGV drivers and domiciliary care, which also has the potential to impact on service performance.</p> <p>It would also lead to an inability of leadership to respond to the changing policy landscape and the challenges this presents, impacting on our ability to deliver good quality services to meet the needs of our citizens. Loss of leadership impacting on our ability to continue to drive forward organisational change. There is the risk that momentum on implementing organisational change may be lost as a consequence of COVID. This could be due to higher sickness/infection rates amongst senior management and or insufficient capacity within the service to drive forward change at a time when efforts are focused on reprioritising resources on our emergency response and recovery.</p> <p>Potential failure to effectively engage and mobilise our resources to deliver our workforce priorities and have the appropriate skills in place, in the right areas to deliver services effectively. This is applicable in light of COVID-19, where the functions of our workforce have been disrupted and where the focus is on providing an emergency response to ensure business critical services can be sustained.</p> <p>Although COVID presents opportunities for new and more effective ways of working, with this comes the risk that the existing workforce lacks the skills required to transform services that are fit for the future. For example, any further expansion of the digital agenda will require whole scale upskilling of the workforce and the development of a new set of skills that may not already be present in the workforce. Any emerging skills gaps could impede our progress in improving the quality and efficiency of our services and jeopardise the viability of our services in the future.</p> <p>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.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to properly anticipate and respond to future workforce needs could pose a threat to the effectiveness and viability of sustainable service delivery and its ability to meet achieve the outcomes and priorities set out in our Corporate Plan. This is applicable to the context of COVID. As the Council reflects on its priorities going forward this will in turn impact on our workforce needs and planning processes. A failure to effectively mobilise our workforce effectively to respond to the changing workforce needs could not only impact significantly on our recovery but also on our achievement of our well-being objectives in our Corporate Plan.</p> <p>There would be a potential inability to anticipate and plan for workforce needs of the future in order to meet changing service requirements. This is applicable to the context of COVID, as the Council adapts to new ways of working the workforce needs of the</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>business are also likely to change. Any shift change in workforce needs is likely to remain with us for some time as we adapt to new working practices.</p> <p>There would also be an inability to manage and support organisational change impacting on our ability to deliver sustainable services both now and in the future.</p> <p>Any rise in staff turnover rates has the potential to compound existing workforce pressures in terms of our capacity and any existing recruitment/retention challenges across the Council.</p> <p>Any significant rise in staff absence rates as a either a direct or indirect consequence of the pandemic, could impact on our capacity to deliver services and business continuity.</p> <p>COVID swiftly shifted our operations to remote and agile style of working. Given that COVID will continue to require such mitigations into the longer term the risk going forward will be the sustainability of current arrangements particularly for those service areas that are reliant on some face to face contact. The other risk this presents to managers is the lack experience/skills to manage a remote workforce. This will require us to effectively equip managers for agile people management where there will be more focus on ensuring staff feel connected and engaged.</p> <p>COVID has presented us with new challenges associated with how we support continuity of service delivery whilst ensuring the health, wellbeing and safety of our remote workforce. As the organisation adapts to new ways of working, there is the risk we fail to effectively identify manage and meet the variety of well-being and safety concerns that may arise as a result of home working.</p>
<b>Reputation</b>	Yes	<p>Negative perception of the Council amongst citizens as an employer impacting on recruitment and retention rates across the organisation. This is particularly applicable in light of COVID, where some front-line positions are lower paid e.g. care home staff and waste operatives, these posts may be perceived as particularly high-risk areas for contracting the infection. As a consequence, these posts maybe seen as less desirable which in turn may compound recruitment difficulties.</p> <p>Failure to put in place succession pathways in place to address our ageing workforce in specific service areas.</p> <p>A key aspect of the workforce plan (section 6/theme viii) is the need to ensure the Council have a workforce that reflects the wider community. Within this are specific aspects to ensure that measures are taken to ensure representation from protected groups under the Equalities Act 2010. A particular feature of this includes strategies to deal with occupational segregation and address the gender pay gap that exists nationally and locally. A</p>



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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>CMT/Cabinet, Joint Consultative Forum and Change Management Board receives regular reports on a range of HR issues and developments.</li> <li>Robust performance management arrangements in place across all service areas.</li> </ul>	2	1	2
<b>Resources</b>	<ul style="list-style-type: none"> <li>Managers are supported through the management of change through training and ongoing advice from HR Officers and supported by Organisational Development.</li> <li>The Workforce Plan is aligned to the Corporate Plan in relation to workforce needs. A review of corporate workforce priorities has been undertaken as part of the senior management development session and will now form the basis of a refresh of the Corporate Workforce Plan. The Workforce plan is now being reviewed and refreshed for September 2021</li> </ul>	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>• 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 structural changes and improved operational ways of working</li> <li>• The Leadership Café is an effective mechanism to support succession planning and leadership development across the Council. The Café has been rebranded during the first quarter of 2019/20 to the 'Learning Café' to broaden its focus and appeal to a wider section of the workforce.</li> <li>• The Management Competency Framework continues to be used to enhance skills and expertise at our Team Manager level. The competency frameworks are now complete and integrated into both iDev and the #itsaboutme process.</li> <li>• Management Competency Framework is live and is used with the #itsaboutme process. 'Staff Charter' is fully embedded within the organisation 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</li> <li>• Employee Core Competency has been launched to help identify and address skill gaps across the Council.</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>• The Staff Engagement Strategy has now been embedded with mechanisms to evaluate ongoing engagement. There are quarterly joint CMT engagement meetings. The Vale Induction Programme contributes to our ability to build a resilient workforce, strengthen staff knowledge and understanding of the Council's vision, values and contribution to the achievement of our corporate priorities, this has recently been reviewed and refreshed following employee feedback.</li> <li>• HR Business Partners and Assistant Business partners continue to support managers in Change Management Reviews. Support was successfully provided in relation to the extension of the Shared Audit Service.</li> <li>• Chief Officer briefing sessions and management development sessions are now embedded and will next run in October 2021</li> <li>• 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.</li> <li>• 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.</li> <li>• 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.</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>A new mobile working solution with Neighbourhood services has been approved and procured.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Workforce planning processes delivered with a focus on alternative service delivery and workforce implications. This process is now being refreshed with a new operational emphasis for September 2021</li> <li>The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data.</li> <li>We continue to move towards a HR Self-Service model.</li> <li>Organisational Development support provided to the Reshaping programme continues to influence how we deliver alternative models of service delivery.</li> <li>#itsaboutme staff appraisal process has been reviewed to ensure it remains relevant year on year to staff to connect staff activity to corporate priorities and ensures it continues to contribute to the Staff Charter (and shortly to be launched Culture Book) and Reshaping agenda. The appraisal process has been launched on iDev.</li> <li>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 Employment Index Survey We contribute 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.</li> <li>Councils new Volunteering Policy has been launched.</li> <li>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.</li> <li>The Management Competency Framework is in place. Several</li> </ul>	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>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. 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.</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• We are in the process of reviewing the HR structure to ensure that it remains fit for purpose and that we can continue to streamline HR services that will enable staff to share and develop their skills. This may see some minor tweaks to the HR team in future months</li> <li>• Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process is under development.</li> <li>• Purchased an Occupational Health IT package to support the effective and efficient processing of all occupational health processes</li> <li>• 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.</li> <li>• 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.</li> <li>• Management promote and enhance staff involvement and engagement across the Council.</li> <li>• Increased opportunities for all with particular focus on underrepresented 16-</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>24-year olds to participate in work placements via the KickStart scheme.</p> <ul style="list-style-type: none"> <li>• The Regional Internal Audit Shared Service is fully operational.</li> <li>• Staff have been encouraged to participate training and development to support their roles, which has been reaffirmed through the #itsaboutme process.</li> <li>• Within Children and Young People's services, we have developed a targeted approach to recruitment of specialist and critical posts and the effective retention of staff to increase service resilience.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• All recruitment adverts promote the Council as an equal opportunities employer.</li> <li>• The 'Staff Charter' is now embedded and work has commenced with the Engagement Forum to refresh the charter for the next 5 years aligned to the corporate plan as a result a new Culture Book will be launched in September 2021.</li> <li>• The Council's Staff Engagement Strategy continues to be strengthened alongside an effective method of continuing evaluation. The profile of the Council as an attractive employer has been raised Contribution to the wider HR network across Wales as a promoter of innovative workforce practice.</li> <li>• Developed good relationships with local education establishments (Cardiff University &amp; Cardiff and Vale College) as well as independent Apprenticeship providers.</li> <li>• Continue to develop strong working relationships with all our recognised trade union partners, including Unison, NAHT, NASUWT, NEU.</li> <li>• We are reviewing our gender pay gap to identify where progress is needed and 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%.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

## 2.3 Residual Risk Scoring & Direction of Travel

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

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/HR001 (HR/A006)	Develop a strategic workforce plan for the next five years, which identifies skills gaps, growth areas, age profile etc and provides for mitigation.		☑	☑		☑		☑	☑	☑	TD	March 2022	GREEN (On Track)
WFR/LD001	Deliver workforce planning with a focus on alternative service delivery and workforce implications.										DM		
<b>ACTION UPDATE:</b>	<p>Work has commenced to develop a Workforce Strategy Implementation Plan for 2021-25. The plan aims to align closely with the Council's transformation programme and reflects both internal and external activities. Work has progressed during Q1 to draft the plan, with input from a range of Officers. Once completed this will be shared widely across the organisation.</p> <p>Workforce planning has been embedded within Legal and Democratic services that remains an on-going priority from 2021/22, with a focus on alternative models, smarter, digital working, and measures/action taken where necessary to ensure resilience with key members of the team.</p>												
WFR/HR002 (HR/A005)	Implement a new HR strategy, with a particular focus on employee culture, diversity and staff well-being, aligning with the Transformation Strategy, Climate Change Strategy and Accommodation Strategy.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2022	GREEN (On track)



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/AS001 (AS/A008) WFR/CS001 (CS/A009)	Contribute to the development of a new HR Strategy that reflects the new ways of working within Adult Services and to develop an appropriately agile offer within Children's Services that enhances and supports staff wellbeing.										SC/RE		
<b>ACTION UPDATE:</b>	<p>The new HR Strategy is under consultation with all DMT groups currently and it has been presented to the diversity networks in Q1. A final draft is planned to be ready within quarter 2.</p> <p>Within Adult Services, our teams our teams have recently started to return to bases, we have become accustomed in supporting wellbeing whilst we have been away from the office environment and peers/colleagues via digital means - we now need to revise our plans and implement recovery and wellbeing plans for each team in recognition of individual and team differences that supports staff and managers to remain well, productive and in touch with colleagues and partners while working from both home and the office throughout the week in a blended manner. We have always worked closely with HR business partner and Trade Union colleagues regarding policies and processes to support our workforce, we will continue to work in this way to address the changing needs of our workforce.</p> <p>We are mindful of our individual and combined impact upon the climate, and our need to reduce our travel. We have continued to ensure that we minimise our travel requirements and also our presence in accommodation. We have significantly reduced our use of printing and paper during the pandemic, and our presence in office accommodation - we will seek to embed this as we shape our reset and recovery of services.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/HR003 (HR/A008)	Develop a Wellbeing Strategy that supports Employee wellbeing and works in partnership with the Public Services Board to implement the Move More, Eat Well Plan with a focus on workplace settings and schools.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD	March 2022	<b>GREEN (On track)</b>
<b>ACTION UPDATE:</b>	Staff wellbeing continues to be a key focus within the organisation. Work has commenced on the Move More eat Well (MMEW) Plan which is being led by Cardiff and Vale Public Health Team. Support from HR will be provided for the Healthy Workplace part of the MMEW Plan. Learning will be made from seeing what activities happen across our partner organisations.												
WFR/PB001 (PB/A025)  WFR/ALNO01 WFR/SP001 WFR/SL001	Utilise the learning from the pandemic to define and establish new ways of working and develop our management team across the service.  Informed by the staff wellbeing survey, support the development and well-being of our staff including assisting staff to adapt to the new ways of working.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring  DD/MH/ T Baker	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Throughout the pandemic, the Policy & Business Transformation management team have met to identify areas of cross-over and opportunities to strengthen the connections between the teams. This is informing the development of the Insight function that will provide a strengthened evidence-base for taking decisions and informing the teams' work.  At the end of the first quarter, the results from the wellbeing survey were not yet available. However, managers are in frequent contact with teams, discussing and supporting their wellbeing and how working life and working arrangements post Covid may work for them.												

### 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			
	Within Strategy, Community Learning and Resources, there is ongoing support with flexible working, remote technologies and access to training available to staff. A number of initiatives relating to supporting staff well-being are being developed in conjunction with schools and corporate services. Technical solutions are currently under evaluation in support of remote communication tackling themes of isolation and work/life balance within the wellbeing survey responses.												
WFR/HR004 (HR/A004)	Develop an Engagement Strategy to increase diversity within the Council's workforce, including the Council's Apprenticeship and KickStart Schemes		✓	✓	✓	✓		✓	✓	✓	TD	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	<p>"Kickstart scheme continues to progress and at the current point we have 34 positions filled. Conversations have commenced to explore the options available for retaining any high potential apprentices we identify within this pool.</p> <p>Apprenticeship opportunities are still pushed and at the current time DWP are offering an incentive to take on apprentices. We continue to advocate apprenticeship as a recruitment option for any entry level position.</p> <p>We are exploring further options to improve our numbers of 16 - 24, including participation in the Public Sector Graduate Scheme; Apprenticeship Scheme for Kick-starters and options for our own Graduate programme.</p>												
WFR/HR003 (HR/A007)	Implement a new Culture Book and Employee Development Programme.	✓	✓	✓	✓	✓		✓	✓	✓	TD	March 2022	GREEN (On Track)
WFR/PB002 (PB/A026)	Contribute to the development of a new Employee Development Programme aligned with next phase of the Council's transformational change programme.										T Bowring		

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	<p>The Culture book is progressing and will be launched in August 2021.</p> <p>#Itsaboutme window has opened, and all staff below Chief Officer will need to complete their #Itsaboutme before 30th October - although we are advocating for all meetings to take place as early as possible. Once the #IAM window closes, we will be running analysis on Training and support requests.</p> <p>We will soon be surveying staff to obtain feedback on iDev content and analysis on what is being accessed within iDev to determine the scope of an employee development programme.</p> <p>WFR/PB002-This work is being led by the Organisational Development Team, however, the Policy and Business Transformation division continues to provide assistance in terms of content and communications.</p>												
WFR/CS002	Develop a targeted approach to recruitment of specialist and critical posts and the effective retention of staff within Children and Young People Services to increase service resilience.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	RE	March 2022	<b>GREEN (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	<p>Three-month campaign launched and concluded on 23<sup>rd</sup> June. Learning now being analysed with a view to relaunching to fill the remaining posts.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/CS003 (CS/A008)	In partnership with the Training Unit conduct a Training Needs Analysis based on our new ways of working.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	RE	March 2022	GREEN (On Track)
WFR/RMS001 (RMS/A009)	Inform the development and implementation of a local training team to support the identification of training needs									AP			
<b>ACTION UPDATE:</b>	<p>A training needs analysis informed this years' Children and Young People Services training programme including implementation of a strength-based approach. Discussion will be furthered throughout the year to understand the impact of the training and to identify immediate and future training needs, including consideration of our new ways of working.</p> <p>Working group created with all stakeholders in Children and Young People Services (CYPS) and Adult Services (AS), private sector and first meeting has taken place. Team members appointed with input of CYPS and AP representatives.</p>												
WFR/FIT002 WFR/HS001 WFR/LD002 WFR/NS001 (NS/A009)	Further develop succession planning arrangements within the Finance Division as part of the corporate succession plan pilot in	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD CL MI DM ER MG	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/SRS001	order to retain expertise and skills especially in business-critical areas for the long term.										DH		
WFR/AS002 (AS/A009)	Ensure robust succession and growth plan to continue to deliver our Approved Health Practitioner Service.										SC		
WFR/RP001 (RP/A007)	Continue the review of Building Control and implement a staff succession plan.										MG		
<b>ACTION UPDATE:</b>	<p>Key posts have been identified within the Finance division. Further work to be undertaken via the #itsaboutme process.</p> <p>Within Housing Services there has been an initial discussion with Head of Service and Operational Managers identifying areas of concern. Secondment opportunities have been identified to support career development.</p> <p>Within Legal and Democratic services there is ongoing succession planning that continues to be embedded. The identification of key roles, with a review of Legal Services structures is under consideration/action.</p> <p>In Neighbourhood Services, following a discussion held between HR business partner and Head of Service a SWOT analysis has been completed. Further work in quarter 2 will be undertaken to refine the SWOT for the service area.</p> <p>Shared Regulatory Services have worked in conjunction with the SRS HR Partners to complete corporate exercise to explore succession planning which is intertwined with the staff development initiatives.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>All adult social worker person specifications have been amended to include as an essential requirement that the person must train as an Approved Mental Health Professional (AMHP) or Best Interest Assessor/Approved Mental Capacity Professional. Two social workers went through the training in 20/21 and a further three social workers will undertake the training 21/22. Discussion with colleagues in Children's Services to explore a children's social worker undertaking the training has taken place and will be considered for year 22/23. The AMHP service however, remains extremely fragile and an at risk service.</p> <p>Within Environment &amp; Regeneration Division a successful candidate has been appointed following the retirement of Principal Building Control Officer(BCO), an. Apprentice BCO appointed into permanent Assistant BCO role.</p>												
WFR/RP002 (RP/A008)	Review the Planning Team structure in light of increased demand for planning and other applications, the review of the Local Development Plan and the development of a new Strategic Development Plan.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Business case approved by Head of Service for new Senior Planner in Development Management and Assistant Planner in Policy. Recruitment to be undertaken in July 2021.												
WFR/RP003 (RP/A006)	Conduct a review of Economic Development to identify synergies across teams, foster greater joint working and increase flexibility.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>RED (Slipped)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	Much of this work will depend on the resources needed to develop and deliver new UK government programmes. The Council is working with consultants to identify these gaps in capacity. Work will take place in Q2 to prioritise resources.												
WFR/FP004 WFR/FIT00 1 (FS/A008) WFR/HS002 WFR/LD003 WFR/NS002 WFR/SRS00 2	Promote and encourage staff involvement in directorate and corporate staff engagement and well-being initiatives and proactively support staff to work at home and in different ways.		✓	✓	✓			✓	✓	✓	MG CL MI DM ER DH	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Work ongoing in this area remains ongoing. Staff where possible continue to work from home and were encouraged to take part in the recent staff wellbeing survey. Staff continue to be encouraged to take advantage of the well being session and to raise any concerns they may have regarding their wellbeing. Service areas have continued to consult with staff on future working arrangements in term so home or office-based working. Within Housing and Building Services a Big Conversation findings have been reviewed and three staff working groups have been established to take forward actions. Within Neighbourhood Services there were regular meetings held with staff by managers throughout quarter one. The Head of Service met with each operational area to update staff and listen to issues. Quarter 2 will need to concentrate of delivering home zones and assessing both business and staff needs for accommodation moving forward.												



### 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			
	To support engagement and self-development, within Shared Regulatory Services, match funding offer has been made available to staff for personal development. During the quarter 1, 5 officers are being supported in further development studies.												
WFR/HS003 WFR/NS003  WFR/SL002	Expand the Council's Apprenticeship Scheme to provide a greater number and range of opportunities. (Includes Kickstart scheme)  Leverage apprenticeships schemes to grow capacity, expertise and sustainability, with a focus on the MIS, School Organisation and ICT sections of the service.		✓	✓	✓		✓	✓	✓	✓	MI  T Baker	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	The Council continues to enhance the recruitment of apprentices. Within Housing Services, an apprentice is embedded within the Housing rents team and further opportunities being explored as part of our tenant profiling exercise. And in the ICT & Data Team of Strategy, Community Learning and Resources division there has been recruitment to 3 x Kickstarter posts have been and are currently in the process of arranging at least 1 x longer term apprenticeship position within the team.												
WFR/HS004 (HS/A008)	Implement a training programme to respond to the feedback received from the digital questionnaire aimed at assessing staff IT skills.		✓	✓	✓			✓	✓	✓	MI	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/NS004  WFR/ALNO 02	Deliver a programme of in-house training so that current and future officers are equipped with the skills required to manage services of the future (technical and HGV drivers).  Implement a training programme for central staff in order to ensure readiness for the ALNET Act from September 2021/22.										ER  DD		
<b>ACTION UPDATE:</b>	In Housing and Building services, training needs have been identified and discussions with internal OD dept undertaken. A suite of iDev resources to be issued to staff and further retraining to be developed when the new Housing and Building IT system procured. In Neighbourhood Services, training being re-established in quarter 2 following COVID issues including that of driving training and HGV training. ALN division has put in place a training programme for central staff that is being delivered and will continue throughout 2021/22.												
WFR/PB003 (PB/A024)	Contribute to the development and co-ordination of a range of activities to enhance inclusivity in the workplace.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	We have arranged a learning café event on the use of pronouns that promotes inclusivity of non-binary people. We have arranged training on race awareness and the socio-economic duty. We support GLAM and the Ethnic Minorities Network. We regularly post articles on national and international equality awareness days to promote a better understanding of issues faced by disadvantaged groups.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/FIT003 WFR/RP005 WFR/LD004	Focus on up-skilling and developing flexibility in skill sets across the organisation that includes further developing the Management Development Programme and encouraging self-development opportunities.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL MG DM	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	All staff are encouraged and supported to attend relevant training events and to use the iDev system. There also continues to be a focus on development, opportunity, coaching, shadowing, and team working, despite the challenges posed by remote working.												
WFR/SRS003 (SRS/A003)	Continue to develop a recruitment strategy together with retention initiatives to address skill gaps within the Shared Regulatory Service.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Attraction (Recruitment) Strategy is in progress and due for completion end of September (end Qtr2)												
WFR/HS005	Undertake a restructure of Building Services.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>Green (On Track)</b>
<b>ACTION UPDATE:</b>	Initial discussions have been held on the potential changes and how the service may be refocused to concentrate on key services.												

### 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/NS005	Further develop agile working within the service area and contribute to the renewal of the Corporate CRM.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	First phase of asset management system currently being implemented. Supply of data has been submitted, localisation training has been completed in Quarter 1, this has involved staff from the front line and back office. Linking to the Corporate CRM is currently in discussion. Training for Train the Trainer will be commencing end of August. Testing of the system will commence from 13th July 2021. This will involve key members of staff from the front line and back office. Also implemented issuing of Residential Parking Permits via online application. Also introduced new Countryside and Coastal Parking Permits, implemented new online payment process. This will be implemented in Quarter 2. Part of the first phase for street lighting will involve linkage into the corporate CRM system, meetings are in the process of being arranged for the implementation.												
WFR/PB004 (PB/A023)	Establish effective internal communications campaign to embed the well-being agenda and the Council's values.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	The Communications Team is currently working closely with colleagues in OD & Training on a campaign to launch the Vale Culture Book. This will be a significant campaign that showcases colleagues who through their work demonstrate a commitment to the organisation's values. It will include staff wellbeing as a key theme. The campaign is planned to launch in September 2021.												

## Appendix 6 Corporate Risk 6: Information Security

### Return to Risk Summary Report

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

are in place to enable staff to safely and securely operate from home, there has been a steep rise targeted attack which have been increasingly identified and reported which has led to the need to further strengthen existing controls. Now that the business is increasing operating using 365, there has been further investment in the purchasing of Advanced Threat Protection to enhance our mitigation against this aspect of risk. Despite putting this control in place, we are continuing to witness a rise in phishing email campaigns from compromised third party partner accounts and a rise globally in ransomware attacks.

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

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

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

**1.4 Risk Categories**

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

1.4 Risk Categories		
Categories	Yes/No	Definition
<b>Service Delivery and Wellbeing</b>	Yes	<p>Loss of data could impact of the delivery of key services and projects across the Council.</p> <p>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.</p>
<b>Reputation</b>	Yes	<p>Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity.</p> <p>Lack of credibility and potential criticism from our external regulators and the Information Commissioner.</p>

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>DPA/ICT Codes of Conduct in place together with Access to Information Procedures that is signed for by all staff and members.</li> <li>On-line training available for DPA and introduction of Employees Information Security Responsibilities. DPA training available to all members via their induction.</li> <li>Information Security &amp; Governance Framework arrangements are in place.</li> <li>Completed gap analysis to work towards adherence to ISO27001 and work towards adoption of good practice where applicable.</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>The Council has gone live with a new, hosted payments system.</li> <li>The Council has recently completed its annual IT Health Check (independent penetration and security testing) and is currently undergoing 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.</li> <li>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.</li> <li>A data flows exercise has been completed to map and identify any potential IT systems/databases where data is held by Third parties outside of the UK in preparedness for 'data adequacy' decision.</li> </ul>			
<b>Resources</b>	<ul style="list-style-type: none"> <li>Building and Office security/access arrangements in place to control access to Council buildings for authorised staff, members, and visitors.</li> <li>Secure network including Firewall and ICT Security Manager and Compliance Team.</li> <li>All laptops are encrypted, and all new desktops purchased are encrypted as standard.</li> <li>Nominated systems administrators and system audit trails/admin logs maintained.</li> <li>Penetration testing regularly undertaken</li> <li>Corporate document retention system in place (TRIM) and FOI/Records Management Unit established.</li> <li>ICT compliance team developed following ICT restructure with three FTE compliance resources.</li> <li>Secure e-mail solution in place</li> <li>Reviewed use of fax machines and now have a Rightfax system in place.</li> <li>An enterprise-class Secure Email Gateway is in place to filter incoming email.</li> <li>Review of ICT systems as part of Reshaping Services Agenda has been completed to ensure systems are fit for purpose and support the new services going forward. This work is also closely aligned to the Digital Strategy. The Digital Programme Board has now approved the Digital programme of works and systems will be consolidated going forward as individual projects are implemented.</li> </ul>	2	1	2



<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
	<ul style="list-style-type: none"> <li>The council is rolling out Office 365 to all staff and all staff should be migrated to 365 by the end of 2020.</li> <li>Data Protection refresher training delivered to all relevant staff that incorporates the GDPR requirements.</li> <li>Maintained compliance with relevant security standards, including GDPR, PCI and PSN.</li> <li>Second internet connection has been installed at the Civic Offices.</li> <li>Review of WASPI documentation remains ongoing.</li> <li>IT Asset Register maintained for all equipment/devices in schools that have an SLA agreement.</li> <li>The migration of the Council's WAN onto the all Wales secure PSBA network has been completed. All schools in the Vale in scope have also been migrated onto the PSBA network as part of the LiDW 2 grant funded project.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Information Security &amp; Governance Framework arrangements in place.</li> <li>Revised the Information Management Strategy to reflect how plans to use technology will support the delivery of the Council's Corporate Plan and the expected outcomes as well as how we will manage and safeguard information that we exchange between organisations and our partners.</li> <li>Implementation Plan aligned to the Strategy is in place and is being delivered.</li> <li>ICT Strategy has been signed off and ICT continue to support ICT projects that fall within the Digital programme of works associated with the Digital Strategy.</li> <li>Protocol to enable us to reuse information under the Open Government licence has been developed and published on our website.</li> </ul>	2	2	4
<b>Reputation</b>	<ul style="list-style-type: none"> <li>We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.</li> </ul>	1	1	1
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>1</b>	<b>2</b>

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

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ISR/FIT001 (FS/A009)	Strengthen the Council’s approach to Information Governance to ensure our systems are robust, fit for purpose and compliant with current legislative requirements.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	The Information Governance Board continues to meet on a monthly basis. Changes to the ways of working due to Covid are discussed to ensure compliance.												
ISR/FIT002 ISR/SL002	Continue to work with colleagues across the Council to ensure compliance with relevant security standards, including GDPR, PCI and PSN.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL/NW	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	<p>The Information Governance Board continues to meet on a monthly basis. Changes to the ways of working due to Covid are discussed to ensure compliance</p> <p>Withing Strategy, Community Learning and Resources we continue to engage in weekly meetings with the corporate ICT team which includes representation from the network and server teams, it is also attended by the council’s security and compliance officer. Any emerging issues in relation to school’s IT security is raised at this group. We have identified possible security risks on school’s admin networks, and we are currently developing an options appraisal in a bid to strengthen this area.</p> <p>We are in the process of enrolling all SLA supported school’s curriculum IT equipment onto a secure Mobile Device Management Platform and also</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	migrating data from on-prem NAS derives to SharePoint in Hwb in an effort to improve security and GDPR compliance. MI Systems continue to be updated and patched in accordance with supplier guidance.												
ISR/HR001	Review the business requirements for governance, information management controls and policies and procedures as part of the review the HR business partner structure.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	The review of the HR Business Partner Function is ongoing and further work will take place during Q2, in parallel with the overall senior management structure.												
ISR/LS001 (LS/A010)	Keep under review the granting or otherwise of an 'adequacy decision' in respect of data flow between the EU and the EEA and the UK and advise on appropriate action by the Council to ensure compliance with associated legislation.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	<b>GREEN (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	This requirement was to ensure that the Council was compliant with its responsibility under data protection law. The UK Government has secured an adequacy decision from the EU. A data flows exercise has been completed to map and identify any potential IT systems/databases where data is held by Third parties outside of the UK. During this exercise, no significant areas of concern were identified. Now that a 'data adequacy' decision has been												

### 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			
	reached the risk has been mitigated. However, the Council will maintain a watching brief over this issue should the EU decided to retract the 'data adequacy' decision.												
ISR/SRS001	Undertake a review of information security against GDPR regulations.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	Red (Slipped)
<b>ACTION UPDATE:</b>	This activity has not yet started. Progress to be reported in next quarter.												
ISR/SL001 (SL/A010)	Strengthen the Council's approach to Information Governance to ensure our systems are robust, fit for purpose and compliant with current legislative requirements.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	A Welsh Government Cyber Security grant has been used to inform the external sharing functionality within Teams / OneDrive securely, and following a pilot within ICT, will be rolled out to the wider organisation. The information Governance Board continue to meet and make decisions and recommendations in relation to current Information Governance topics and issues.												
ISR/SL003 (SL/A003)	Deliver ICT infrastructure improvements within schools in line with the Welsh Government's Education Digital agenda and	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	Green (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	to support new ways of working resulting from COVID-19.												
<b>ACTION UPDATE:</b>	<ul style="list-style-type: none"> <li>• 704 Windows devices have been enrolled into Microsoft InTune MDM for remote management.</li> <li>• Completed IOS Workshop this quarter and anticipate enrolling at least 200 Apple devices into Microsoft InTune MDM for remote management.</li> <li>• 1,394 new devices have been ordered under the Hwb funding for 2021/22, currently awaiting delivery of these devices.</li> </ul>												

1 – Risk Overview

1.1 Risk Description

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

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

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

As part of this commitment the Council resolved it will:

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

	<p>line with a target of net zero emissions by 2030 and explore ways to maximise local benefits of these actions in other sectors such as employment, health, agriculture, transport and the economy.</p> <p>In response to the Climate Change Emergency Declaration, the Insight Board has undertaken work to identify key areas of activity across the Council that are contributing to this declaration. It is proposed that the development of a Charter will encapsulate our response to the climate change emergency and is a key action depicted in the Council's Annual Delivery Plan for 2020/21 aligned to the Corporate Plan 2020-25. Our Tree, Energy and Electric Vehicle Strategies will also have a key role to play in contributing to delivering this Charter.</p> <p>COVID-19 has impacted on our capacity to progress a number of climate change initiatives including the development of a Charter. The Council remains dedicated to Climate Emergency Declaration and is committed to reducing carbon emissions. As the Council transitions from its response to recovery, we will resume work on development of these initiatives and the Charter.</p>
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<b>1.2 Risk Owner</b>	<b>Head of Neighbourhood Services and Transport (ER)</b>
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<b>1.3 Impact on our contribution to the Wellbeing Goals</b>
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A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	Yes	Yes	Yes	No	Yes	No

<b>1.4 Risk Categories</b>
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Categories	Yes/No	Definition
<b>Political &amp; Legislative</b>	Yes	<p>Failure to meet legal duties in relation to the Flood and Water Management Act.</p> <p>Inability to meet Welsh Government requirements for Statutory Transport Guidance as it relates the Active Travel and Learner Travel Wales.</p> <p>Failure to define our vision, ownership, and responsibility for addressing climate change issues.</p>



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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>• Supplementary planning guidance on sustainable development in new builds is in place.</li> <li>• Planning Policy Wales has been updated to take account of the Well-being of Future Generations Act</li> <li>• Development Management – ensuring decisions on new development proposals have regard to sustainability.</li> <li>• The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment)</li> <li>• Submitted bids to Welsh Government for Environment Grants to implement environmental and countryside programmes locally.</li> <li>• The Corporate Plan 2020-25 sets out our priorities relevant to promoting and enhancing sustainability.</li> <li>• Implementation of the requirements of the Environment Act 2016.</li> <li>• A Regional Transport Authority to govern and promote transport matters including Active Travel.</li> <li>• Motion passed by Full Council declaring a 'Climate Emergency' in the Vale of Glamorgan and our commitment to reducing our carbon emissions to net zero.</li> <li>• Insight Board taken lead role on discussions and progressing work on the development of Charter in response to the Climate Change Emergency Declaration.</li> <li>• Responded to the Welsh Government White Paper on Clean Air (Wales) Bill and the consultation on Reducing Emissions from Domestic Burning of Solid Fuels.</li> </ul>	2	1	2
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Development of updated Carbon Management plan (CMP). Zero Carbon surveys are being undertaken in buildings to create a programme of</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>works which help towards meeting the Carbon Management Plan targets.</p> <ul style="list-style-type: none"> <li>• Space Programme and Asset Management Strategy</li> <li>• Automatic meter readings for utilities for all Vale owned buildings.</li> <li>• We completed the implementation of LED lighting in residential areas during summer 2018. We have been awarded a Salix Grant to 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.</li> <li>• Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel.</li> <li>• Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally.</li> <li>• Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally.</li> <li>• Opportunities to seek S106 funding have been carried out as and when funding becomes available throughout the year, these have included S106 Barry Waterfront funding to carry out the signage scheme.</li> <li>• Council owned &amp; leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term.</li> <li>• Vehicle &amp; plant applications are being reviewed at the time of purchase; in-line with the needs of the department.</li> <li>• New vehicles have been purchased in-line with current environmental and health &amp; Safety legislation. We continue to analyse vehicle utilisation via the vehicle management system and where possible vehicles are being replaced with a more suitable alternative or not being replaced at all.</li> </ul>			











2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Data to monitor coastal waters and erosion in this area is undertaken via in-situ equipment on site in Penarth to measure wind and tide data.</li> <li>Biodiversity Forward Plan approved by Cabinet and aims and targets for services have been agreed.</li> <li>PSB Climate Emergency Charter was launched in February and accompanied by a social media campaign highlighting work being undertaken by partners.</li> <li>Social Services have evaluated ways of working to inform the development of a new operating model that takes account of climate change and sustainability.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Prioritise maintenance in all council services – including gritting, drainage, etc.</li> <li>Sustainable procurement outlined in procurement guideline documents</li> <li>Green travel plan established and publicised to all staff</li> <li>Active Travel – ensuring walking and cycling routes are provided.</li> <li>Worked in collaboration with the PSB to develop a Staff Healthy Travel Charter that contains 14 commitments that will promote the use of public transport, walking and cycling, agile working, and ultra-low emission vehicles. There are also actions around communications and leadership.</li> <li>Internal and external publicity for individuals and organisations on how to reduce gas emissions</li> <li>Minimise the risk and impact of flooding and coastal erosion via an effective Flood Risk Management Plan, flood reduction measures and a Shoreline Management Plan. We effectively monitor changes in coastal waters and coastal erosion.</li> <li>BREEAM standard for major projects e.g. schools/Extra care</li> <li>Local Biodiversity Plan</li> <li>Licences for grazing land have been advertised and bids are currently being</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>assessed. New licences will incorporate biodiversity gains wherever possible.</p> <ul style="list-style-type: none"> <li>• Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation.</li> <li>• Pre-planning consultation underway on the delivery of a Flood Alleviation Scheme at Llanmaes.</li> <li>• The Vale of Glamorgan Local Development Plan (LDP) 2011-2026 was adopted by Full Council in June 2017. The LDP will be the basis for decisions on land use planning in the Vale of Glamorgan and will be used by the Council to guide and manage new development proposals. Completed an Annual Review of the LDP.</li> <li>• The Residential Development and Householder Design Guide, Conversion of Rural Buildings, Minerals Safeguarding and Biodiversity Supplementary Planning Guidance (SPG) and Renewable Energy SPG and the Tourism and Leisure Development SPG have been approved for use alongside the LDP to support planning decisions.</li> <li>• Completed two housing development schemes in the Vale of Glamorgan utilising modern methods of construction.</li> <li>• Grant funding from Welsh Government has been secured to support carbon reduction and tackle fuel poverty in relation to our housing stock.</li> <li>• 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,</li> <li>• Planning policy Wales has been updated by Welsh Government and will focus on sustainable development including biodiversity and flood risk and an update</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>to Technical advice note (TAN) 15: development and flood risk is also expected in 2020/21.</p> <ul style="list-style-type: none"> <li>• A Placemaking Wales Charter has been developed in collaboration the Placemaking Wales Partnership. By developing this Charter we have agreed to support placemaking in all relevant areas of our work and promote the following principles of people and communities, location, movement, mixes of uses, public realm and identify in the planning, design and management of new and existing places.</li> <li>• Active Travel maps have been completed and published. The Council is seeking finance to implement routes where opportunities arise.</li> <li>• Review of the Active Travel maps is currently underway with consultation being undertaken on existing and proposed routes in quarter 3 and 4.</li> <li>• The feasibility works have been completed for the bus, cycle and walking routes from Weycock Cross to Cardiff Airport. The development of a more detail design is planned for quarters 1 and 2 2021/22</li> <li>• Successful delivery of grant funded biodiversity programme. Projects have included; the re-introduction of water voles at Cosmeston, woodland improvement works at Porthkerry and Cosmeston, Badger survey at Porthkerry and the Heritage Coast, Environmental education delivered at all sites, new leaflet designed for the Heritage Coast, community projects with Vale ways, Wick and Graig Penllyn, pollination project at Porthkerry and Heritage Coast plus a hedgerow connectivity project at Cosmeston.</li> <li>• Ten of our Parks, eight urban parks and two Country Parks have been awarded Green Flag Status. Penarth Marina and, Southerndown. have maintained their Blue Flag status. We have successfully</li> </ul>			

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



2.3 Residual Risk Scoring & Direction of Travel											
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	1	2	2	3	6		
Resources	3	4	12	2	2	4	2	2	4		
Service Delivery & Well-being	3	3	9	2	1	2	2	3	6		
Reputation	3	4	12	1	2	2	3	2	6		
<b>Average risk score/ direction of travel</b>	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/RP001 (RP/A033)	Contribute to the Council's response to the declared climate change emergency and develop specific plans and strategies to support this work.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>
ESR/FIT001 (FS/A015)	Contribute to the Council's work with partners to take collective action to tackle the climate emergency and implement our Climate Emergency Action Plan.									CL			
ESR/HS001 ESR/LS001	Support the Council's work to take collective action to tackle the climate emergency and implement our Climate Emergency Action Plan.									MI & DM			
<b>ACTION UPDATE:</b>	Work is currently ongoing on the Green Infrastructure Strategy and the Assessment stage of the Strategy is ongoing. Currently an audit has been undertaken of all green spaces within the Vale of Glamorgan which accounts for 41,752.34ha of green/blue space in the authority boundary. NRW have recently released guidance note for Green Infrastructure Assessments (GN042 refers) in June 2021 which outlines the relevant NRW's datasets and how they can use them as part of a Green Infrastructure Assessment. The Audit has been reviewed to be in accordance with NRW's guidance.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>Additionally, the Council is part of a working group to produce a UK wide Nature Tool to assess environmental net gain of green infrastructure. A prototype tool has been produced and the Council are undertaking 2 case studies to test the tool before using it more widely within the Assessment process. It is anticipated this tool can be used to evaluate the identified green infrastructure assets within the Vale of Glamorgan which will feed into the overall Green Infrastructure Plan and forms the main part of the Green Infrastructure Assessment. In addition to the technical work which is ongoing, the draft framework for the Green Infrastructure Plan has been drafted and will be key to the development of the future strategy.</p> <p>Within Finance and Property, officers attend corporate working groups on this matter. The Carbon Management Plan is to be updated to reflect the requirements of the Council</p>												
ESR/PB001	Work with our partners to take collective action to tackle the climate change emergency and engage with the local community about priorities for the Vale as part of developing our response to the climate change emergency declaration.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TBowring	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	<p>Consultation was undertaken on the Climate Challenge Plan as part of Project Zero. This included a survey, twitter polls and online discussion groups and scrutiny. The revised plan will be considered by Cabinet and Council in July. Project zero activity involves services across the Council and includes work on green infrastructure, food, transport etc. Engagement has been undertaken with schools and community groups to raise awareness about the issues and to continue the conversation on climate change which will shape our work e.g., in Wenvoe and with Barry Island Primary School. PSB partners have combined the Asset Management Group and Climate Change group and as part of the PSB Climate Emergency Charter will develop joint work including awareness raising. Partners recently met with Town and Community Council representatives to discuss joint work and a specific meeting on climate change will be arranged. New guidance on monitoring carbon across the public sector has been issued by Welsh Govt and officers from across the Council are working together to develop our approach to data collection and reporting.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/RP002 (RP/A022)	Start the Local Development Plan review before June 2021.  <i>(That includes Milestone for annual monitoring review)</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (Completed)</b>  Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Work on the LDP Review started in May 2021. The draft Review Report and draft Delivery Agreement will be reported to Cabinet in the early Autumn to seek approval for consultation purposes. A 6-week public consultation will then take place and the final documents will be submitted to Welsh Government in December 2021 in accordance with the LDP Manual.												
ESR/RP003 (RP/A036) ESR/NS001	Work with colleagues to develop a Green Infrastructure Strategy to promote and develop green space, sustainable drainage, green travel routes, ecology and tree coverage, including reference to a tree strategy for our towns and villages which will also provide a response to Ash Dieback.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/SL001 (SL/A024)	Support development of a Green Infrastructure Strategy with a focus on maximising the contribution made through the education estate.										T Baker		
<b>ACTION UPDATE:</b>	<p>Work is currently ongoing on the Green Infrastructure Strategy and the Assessment stage of the Strategy is ongoing. Currently an audit has been undertaken of all green spaces within the Vale of Glamorgan which accounts for 41,752.34ha of green/blue space in the authority boundary. NRW have recently released guidance note for Green Infrastructure Assessments (GN042 refers) in June 2021 which outlines the relevant NRW's datasets and how they can use them as part of a Green Infrastructure Assessment. The Audit has been reviewed to be in accordance with NRW's guidance. Additionally the Council is part of a working group to produce a UK wide Nature Tool to assess environmental net gain of green infrastructure. A prototype tool has been produced and the Council are undertaking 2 case studies to test the tool before using it more widely within the Assessment process. It is anticipated this tool can be used to evaluate the identified green infrastructure assets within the Vale of Glamorgan which will feed into the overall Green Infrastructure Plan and forms the main part of the Green Infrastructure Assessment. In addition to the technical work, which is ongoing, the draft framework for the Green Infrastructure Plan has been drafted and will be key to the development of the future strategy.</p> <p>Working with VoGC ecologist and Local Nature Partnership Co-ordinator we are promoting, consulting on and modifying cutting regimes for areas throughout the Vale (to manage as Meadows) which will enhance / increase / improve the biodiversity within such areas and increase our green corridors for pollinators etc</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Within Learning and Skills Directorate we have launched school ecology resources to support schools with enhancing outdoor areas for nature and play. Working with pilot schools on enhancement and monitoring activities. Continuing to engage with relevant Council teams (i.e. maintenance, parks and ecology).												
ESR/RP004 (RP/A037)	Implement the Biodiversity Forward Plan with an emphasis on increasing staff awareness about the importance of embedding biodiversity across the work of the Council.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>
ESR/NS002 (NS/A036)	Contribute to enhancing biodiversity and addressing climate change sustainability by implementing the relevant actions contained within the Biodiversity Forward Plan, including the drafting of a Tree Management Strategy and an action plan to manage Ash Dieback.									ER			
ESR/FIT002 (FS/A018)	Contribute to the Council’s response to maintain and enhance biodiversity in the Vale of Glamorgan by incorporating biodiversity gains in new farm business									CL/LC			

### 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	Integation	Collaboration	Involvement	Prevention	Long-Term			
	tenancy agreements and renewals as appropriate and maximising the biodiversity value of untenanted land by reducing cutting regime of hedgerows.												
<b>ACTION UPDATE:</b>	<p>Implementation of the plan is a Council wide action. The Biodiversity team collate the updates from various departments and this will be reported in future reporting periods</p> <p>Draft Interim Tree Management Plan completed and circulated by AS and SP - comments received and taken into account, interim tree management plan to now be circulated to ensure acceptable to proceed with.</p> <p>A licence has recently been agreed to enable the licence holder to use Council land for wildflower planting. The team will continue to work with tenants in order to enhance the biodiversity of Council land where opportunities arise.</p>												
ESR/RP005 (RP/A025)  ESR/NS003 (NS/A026)	Encourage and support sustainable changes to people’s travel patterns and increase safe walking, cycling and public transport infrastructure in existing areas (includes new housing developments either through direct provision or through the Section 106 process).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Schemes continue to be developed to improve walking, cycling and public transport infrastructure in existing areas and new housing developments either through direct provision or through the Section 106 process. For example, a scheme to link The Grange Park with Tarrws Close in Wenvoe												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>has been completed. Improvements to walking/cycling/scooter infrastructure outside of St. David’s CW Primary School, Colwinston are being developed. A new 20mph limit trial is being developed for Aberthin.</p> <p>Welsh Government and S106 funding being used to encourage residents to travel more sustainably. Work also undertaken with a number of schools to encourage the Living Streets WOW (Walk once a week to school) and green travel plans. Bus Shelters upgraded and construction of AT improvements undertaken.</p>												
ESR/RP006 (RP/A035)	<p>Deliver the statutory planning function in order to protect, preserve and where possible enhance our natural and built environment and cultural heritage</p> <p><i>Milestone:</i>  <i>Ensure new developments deliver appropriate recreation and sports facilities and protect existing facilities where necessary.</i></p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	All planning decisions protect the built, natural and cultural heritage of the Vale of Glamorgan in accordance with LDP Policies; SP10, MG19, 20, 21 & 27, MD 1 & 2.												



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>390 planning applications have been determined, 365 of these applications were approved (93.6% of decisions). Out of the approved applications, 9 related to Listed Building Consents (LBCs). A further 42 Tree applications were also determined; 28 TCA's (Work to trees in a conservation area) and 14 TPO's (Work to trees covered by a Tree Preservation Order). No new Tree Preservation Order have been confirmed. 165 planning enforcement cases were resolved during the quarter.</p> <p>Out of the 365 approved planning applications the following decisions related to decisions within planning designations: 43 were approved in a Special Landscape Area (SLA) but it was considered that none of the proposed development would have a detrimental impact upon the SLAs by nature of their design and scale; 6 applications were approved in Green Wedges but neither approval impacted upon the openness of the green wedge or the other reasons for their designation; 17 applications were approved within the Glamorgan Heritage Coast. The majority of approvals within the Heritage Coast related to householder or minor developments, however, all approvals were considered to not detract from the character of the Heritage Coast, the remaining approvals related to discharge of conditions and variation of conditions applications which did not impact upon the Heritage Coast; No applications were approved in a SSSI; 5 applications were approved within a SINC, however, these related to a householder application, discharge of condition and a proposal for a new cycle track and car park. All applications were considered to not detract from the qualities of the SINC.</p> <p>During this Quarter, no applications have been received which increases the amount of open space within the Authority. It is also noted that no applications have resulted in the loss of open space during this Quarter either. The remaining applications were approved outside of designations important to protecting and enhancing the historic, built and natural environment of the Vale of Glamorgan. Additionally, the Council has previously adopted the following SPGs to ensure development proposals respect the built and natural environment: Residential and Householder Development SPG; Conversion and Renovation of Rural Buildings SPG; Public Art SPG and; Trees, Hedgerows, Woodlands and Development SPG. The Council also</p>												

3. Risk Management Plan – Mitigating Actions													
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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	has an adopted Biodiversity and Development SPG and Design in the Landscape SPG, however, these documents are currently under review to reflect changes to national planning policy in edition 11 of PPW."												
ESR/NS004 (NS/A040)	Invest in sustainable transport, community facilities and parks as a result of negotiating Section 106 payments from developers.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER		GREEN (On Track)
ESR/RP007 (RP/A039)	Invest in education, sustainable transport and community facilities as a result of negotiating Section 106 payments from developers.										MG		
<b>ACTION UPDATE:</b>	<p>Bus shelter upgrades and digital bus time information boards have been installed as well as Active Travel improvements undertaken</p> <p>The Council continues to use S106 contributions to invest in education, sustainable transport and community facilities as a result of negotiating Section 106 payments from developers. For example, £41,900 S106 for Community Facilities from the redevelopment of the Subway Road, Barry development, has been allocated in this quarter to Barry Leisure Centre to develop a scheme to create an outdoor fitness space utilising an existing paved area in the grounds of the leisure centre (where the water shoot is).</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/RP008 (RP/A038)	Establish a Local Nature Partnership to work together to improve the local natural environment.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	The Local Nature Partnership has bought together over 80 organisations from the public, private and third sectors to work together to improve opportunities both for biodiversity but also for people to interact with nature. Already there are impacts as changing mowing regimes allow wild flowers to bloom on our road verges and green spaces, whilst the small community grants are having an impact with local organisations, schools and wildlife groups making a range of changes and observing and recording our native wildlife. Work continues to re-introduce grazing at the two country parks and to restore a community growing space at Dunraven Castle walled gardens.												
ESR/RP009 (RP/A013)	Use Section 106 funding from development to support the development of sustainable transport links to the airport including cycle, bus and rail links.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	S106 £130k has earmarked to match-fund a walking/cycling scheme between Waycock Cross and Cardiff Airport, and the Council's Transport division are progressing the bid for WG funding.												

### 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/FIT003	Continue to meet our commitments under the CRC Energy Efficiency scheme and achieve annual certification.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	New guidance for the calculation of carbon footprint and emissions was released by Welsh Government in May 2021. The team are working with various services to ensure the baseline dataset is accurate to enable us to report in line with the new WG Net Zero reporting requirements. A new Service plan Action of progressing and meeting our commitments under the new WG Net Zero guidelines will now replace the action referred to currently in FS/A016 (relating to the former CRC Energy Efficiency Scheme), going forward.												
ESR/FIT004	Progress an energy efficiency improvement programme across council services in line with the Council's climate change priorities.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	A programme of works is being developed to assist in reducing the Councils Carbon emission to zero. The works will need to complement the existing school maintenance programme.												
ESR/FIT005	Work towards achieving our targets in the Vale of Glamorgan Council Carbon Management Plan 2018-22.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	A programme of energy works is being developed to assist with the Councils aims of reducing our emission to zero. These works will need to compliment the existing school maintenance programme and will be funded partially from Welsh Government SALIX funding. The installation of												

### 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			
	electric vehicle charging points at the Alps and Civic Offices are being undertaken, alongside work to assist the fleet team assess the long term option of electrifying vehicles.												
ESR/HS002	Deliver a range of environmental projects through the Community Investment scheme to include communal space improvements at Fair Oaks, Dinas Powys; Trebeferad, Llantwit Major and Buttrills, Barry to enhance the local area and improve neighbourhoods.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Fair Oaks parking and environmental scheme is ready for delivery with work commencing in July. Works at the Buttrill's continue to be delivered with works to improve defensible space following on from entrance and communal area works.												
ESR/HS003	Continue to improve thermal efficiency in our existing housing stock by maximising the performance of the existing components and materials of our homes and looking at alternative fuel supplies to support carbon reduction and reduce fuel poverty.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<i>Milestone: Develop a co-ordinated approach to tackling fuel poverty.</i>												
<b>ACTION UPDATE:</b>	<p>Housing and Building Services consider the opportunity to integrate environmental improvements into refurbishment schemes wherever possible. As a consequence, the service has projects which are directly targeting thermal efficiency and carbon reduction, and others where carbon reduction measures are integrated as part of a wider scheme. The service currently has eight projects either on site or in the process of procurement. These schemes include: External Wall Insulation schemes to 200 homes, upgraded roof insulation to 150 homes and the installation of an air source heat pump to supplement heating provision to 50 homes.</p> <p>The installation of the air source heat pumps is added to tenants existing heating systems providing a hybrid between the existing carbon burning boiler and a new electric heat pump. Currently nine of the 50 targeted homes have received the upgrade.</p>												
ESR/HS004	Develop a sustainable alternative sewage arrangement for residents at Channel View, Marcross and Croft John, Penmark.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On track)</b>
<b>ACTION UPDATE:</b>	<p>The project to replace the sewage treatment plant at Marcross has encountered a number of issues during development, not least of which has been obtaining permission to discharge the treated wastewater into a nearby watercourse. However, after considerable development and hard work the project is now out for tender prior to the selection of a competent contractor for delivery of the work.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/HS005	Deliver near zero carbon, or at a minimum A rated new Council homes and utilise Optimised Retrofit Programmes that include Modern Methods of Construction and off-site manufacturing to meet carbon reduction targets.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	Green (On Track)
<b>ACTION UPDATE:</b>	St Cyres Road, Penarth - EPC A rated development currently in contract with a September 2021 start on site.												
ESR/HR001	Review our corporate policies to invest in supporting infrastructure to encourage more encourage more freedom, trust and empowerment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	The current Health, Safety and Well-being policies are to be replaced with corporate procedures signed off at SLT level these will sit under the umbrella HSW policy, this is an efficient means of keeping Council procedures up to date.												
ESR/NS005 (NS/A032)	Continue to develop a more environmentally sustainable fleet including the use of hybrid, alternatively fuelled and electric vehicles	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p><i>Includes Milestone actions:</i></p> <ul style="list-style-type: none"> <li>Review our existing fleet with a view to purchase new vehicles (from the Neighbourhood Replacement Fund) in line with current EU Environmental Standards including the ability to operate on alternative fuel modes.</li> </ul>												
<b>ACTION UPDATE:</b>	Energy Service Wales putting a report together to look at fleet options and zero emission infrastructure. Biogas fuelled vehicles put forward to CCR as a pilot project for VOGC and Monmouth to run together.												
ESR/NS006 (NS/A027)	Deliver the Nextbike programme in Penarth and explore the potential for expansion of the Scheme to Sully, Dinas Powys and Barry as part of promoting active travel and a review of existing Active Travel Routes.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	<b>GREEN (On Track)</b>



### 3. Risk Management Plan – Mitigating Actions

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	Q2/Q3 will see the Next bike expansion into Sully and Dinas Powys. Barry was to form part of a UK Levelling Up bid but this has been put on hold. Docking stations in Barry will be considered once the installations are completed in the two areas.												
ESR/NS007 (NS/A002)	Use our property and land assets to support changes in service delivery, including, agile working, tackling climate change and achieving financial savings. Schemes include leisure centre boiler replacements, construction of a reuse shop in Barry, extension of the electric bicycle hire scheme, use of alternatively fuelled vehicles, installation of electric charging points review of pool cars and technological improvements to bus shelters. Milestone: Open a reuse Shop in Barry.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Transport - A number of bus shelters throughout the VOG have been upgraded and now include digital bus information boards. Next bike is being rolled out into Sully and Dinas Powys following on from WG Active Travel grant. Electric charging points are being installed at car park and on street												

### 3. Risk Management Plan – Mitigating Actions

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	for e-taxis. Officers are working with the CCR office and TfW to look at problems and solutions for the decarbonisation programme - submitting an EOI to run passenger transport vehicles on bio-gas.												
ESR/NS008 (NS/A012)	Work with partners including the Cardiff Capital Region, Welsh Government and landowners to develop sustainable transport links to the airport including cycle, bus and rail links.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	On-going project - design funding from WG awarded. Land ownership investigation undertaken. Q2 will see radar and ecology surveys and further design undertaken.												
ESR/NS009 (NS/A033)	Complete the Main Road LED Street Lighting Replacement programme with the use of SALIX finance.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	The installation contract has been in progress since the beginning of April 2021 and is due to be completed by the 1st September 2021												
ESR/NS010 (NS/A28)	Improve cycle and pedestrian facilities and revise the Active Travel Integrated Network Maps for the Vale of Glamorgan	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/SL002 (SL/A023)	<p>in accordance with Welsh Government Requirements.</p> <p><i>Includes milestone actions:</i></p> <ul style="list-style-type: none"> <li>• <i>Ensure all transport improvement schemes include active travel measures.</i></li> <li>• <i>Promote the shift to more environmentally friendly modes of transport.</i></li> <li>• Continue undertaking route optimisation of school transport services.</li> </ul> <p>Work in partnership to implement strategies to improve Active Travel routes and air quality around schools, including car parking, signage, bollard installations, scooterpods, cycle racks, balance bikes and cycle pods.</p>										MG		

### 3. Risk Management Plan – Mitigating Actions

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	<p>The Active Travel Integrated Network Map-phase 1 and 2 consultation undertaken. 12-week statutory consultation on improved maps to be undertaken from August.</p> <p>Q2/Q3 will see the Next bike expansion into Sully and Dinas Powys. Barry was to form part of a UK Levelling Up bid, but this has been put on hold. Docking stations in Barry will be considered once the installations are completed in the two areas. New cycle shelter ordered for Ysgol Pen-y-Garth, due to be installed July, additional scooter storage provided for Sully Primary. Storage for Year 5&amp;6 bikes in deprived areas on order to be delivered Q2. Funding received from PHW to get officer support from Cardiff Council to assist with the development of Active Travel Plans in schools. Discussions held with PHW to fund pencil bollard installation outside schools. AT route in St Athan consulted upon to improve AT to St Athan Primary School. Q2 will see consultation on AT route along Llanmaes Road enabling an increase in AT to all schools in Llantwit Major. AT team assisted Barry Island Primary School with their transport project by providing resources they could use in their work."</p>												
ESR/NS011 (NS/A042)	Ensure there are sufficient and appropriate end designations for the resale and reuse of recycled material and minimise the export of recycling and waste wherever possible.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	<p>The roll out of the collections blueprint is minimising the export of recycling material. Once the changes to flats and apartments are made, this will also reduce any risk as the material will be collected separately. Additionally, on completion of the proposed new Resource Recovery Facility this will replace any residual comingled collections to complete a more sustainable collection and treatment process.</p>												

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/NS012 (NS/A043)	<p>Deliver a range of improvements to waste management including the creation of a Re-Use Facility, completion of the Resource Recovery Centre and the development of a Household Waste Recycling Centre in the Western Vale.</p> <ul style="list-style-type: none"> <li><i>Milestones: Monitor and review the existing waste collection rounds.</i></li> <li><i>Promote recycling and waste elimination via social media campaigns.</i></li> </ul>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	<p>The re-use shop is in development and subject to planning, it will be operational by the end of this calendar year. The Resource Recovery Facility has obtained planning permission to proceed, and construction commences 19th July 2022 on a phased approach. The development of a new western Vale HWRC is progressing, and land options identified. Once a preferred site is selected, due diligence will be undertaken, and a Cabinet report prepared for consideration.</p>												
ESR/NS013 (NS/A049)	Maintain environmental standards by retaining our awards for Green and Blue flags.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	The coastal awards have been received for 2021 and all awards have been retained with the exception of the blue flag at Whitmore bay which we could not apply for, as it did not meet the required level of water quality from 2020 testing. The Parks awards will be known in quarter 2. Green Flag parks have been re-assessed and await results; we are progressing with modifying our cutting regimes to increase biodiversity within our environment. We will be reducing our "annual bedding" and replacing with more biodiverse perennial displays. Our Green Flag parks continue to be pesticide free. We have planted additional trees within our Green Flag parks and Open Spaces and will continue to do so in Q3/Q4												
ESR/NS014 (NS/A052)	Monitor and assess changes in coastal morphology, including the beach and cliffs, in accordance with the appropriate Shoreline Management Plans. Includes milestone action: <ul style="list-style-type: none"> <li>Monitor the actions contained in the Shoreline Management Plan.</li> </ul>		✓	✓	✓			✓	✓	✓	ER	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Topographic beach surveys were undertaken, via the WCMC, at Penarth, Aberthaw and Llantwit Major in June 2021. The collection of wave, water level and meteorological data at Penarth Pier has resumed following a 2 month break due to equipment and access issues.												
ESR/NS015 (NS/A050)	Revise the Local Flood Risk Management Strategy in response to the updating of the National Flood and Coastal Erosion Risk Management Strategy		✓	✓	✓			✓	✓	✓	ER	March 2022	RED (Slipped)
<b>ACTION UPDATE:</b>	Update on hold pending guidance from Welsh Government.												

### 3. Risk Management Plan – Mitigating Actions

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/NS016 (NS/A051)	Implement the Llanmaes Flood Risk Management Scheme.		✓	✓	✓			✓	✓	✓	ER	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Detailed design of the scheme is substantially complete. Pre-planning consultation has been completed and full application in preparation for submission in July 2021.												
ESR/SLO03 (SL/A021)	Improve existing school buildings and deliver new buildings for St Davids and Llancafarn Primary Schools, making them low carbon and where possible zero carbon buildings to operate and create an adaptable and scalable school design in partnership with the construction industry.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TBaker	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Low and net zero carbon projects on track. Working with Cardiff University's k2n project to set up carbon monitoring once buildings are operational.												
ESR/SLO04 (SL/A022)	Work via the SIOB Decarbonisation Sub-Group to consider the behaviour change, asset renewal strategy and infrastructure required to respond effectively to the Council's climate emergency and advise SLT and schools.	✓	✓	✓	✓	✓	✓	✓	✓	✓	TBaker	March 2022	GREEN (On Track)

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	Working with the Carbon Trust and industry partners to develop retrofit model. Working group continuing to meet and develop strategy. Completed annual monitoring of school energy usage and results feedback to working group and SIOB.												
ESR/ALN001	Ensure specialist provision continues using online technology for assessments and reviews where possible ensuring that ALN needs are addressed	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	A working group has been established to develop an on-line platform for September 2021 to manage the new ALN process required by the Act. Good progress is currently being made and an operational system will be in place by September.												
ESR/ALN002	Continue to support staff to work from home where possible to reduce travel, carbon emissions and use of cars and pool cars.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	<b>GREEN (On Track)</b>
ESR/NS017	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			
ESR/LS002	Continue to support staff to work from home where possible to reduce travel,									DM			



### 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			
	carbon emissions and use of cars and pool cars.												
<b>ACTION UPDATE:</b>	The majority of staff continue to work from home and are effectively supported to do so via supervision. As we move into the next stage, staff are being consulted on future working arrangements which will inform next steps in the Autumn term.												
ESR/RMS001 (RMS/A021)	Optimise agile working practices to enable us to define a more sustainable operating model.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	<b>GREEN (On Track)</b>
ESR/CS001 (CS/A020)	Review our working practice to operate more sustainably.									RE			
ESR/AS001 (AS/A008)	Contribute to the development of a new HR Strategy that reflects the new ways of working within Adult Services.									SC			
<b>ACTION UPDATE:</b>	Within Social Services continue to be provided from home, with the exception of weekly payments and some administrative tasks that are required to be completed in the office. The Financial FABAs continue to offer virtual meetings where appropriate and only visiting in person if no other option is available. New working arrangements across the Council have contributed to reducing travel and lessen our reliance on buildings.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>Our teams have recently started to return to bases, we have become accustomed in supporting wellbeing whilst we have been away from the office environment and peers/colleagues via digital means - we now need to revise our plans and implement recovery and wellbeing plans for each team in recognition of individual and team differences that supports staff and managers to remain well, productive and in touch with colleagues and partners while working from both home and the office throughout the week in a blended manner. We have always worked closely with HR business partner and Trade Union colleagues regarding policies and processes to support our workforce, we will continue to work in this way to address the changing needs of our workforce.</p> <p>We are mindful of our individual and combined impact upon the climate, and our need to reduce our travel. We continue to ensure that we minimise our travel requirements and also our presence in accommodation. We have significantly reduced our use of printing and paper during the pandemic, and our presence in office accommodation - we will seek to embed this as we shape our reset and recovery of services.</p>												
ERS/AS002 (AS/A003)	Undertake a review of our assets to enable the service to respond to our changing accommodation requirements in order to meet future service needs.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	<p>This quarter saw our social care teams enabled to return to office bases, adhering to social distancing measures and all WG guidelines reworking safely. This has now commenced a programme of blended working, which we will continue to monitor and assess. Our services work in an integrated way and we have continued to use the assets within the Vale locality portfolio flexibly, accommodating UHB staff in Council premises and vice versa where this is prudent to do so. This will continue to inform our accommodation needs moving forward. In addition, once the Service Development Manager is in post we hope to recommence the accommodation needs of our day services through working with our attendees to shape the model and consider the accommodation requirements to deliver the agreed service model.</p>												
ESR/SRS001 (SRS/A015)	Engage and respond to the Welsh Government White Paper on Clean Air (Wales) Bill and the consultation on	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	<b>GREEN (Completed)</b>

## Appendix 8 Corporate Risk 8: Welfare Reform

### Return to Risk Summary Report

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

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

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

The advent of COVID-19 has seen a growth in the numbers of people claiming Universal Credit in all areas of the Vale of Glamorgan with around 8,842 claimants representing 6.6% of the population. The largest proportionate increase in individuals claiming Universal Credit has been seen in our most deprived areas as measured by the Wales Index for Multiple Deprivation. Although government measures have been put in place to protect private renters from eviction and many banks have offered some financial relief in the form of mortgage holidays, these arrangements are not indefinite. There is the danger that COVID-19 may further compound the issues around rent arrears and see an increasing number of private 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.

<b>1.2 Risk Owner</b>		<b>Head of Finance (CL)</b>				
<b>1.3 Impact on our contribution to the Wellbeing Goals</b>						
<b>A Globally Responsible Wales</b>	<b>A Prosperous Wales</b>	<b>A Resilient Wales</b>	<b>A Healthier Wales</b>	<b>A More Equal Wales</b>	<b>A Wales of Cohesive Communities</b>	<b>A Wales of Vibrant Culture and Thriving Welsh Language</b>
No	Yes	Yes	Yes	Yes	Yes	No

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>• Identification and prioritisation of key risks associated with welfare reform.</li> <li>• Progress reports are monitored by Scrutiny Corporate Performance and Resources.</li> <li>• Public Services Board has oversight of the issues/developments in relation to Welfare Reform as it is linked to the Well-being Plan Objective to reduce poverty and tackle inequalities linked to deprivation.</li> <li>• DWP Partnership Group and Overarching Housing Forum monitors the implementation of UC and address any issues.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Budgets have been allocated to deal with expected impact of homelessness and rent arrears.</li> <li>• Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes.</li> <li>• Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed.</li> <li>• Impact of the Council Tax Reduction Scheme and future WG funding reviewed.</li> <li>• Strengthened how welfare reform risks are managed by developing a more corporate-level approach that co-ordinates activity across the council (where one report is now presented to Corporate Performance and Resources Scrutiny Committee)</li> <li>• The Council has access to the Department of Work and Pensions' (DWP's) landlord portal and is able to check the status of claims and confirm rents and to process claims quickly. A system of managed payments (APA's) has been established so that housing costs for vulnerable tenants can be paid directly to the landlord to minimise arrears.</li> <li>• Improved our systems for monitoring rents and further automated the rent recovery process.</li> <li>• Provided access to a Customer Portal for tenants to retrieve up to date information on their rent account.</li> <li>• A Homelessness Prevention Strategy and Action Plan has been developed which incorporates homeless prevention and housing support requirements.</li> </ul>	2	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.			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Improved the management and access to and use of Discretionary Housing Payments.</li> <li>Improved engagement with tenants affected by the removal of the spare-room subsidy through: the provision of regular advice and information on the options open to them to address the financial impact of the change in their circumstances; the promotion of the 'Your benefits are changing' helpline; and the provision of support to tenants specifically affected by the removal of the spare-room subsidy to participate in regional/national employment schemes.</li> <li>Supported the effective roll out of Universal Credit across the Vale of Glamorgan.</li> <li>There are various initiatives/support mechanisms in place for families who are experiencing financial hardships such as the Sofa scheme, provision of advice and sustaining our partnership with the Food Bank.</li> <li>The Multi-Agency Landlord group meets regularly to discuss and identify how we mitigate the adverse impacts of welfare reform on tenants. For example, working on a joint communication campaign to raise awareness of welfare reform.</li> <li>Community Investment Team works with tenants to support them through accessing employment, promoting digital inclusion and working with tenants to participate in Time banking schemes.</li> <li>Universal Credit went live on the 10 October 2018. Citizens requiring digital or personal budgeting support are assisted by the Citizens Advice Bureau.</li> <li>The Council website contains up to date information and advice on Universal Credit with links to Gov.uk along with signposting to digital platforms get further information and help.</li> <li>We continue to work alongside the DWP and act in accordance with the DWP legislation for Universal Credit only accepting claims from those who are exempt from claiming it. We also ensure Housing Benefit claims are cancelled correctly when we are notified of</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Universal Credit claims and send the notifications back to DWP.</p> <ul style="list-style-type: none"> <li>• Applicants are signposted for help at Citizens Advice Bureau if they need additional assistance for helping to claim UC as access is all online. If they just require access to a PC or WIFI customers are signposted to the libraries where they can access these services.</li> <li>• Worked with the Department of Work and Pensions to provide a range of work placement/work experience opportunities in the Council for volunteers in receipt of state benefits.</li> <li>• The Income Team/Money Advice Team (Housing Services) work with households in financial difficulty by provided advice and assistance on budgeting, accessing additional benefits, identifying preferential tariffs, support for backdated claims/appeals. Established a procedure to proactively contact new claimants to offer advice/support.</li> <li>• A Homelessness Prevention Strategy and Action Plan is in place which incorporates homeless prevention and housing support requirements. The Housing Support Grant Delivery Plan has been developed and circulated to all Members.</li> <li>• Social media has been used throughout the Pandemic to communicate with businesses/citizens in relation to grants and support available.</li> <li>• We continue to promote support available through the armed forces covenant and disregard all armed forces related benefits to ensure maximum take up of benefits.</li> <li>• Established a 'One Stop Shop' to provide residents with money advice, information and debt support on a range of issues including housing, benefits, employment and training.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>• Council's website is updated with information guides on Welfare Reform for Vale residents.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>



### 2.3 Residual Risk Scoring & Direction of Travel

Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	3	12	2	2	4	2	2	4	↔	↔
Resources	4	3	12	2	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	↔	↑
<b>Average risk score/ direction of travel</b>	4	3	12	2	2	4	2	3	6 (Medium)	↔	↑

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WRR/FIT0 01 (FS/A001)	Expand the range of methods used to engage and communicate with Vale of Glamorgan citizens about our services, using digital technology.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Single sign on has been procured from Capita to integrate into the new CRM system Granicus. This will enhance the way in which customers can engage with the Council to access online services within Revenues and Benefits and to increase take-up of on-line services such as e-billing												
WRR/FIT0 02	Continue to signpost applicants to enable them to fully access support on the digital service for UC applications.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	All customers continue to be signposted for support where needed for those claiming UC.												
WRR/FIT0 03 (FS/A012)	Work across the Council and with partners to support residents as changes to the welfare system are rolled out.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Work has commenced with the council's 'Vale Heroes' project to ensure customers can access the advice and information required to support customers with their Housing Needs.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WRR/FIT0 04 (FS/A007)	Promote the support available under the Armed Forces Covenant with specific focus on housing and council tax benefits.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	<b>GREEN (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	We continue to disregard all armed forces related benefits to ensure maximum take up of benefits. This is now part of our normal working procedures.												
WRR/HS0 01 (HS/A011)	Establish a 'One Stop Shop' to provide residents with money advice, information and debt support on a range of issues including housing, benefits, employment and training.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	The One stop shop is now open. In line with Covid restrictions, this was initially via telephone however face to face drop-in services have now commenced. A full range of housing related support, advice and assistance is being provided regarding a broad range of issues.												
WRR/HS0 02	Prioritise tenants receiving Universal Credit for Money Advice.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>N/A</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	No update available.												
WRR/HSO 03 (HS/A026)	Maximise any grant funding opportunities for longer term accommodation to address the increased homelessness demand.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Several proposals were submitted under phase 2 of the Welsh Government's Covid-19 Homelessness Plan and funding was secured to develop the MMC scheme at Court Road. In addition, increases in Housing Support Grant are enabling the extension of housing related support to vulnerable people.												
WRR/HSO 04 (HS/A012)	Work across the Council and with partners to support residents as changes to Welfare Reform are rolled out.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	The Income Officers and Money Advisors continue to work with Council tenants to mitigate the impact of welfare benefit changes and also the adverse effects of Covid. No evictions or Court applications have been made for over 12 months and whilst arrears have increased, the rate of increase remains lower than other Councils. Processes are currently being developed to administer the new WG tenant hardship grant which is designed to support private sector tenants in employments who have suffered reductions to their income during the pandemic. It is anticipated this will reduce the risk of people losing their tenancies.												
WRR/HSO 05 (HS/A009)	Enhance people's skills and readiness for work through community investment opportunities including the Council	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	housebuilding programme, Supporting People Scheme 21 <sup>st</sup> Century Schools and training opportunities.												
<b>ACTION UPDATE:</b>	Community benefit clauses are included in large building contracts and are used to create apprenticeships, training and volunteering opportunities for local people. Of particular note were the two recent new build Council housing estates at Brecon Court and Holm View, Barry. This approach continues to evolve and develop and will be adopted for future schemes.												
WRR/HSO 06 (HS/A010)	Implement the Community Investment Strategy to improve our tenants' quality of life and wellbeing through the development of a single gateway for employability advice and support expansion of Timebanking and review social value clauses.	✓	✓	✓	✓	✓	✓	✓	✓	✓	MI	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Following a pause in face to face contact for community investment projects, it has been possible to restart several initiatives, including the employability training sessions and digital engagement. The new Digital Engagement and Volunteering Officer is now in post and is developing an action plan to expand volunteering initiatives and address inequality. Two related projects have been developed in conjunction with GVS and also Benthg Cymru, which is a social enterprise supporting people to recycling, reuse and loan items.												

Return to Risk Summary Report

<b>1 – Risk Overview</b>	
<b>1.1 Risk Description</b>	<p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p>
<b>1.2 Risk Owner</b>	<b>Director of Environment and Housing (MP)</b>

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
<b>Political &amp; Legislative</b>	Yes	Political and legislative repercussions of failing to ensure the Council owned corporate buildings are not compliant with current duties/requirements as part of the Health and Safety at Work Act 1974.
<b>Resources</b>	Yes	<p>Limited availability of accurate and up to date compliance data in relation to both Council-owned assets and Third-Party provision results in the Council not being able to meet its building compliance obligations.</p> <p>Budgetary pressures impacting on the availability of asset renewal funding will impact on how the Council prioritises and meets its building compliance obligations.</p> <p>Failure to adopt a strategic approach to the management of building compliance in relation to our existing Council-owned assets.</p> <p>Insufficient resources available to effectively, monitor, prioritise and project manage completion of building compliance work.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to fully deliver our building compliance responsibilities. This is pertinent in the context of COVID-19 when contact and access to buildings has been problematic which in turn has made the monitoring compliance more difficult.</p> <p>Failure to put in place adequate quality assurance mechanisms to assure the Council the Third-Party providers and Schools are effectively managing any building compliance issues and associated risks. This is relevant in the context of COVID-19, as contact with sites has become more difficult due to school closures.</p> <p>Failure to safeguard the wellbeing of our service users/residents/pupils in Council-owned assets and other associated public buildings as a result of an incident arising from non-compliance.</p> <p>Inability to sustain service delivery/business continuity from premises as a result of an incident associated with non-compliance.</p>
<b>Reputation</b>	Yes	Erosion of public confidence and trust in the Council as a result of a compliance failure which would damage its reputation and attract negative criticism from Welsh Government our regulators.

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
<b>Political &amp; Legislative</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Resources</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Service Delivery &amp; Well-being</b>	3 (Probable)	4 (Catastrophic)	<b>12 (High)</b>
<b>Reputation</b>	3 (Probable)	3 (High)	<b>9 (Medium/High)</b>
<b>Overall Inherent Risk Score</b>	<b>3 (Probable)</b>	<b>3 (High)</b>	<b>9 (Medium/High)</b>

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Regular reporting of progress/updates via Insight Board, CMT and Schools Operational Investment Board.</li> <li>Regular operational meetings with project team.</li> <li>Monthly reporting to the School Investment Operational Board on compliance status.</li> <li>Monthly compliance review meetings within Social Services Directorate to consider and review any compliance issues.</li> <li>Effective monitoring of compliance in relation to schools. Regular updates continue to be received and are having the required impact with schools. This is operating well and being monitored 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.</li> </ul>	2	2	4
<b>Resources</b>	<ul style="list-style-type: none"> <li>Successful appointment of a Compliance Officer and two administrators.</li> </ul>	3	2	6



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

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

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

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BCR/FIT001	Continue to support the monitoring of corporate building compliance data including supporting managers to use the CIPFA (IPF) asset management system to record asset information.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL/LC	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	This work has continued through the pandemic.												
BCR/HS001	Monitor corporate building compliance within Schools to raise awareness with premises Managers of any compliance risks.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI/AT	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Annual inspections continue across all school sites and corporate premises.												
BCR/NS001	Undertake regular public buildings inspections to ensure we meet our building compliance responsibilities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	N/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			
<b>ACTION UPDATE:</b>	No update available.												
BCR/SL001	Maintain and report an up to date position with respect to building compliance in relation to the Learning & Skills Directorate’s building assets and within schools.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Regular monthly reporting on all aspects of School compliance continues to take place via the School Investment Operational Board.												
BCR/HS002	Provide regular compliance updates to the School Investment Operational Board (SIOB).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI/AT	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Monthly updates and attendances continue to occur.												

### 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/LS001	Provide the required legal support for the Council's work in relation to Public Buildings Compliance.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	In line with Council policy and in particular title investigation work by the property and contract team to be progressed on request at a tight timescale, if required.												
BCR/HS003	Work in liaison with the Corporate Health and Safety Team to resolve compliance issues identified at various sites.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Liaison with the Corp H&S team occurs where necessary to resolve and progress issues. A monthly meeting between the two section managers occurs to discuss ongoing and up and coming issues.												

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

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

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



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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>• Ongoing review of the Wales Safeguarding Procedures Management Group and contribute to national developments.</li> <li>• Implement and embed new Wales Safeguarding Procedures</li> <li>• Build and develop on the Regional Safeguarding Boards model.</li> <li>• Work with the Regional Safeguarding Boards, the Council's Corporate Safeguarding Steering Group and schools to deliver our safeguarding responsibilities.</li> <li>• We have contributed to developing the priorities outlined in the Regional Safeguarding Board's Annual plan.</li> </ul>	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Established a corporate-wide policy on safeguarding covering all council services that provides a clear strategic direction and clear lines of accountability across the council.</li> <li>Six monthly reporting to Cabinet of application of the safer recruitment policy and corporate safeguarding arrangements.</li> <li>The Corporate Safeguarding Group (CSG) meet quarterly and they have developed a work plan to help monitor the implementation of the Corporate Safeguarding Policy. 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.</li> <li>On-going regular CSG meetings taking place which a review of the action plan. A smaller task and finish group has been developed to concentrate on specific actions within directorates across the local authority. Progress on the action plan and the CSG remit is reported annually to each cabinet and scrutiny committee.</li> <li>Child Practice Review and Adult Practice Review Sub-groups are well established. On an ongoing basis, thematic learning from these and associated reviews are collated and presented to the Safeguarding Board to inform the work programme of the Safeguarding Board sub-groups.</li> </ul>			
<b>Resources</b>	<ul style="list-style-type: none"> <li>Safer Recruitment Policy is in place to ensure safeguarding checks are carried out on staff working with the public and vulnerable people. All schools in the Vale of Glamorgan have also adopted the policy.</li> <li>The Council's Duty to Report Safeguarding Concerns procedure is in place to provide employees with guidance on how to refer vulnerable people about</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>whom they have concerns to Social Services/C1V.</p> <ul style="list-style-type: none"> <li>• Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable people.</li> <li>• All elected members and staff who come into contact with children on a regular 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.</li> <li>• Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy.</li> <li>• The application of the Safer Recruitment policy continues to be promoted within Service areas and is monitored on an ongoing basis, with reports to Cabinet and the relevant Scrutiny Committee on a six-monthly basis. The Safer Recruitment policy has been adopted in all schools within the Vale of Glamorgan.</li> <li>• We have a Local Authority Designated Officer who is accountable for safeguarding and the protection of children and young people and adults in accordance with safeguarding requirements.</li> <li>• Launched a new Safeguarding hotline to support staff to have a single point of contact to report any concerns they have regarding the wellbeing of an adult or a child and fulfil the Duty to Report.</li> <li>• Staff continue to be supported via training sessions to ensure all staff are trained in the four core modules of the new Act.</li> <li>• The Regional safeguarding board has facilitated the opportunity to attend updated APSO training for nominated</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>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.</p> <ul style="list-style-type: none"> <li>• The iDev mandatory module for Safeguarding was rolled out to all Vale of Glamorgan employees in November 2017.</li> <li>• Data linked to CSE is collated on a monthly basis and is reported through annual reporting. The Regional Safeguarding Children's Board has recently piloted a 'deep dive' case audit using the CEF tool and findings from this audit will be considered and how to implement within the local authority. Recommendations from this audit have been presented to the Business Planning Group of the Regional Safeguarding Board.</li> <li>• The new Wales Safeguarding Procedures were launched in November 2019, led by Cardiff &amp; Vale Safeguarding Board with the chair of the Project Board being the Director of Social Services from the Vale of Glamorgan. These national procedures will be formally adopted and then implemented by regional safeguarding boards by March 2020.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>• Provider Performance Protocol procedures are embedded in relation to the managing of commissioned services.</li> <li>• Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely and appropriate action.</li> <li>• Obtain the views of children and adults at risk/their families and implement protocols in respect of abuse and neglect</li> <li>• A Child Sexual Exploitation Strategy has been developed and a Sexual Exploitation Risk Assessment Framework referral process is in place.</li> <li>• Information sharing protocols are in place and used appropriately.</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>• Ongoing implementation of the actions arising from Operation Jasmine with a particular emphasis on bringing together policies and processes and reviewing the escalating Concerns Policy.</li> <li>• The application of the Safer Recruitment policy continues to be promoted within 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.</li> <li>• Developed a mechanism to utilise learning associated with safeguarding.</li> <li>• CPR/APR/DHR learning is regularly disseminated, mechanisms for sharing within various platforms to be explored.</li> <li>• Good compliance with Safeguarding training.</li> <li>• 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.</li> <li>• CPR/APR/DHR learning is regularly disseminated, mechanisms for sharing within various platforms to be explored.</li> <li>• Regional Exploitation Strategy has been ratified by the Regional Safeguarding Boards.</li> <li>• As part of 21<sup>st</sup> Century Schools Investment Programme, safeguarding is a regular agenda item at design team meetings.</li> <li>• Policies for schools visits and safer recruitment in schools are supported via iDev that has been rolled out to all schools.</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Obtain the views of children and adults at risk /their families and implement protocols in respect of neglect and child sexual exploitation.</li> <li>Information sharing protocols are in place and used appropriately.</li> </ul>	2	2	4
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SR/RMS001	Implement and put into practice the Wales Safeguarding procedures to ensure a consistent and coherent approach to embedding the procedures across the region.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
SR/AS001	Support the roll out of the Wales Safeguarding procedures to ensure the workforce are fully trained in adhering to the procedures in keeping our citizens safe. (includes Adult Practice Reviews).									SC	March 2022		
<b>ACTION UPDATE:</b>	<p>Within the Resource Management and Safeguarding Division, staff are following the WSP and using the App and other resources to inform their practice. Levels 1,2 &amp; 3 training has been made available to our workforce. The focus over future quarters will be to ensure that all our workforce have accessed and are applying their learning from the training and to ensure that we embed any relevant changes to policies and procedures as they emerge to ensure that we continue to reflect the requirements of the new safeguarding procedures.</p> <p>Within Adult Services, we continue to promote Safeguarding procedures to our staff and adherence to them. We are also actively encouraging staff to consider any cases for the potential to refer for an Adult Practice Review.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SR/ALN001	Implement the Wales Safeguarding Procedures within all education settings and in-house and monitor and challenge compliance.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	An extensive training programme is being delivered to school staff and internal officers. A data base is tracking compliance to ensure that all staff have the required level of training.												
SR/RMS002	Implement the Social Services elements of the Safeguarding Work Plan and work with other directorates to co-ordinate their contribution to delivery of the plan.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Work continues to ensure a consistent approach through operational practice, review of policies and procedures and planning for the availability of training to support practitioners.												
SR/RMS003	Support implementation of the Regional Safeguarding Board Priorities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	The priorities of the Regional Safeguarding Board are overseen and monitored through representation and engagement with the regional board work. This has been reflected across the service area.												
SR/HR001	Support the Corporate Safeguarding Group to monitor and challenge compliance with the Council's Safeguarding Policy in line with our responsibilities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Attendance by HR at the Corporate Safeguarding Group is provided as required. Information specifically on safer recruitment is provided on a weekly basis to ensure that activities are monitored, and any non-compliance is addressed immediately. Information is also provided to cabinet and scrutiny which took place during Q1 and was well received. The number of staff recruited in 2021/2022 looks significantly higher than the previous year which may be linked to COVID.												
SR/SRS001	Support the three Councils to meet the Wales Audit Office recommendations placed upon them in respect of safeguarding.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	This has been completed for the 2020/21 period and will not be mainstreamed into the SRS management Board business.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SR/SRS002	Undertake a series of activities to safeguard the vulnerable to ensure that children are protected from harmful substances and products, older people are protected from rogue traders and scams and vulnerable people are not subject to exploitation, slavery and trafficking.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	This is an ongoing series of activities and are scheduled in the SRS Business Plan - this will be reported at year end.												
SR/SP001 & SR/SLO01 SR/HS001 (HS/A014) SR/LS001 SR/PB001 SR/SRS001	Contribute to the implementation and delivery of the Corporate Safeguarding Work Plan.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
(SRS/A006 ) SR/SP001 SR/RP001 (RP/A029) SR/FIT001 (FS/A014)													
<b>ACTION UPDATE:</b>	<p>The Learning and Skills Directorate makes a significant contribution to the Vale of Glamorgan Corporate Safeguarding Report on an annual basis and form part of the Corporate Safeguarding Group, engaging in work plans.</p> <p>Within Housing Services, front line staff have continued to promote safeguarding and have attended awareness raising sessions related to Child and Adult Practise reviews during the last 12 months. All front-line staff have received appropriate training and forms part of staff starter induction.</p> <p>In Legal Services, the Operational Manger attends the Corporate Safeguarding Board meetings and ensures compliance with mandatory safeguarding training via iDev.</p> <p>The Head of Service and Operational Manager (Customer Relations) are both members of the Corporate Safeguarding Group and attend regularly to contribute to the implementation of relevant actions contained in the Corporate Safeguarding Work Plan.</p>												
SR/SL001	Continue to work in partnership to maintain rigorous safeguarding protocols as part of the 21 <sup>st</sup> Century School Investment programme governance scheme and monitor compliance.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	We are in the process of enrolling all SLA supported school's curriculum IT equipment onto a secure Mobile Device Management Platform and also migrating data from on-prem NAS derives to SharePoint in Hwb in an effort to improve security and GDPR compliance.												
SR/FIT001	Implement the Corporate Safeguarding Work Plan with a focus on the Safer Recruitment Policy and ensuring that all frontline staff have up to date safeguarding training.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	<b>GREEN (On track)</b>
<b>ACTION UPDATE:</b>	All staff are able to access the training materials available on iDev												
HS/A014	Implement the Corporate Safeguarding Work Plan and ensure all staff complete the relevant safeguarding training.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On track)</b>
<b>ACTION UPDATE:</b>	Front line staff have continued to promote Safeguarding and have attended awareness raising sessions related to Child and Adult practice reviews during the last 12 months. All front-line staff have received appropriate training and forms part of staff starter induction.												

Return to Risk Summary Report

<b>1 – Risk Overview</b>	
<b>1.1 Risk Description</b>	<p>Adult Services are becoming increasingly integrated with health services in order to provide service users and patients with seamless care arrangements. There is also an emphasis as part of the Social Services Wellbeing Act to focus on looking at integrated ways of working through collaboration. The recommendations arising from the recent Parliamentary Review of Health and Social Care has further cemented the need for further developing our approach to integrating health and social care services. The Parliamentary review identified that the focus needs to be on ‘empowering individuals to take decisions, tailoring care to the individual’s expressed needs, whilst being more proactive and preventative. The review also emphasised the need for care provision to be ‘seamless’, of high quality and as close to home as possible.</p> <p>Existing HR and IT arrangements may need to be reviewed as organisations work more closely together. The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&amp;V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by Cwm Taf Morgannwg. Integration with C&amp;V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services. The focus continues to be on accessing funding such as Integrated Care Fund and Transformation Fund in order to further expand and develop our integrated service models.</p> <p>Although, significant strides have been made by the Vale of Glamorgan in relation to integrated health and social care services, there continue to be risks and challenges associated with its delivery. For example, developing a more integrated approach to service provision is likely to propose further challenges with technology, information sharing, staffing structures and governance re policies and financial management. Financial scrutiny will be required to ensure that any risks associated with mandated pooled funding are properly considered. There are also risks associated with the overall sustainability of these new ways of working, given that a significant amount of investment in new ways of working is via Grant funding and therefore short term and finite.</p> <p>These challenges and associated risks have been compounded by the COVID-19 pandemic, but also provided some opportunities where change has been accelerated. Despite our progressive approach of working with our partners, collaboration in relation to developing alternative models of service delivery is likely to remain an ongoing challenge especially in light of COVID-19 as partner organisations seek to put in place their recovery 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.</p>
<b>1.2 Risk Owner</b>	<b>Head of Adult Services (SC)</b>
<b>1.3 Impact on our contribution to the Wellbeing Goals</b>	

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

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



1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>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. ICF and Transformation monies have been extended until March 2022 and hence we endeavour to make meaningful progression in this financial year to benefit from this additional investment. The latter part of quarter 1 has seen redeployed staff starting to return to projects and services to enable some progression to resume on projects.</p> <p>Capacity to deliver fully integrated service models with existing assets and infrastructure and in line with the University Health Board's 'Shaping our Future Well-being' agenda that will see the development of Well-being Hubs/Health Centres. This is applicable in the context of COVID, when our resources and those of our health partners have been diverted to the frontline. This could potentially impact on our capacity to progress transformation projects including service developments such as implementing the 'Shaping our Future Well-being' Agenda particularly in relation to timelines.</p>
<b>Service Delivery and Wellbeing</b>	Yes	<p>Failure to maintain business continuity and strengthen service resilience as a result of changes made to service delivery models during the transitional period.</p> <p>Risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics.</p> <p>Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services.</p> <p>Disproportionate funding split in relation to partners spending/commissioning of care arrangements impacting on the ability to deliver integrated health and social care services that meet the diverse needs of the community.</p> <p>Poor communication with staff and service users regarding changes to how services will be delivered could impact on the quality and consistency of service delivery and on the awareness/take up of services.</p> <p>Failure to adequately resource the Customer Contact Centre for dealing with health and social care queries impacting on access to services and waiting times.</p>
<b>Reputation</b>	Yes	<p>Failure to manage expectations of service delivery as part of the new delivery models impacting on the Council's reputation.</p>











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

<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<b>Current Controls</b>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Information Sharing Protocols developed and operational.</li> <li>Integration of Health and Social Care is considered at all levels of the organisation through the leadership group and the strategic implementation group.</li> <li>Arrangements are reviewed through regular reports to Scrutiny Committee Healthy Living and Social Care Committee.</li> <li>Significant changes to structure and staff arrangements are considered by Cabinet.</li> <li>Cabinet Member and Managing Director are members of the Regional Partnership Board that oversees integration and the work of the Integrated Health and Social Care Partnership, including access to resources for the Integrated Care Fund (ICF) and Transformation Fund.</li> <li>Senior managers are linked into the Dementia Action Groups as appropriate. Head of Adults Services attends the Welsh Government Steering Group - Dementia Oversight and Implementation Group on behalf of all Heads of Adults Services across Wales and more recently co-opted onto the Learning Disability Ministerial Advisory Group.</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Resources</b>	<ul style="list-style-type: none"> <li>Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board.</li> <li>Developed the ability to view both database systems via Vale IT.</li> <li>Implemented WCCIS within the Vale of Glamorgan Council whilst awaiting regional implementation by partner organisations.</li> <li>IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development.</li> <li>Joint Commissioning Board meets regularly to progress work for pooled arrangements.</li> <li>Progression of the '@home' locality programme has reinvigorated the plans to develop a Vale Alliance, and within it to progress the Access Workstream to improve our front door services under the name 'Wellbeing Matters Service' which is an enhanced Single Point of Access for all referrers and the public.</li> <li>We have reopened Ty Jenner following closure due to the pandemic, so health and social care staff are now co-located. Currently our District Nursing teams are not located in the building due to the restraints on numbers in Council premises to observe social distancing.</li> <li>We have invested in the Locality structure and explored the development of a Vale Alliance to strengthen integration and to provide capacity and strategic leadership.</li> <li>We monitor implementation of the ICF Revenue, Capital and Slippage Schemes and work positively with partners including Cardiff Council, Cardiff and Vale UHB and Third Sector Organisations to deliver good quality services for the residents of our Region.</li> <li>Work on Exit Strategies from short term funding is ongoing to ensure we are able to effectively plan for the future.</li> <li>Joint Commissioning Strategy for Adults with learning Disabilities continues to be the focus of all developments with Learning Disability services.</li> </ul>	1	1	1
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>DEWIS Cymru Portal is providing more effective signposting for service users to adult services.</li> </ul>	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>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 through the development of the Wellbeing Matters Service.</li> <li>Effectively use funding including the Integrated Care Fund and Transformation Fund to explore new models/ways of working to further enhance integrated service delivery.</li> <li>Built further upon the successful Outcome Focused Case Management project called 'Your Choice'. 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 initially and then the domiciliary care crisis in terms of recruitment and retention difficulties.</li> <li>All Community Mental Health Teams are based at Barry Hospital to form the Integrated Mental Health team.</li> <li>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.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Senior Officer and Councillor representation on the Regional Partnership Board.</li> </ul>	1	2	1
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>2</b>	<b>4</b>

### 2.3 Residual Risk Scoring & Direction of Travel

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

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
IHSR/AS001 (AS/A011)	Recommence engagement plan in relation to 'Wellbeing Matters' project and develop implementation plan dependent on outcomes.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	The 'wellbeing matters' project has been reinstated and incorporates the work under the previous GP Triage pilot project. There has also been alignment with the @home locality based workstreams under the Access element, which is being progressed. In addition, we continue to develop the former SPOA which is being relaunched and expanded under Wellbeing Matters Service, but there are risks given that a significant proportion of the funding for this core service is short term grant funding within ICF and Transformation Schemes. The team have been working to understand the HR and financial implications if funding ceases and also the service risks if this project was to cease as a consequence of no replacement funding past the current financial year.												
IHSR/AS002 (AS/A013)	Evidence the effectiveness of projects delivered through the provision of short term grant funding - Integrated Care Fund (ICF) and Transformation funding and determine future options for sustainability of funding for those deemed effective, and identify the risks associated with ceasing these projects.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	<p>There are many projects that are funded through ICF and Transformation funding - due to cease March 2022. (Reference to AS/A010 and AS/A011) In addition, we have other sources of temporary funding including recovery monies and winter planning. The Older Person's Projects - Residential reablement, Discharge to Assess (D2RA), VCRS enhanced capacity and bridging, Get me Home Plus (GMH+), Single Point of Access (SPoA) and GP triage, now Wellbeing matters service and the projects under the @home locality model - including Vale Alliance, Access, Intermediate care and accelerated clusters, have all been explored for exit strategies to understand the financial, HR and service risks. The LD Revenue Projects have also conducted the same exercise. The ICF Capital programmes - Castle Avenue Smart Transition house funded through ICF capital monies is a joint partnership between LA/Health and Innovate Trust, is now complete. People with an LD will be moving in throughout August to develop their digital and independent living skills for up to two years before moving on into longer-term accommodation. Complex Needs LD Day Service have two young people transitioning from Ysgol Y Deri into the service in July 2021. The money spent from ICF on digital/sensory and manual handling equipment and the revenue funded post has enabled families and individuals to see there is a positive in county offer for them, rather than out of county residential colleges. Development and growth of this service will need to be planned for over the next 2-3 years. ICF capital money secured this quarter for 21/22 Smart bungalow for two people with profound disability with attached self-contained studio flat for a person with LD to develop independent living skills. This will be completed by March 2022. Risk registers have been completed for all LD ICF funded projects and these will be reviewed in Quarter 3.</p>												
IHSR/AS003 (AS/A010)	Progress the work of the Alliance Model through the extension of Transformation funding by 12 months.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	<p>Significant progress has been made in scoping the Alliance projects during Qtr 1 under the overarching @Home locality-based model of the Transformation funding. Close alignment of the various funding streams, project resources and work programmes for each of the key pillars that underpin the @home programme have been determined. A meeting is planned for July for the organisational leads to meet to seek their permission to pursue the Alliance model with its own governance and partnership agreement to be drafted for consideration late Qtr 2.</p>												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
IHSR/AS004 (AS/A014)	Develop new models of joint working with the Health Board with a particular focus on sustainable integrated services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Many of our services are integrated and the @home locality programme means that we will be encouraged and supported to do this further. There are no current plans to integrate teams at this time, we continue to integrate our services where it is appropriate to do so and beneficial to the citizen. For example, during the pandemic we operated a joint team across our integrated Discharge Service (hospital social work) and our VCRS teams - this enabled better patient flow upon discharge and improved resilience for the team. The anticipated progression that will be brought about as we develop the Vale Alliance will further cement our integrated services and plans and this is the area we will be focusing on in this financial year.												
IHSR/AS005 (AS/A012)	Implement actions arising from Vale Community Resource Service review.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	RED (Slipped)
<b>ACTION UPDATE:</b>	This has paused in the first quarter whilst we concentrated on a move of the team back to base at Barry Hospital. In addition, we have seen a dramatic increase in the number of care and support hours delivered in the first quarter, despite staffing shortages. We are about to put an advert out for a Business Improvement Manager position to give additional capacity to the leadership team to assist with maintaining momentum on this review.												
IHSR/AS006 (AS/A015)	Create a sustainable and integrated model for single point of access to Well-being Matters services (via the Contact Centre).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	As per AS/A011 and AS/A013, we are working with customer relations to maximise opportunities for digital referrals and self-assessment through a revision of the Adult Services website so sufficient, yet proportionate information is gathered to enable Intake & Assessment team to make informed decisions and targeted advice and assistance.												
IHSR/AS007 (links to AS/A016)	Explore alternative care and support commissioning and delivery models to enable us to safely support discharges from hospital.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Adults Division is keen to work with RMS colleagues to ensure that the 'Your Choice' initiative is fully resourced from RMS to support the roll-out, review and monitoring of the programme and support outcomes-based practice. In addition, the strengths-based work undertaken across the Directorate is pivotal to supporting this and learning from our experiences in accessing community support and utilising people's own networks, as we learnt through the pandemic.												
IHSR/RMS001 (RMS/A010)	Review the Regional Commissioning Work Plan to support the Healthier Wales agenda.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Regional Commissioning Board meeting on monthly basis. Current work includes Market Stability Report, Market Sustainability Report and contribution to Population Needs Assessment.												

### 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/RMS002 (RMS/A013)	Implement the regional care home contract in consultation with partners.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Analysis of sign-up to regional contract to be completed. Monitoring framework to be agreed via Regional Commissioning Board members. Review of contract documents being arranged for September 2021.												
IHSR/RMS003 (RMS/A012)	Review and roll out of the 'Your Choice' model in co-ordination with other operational services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Your Choice Officer post currently out to advert.												

Return to Risk Summary Report

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

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

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

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

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











<b>Overall Inherent Risk Score</b>	<b>3 (Probable)</b>	<b>3 (High)</b>	<b>9 (Medium/High)</b>
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## 2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<p>Regular scrutiny and CMT reports to highlight the key issues affecting DOLs.</p> <p>The DOLs Management Board oversees DOLs development.</p>	1	2	2
<b>Resources</b>	<p>Additional Best Interest Assessors have been recruited to meet the increased demand for additional assessments.</p> <p>Efficient use and co-ordination of resources on a regional basis via a collaborative arrangement with Cardiff Council and Cardiff and Vale University Health Board.</p> <p>Light touch review of systems and processes undertaken to put in place more robust processes to support the timely completion of assessments.</p> <p>Financial contributions by partners are reviewed at every DOLs Board with ongoing discussion.</p> <p>Findings &amp; recommendations from the business improvement review have been adopted and implemented.</p> <p>Secured additional legal resource that has added capacity to process applications to court in timely way.</p> <p>The ADSS Matrix Prioritisation Tool is used consistently to prioritise applications being received.</p> <p>Monthly data reporting has been put in place across the partnership, with quarterly monitoring taking place through the DoLS partnership board.</p> <p>Monthly data reporting has been put in place across the partnership, with quarterly monitoring taking place through the DoLS partnership board.</p>	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Service Delivery &amp; Well-being</b>	<p>Ongoing prioritisation of cases based on levels of risk and deprivation assisted by an effective case management system.</p> <p>The CMHT for Older People has relocated from Ty Jenner to Llanfair Unit at Llandough Hospital.</p> <p>Advocacy Gateway provider has been identified through market analysis with plan to go live with Gateway in June 2018. Existing providers are to continue to provide advocacy and Independent Professional Advocacy as accessed through the Gateway.</p> <p>Gateway provider will monitor demand for advocacy and Independent Advocacy to inform future commissioning intentions. This work will lead to the Cost-effective commissioning of advocacy Services that meets the needs of service users.</p> <p>Established a robust monthly monitoring mechanism to provide effective monitoring of DoLS across the partnership with quarterly reporting via the Deprivation of Liberty Safeguarding Partnership Board.</p>	1	2	2
<b>Reputation</b>	We have formed good relationship with Welsh Government, Regulators and Key Partners and feed into the Association of Directors of Social Services (ADSS).	1	2	2
<b>Overall Effectiveness of Controls</b>		<b>1</b>	<b>2</b>	<b>2</b>

## 2.3 Residual Risk Scoring & Direction of Travel

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	3	3	9	1	2	2	3	2	6		
Reputation	3	3	9	1	2	2	3	2	6		
<b>Average risk score/ direction of travel</b>	3	3	9	1	2	2	3	2	<b>6 (Medium)</b>		



### 3. Risk Management Plan – Mitigating Actions

		Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DOLR/RM S001	Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Working group established to scope the extent of the changes necessary. Regular updates provided by Natasha James OM.												
DOLR/RM S002	In partnership with legal services, progress DoLS community applications to ensure the least restrictive practice is utilised and assessments proportionate.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
<b>ACTION UPDATE</b>	Ongoing work continues to progress community DoLS in partnership with the case management teams.												
DOLR/AS0 01	Progress DoLS community applications to ensure the least restrictive practice is utilised and assessments proportionate.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

		Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	Plan in place to work this through, whilst we also plan for the change in legislation to LPS from DoLS. Continue to hold significant risk, especially in LD and Older Persons. Ongoing staff shortages in LD services which will compound progress.												

Return to Risk Summary Report

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

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

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

1.3 Risk Categories		
Categories	Yes/No	Definition
		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.
<b>Reputation</b>	Yes	Reputational impact arising from findings from Adult Practice and Child Practice Reviews as a result of failing to record/share information effectively using WCCIS. This could result in a loss of confidence and trust in our ability to safeguard our citizens resulting in negative publicity. And ultimately have a detrimental impact on our credibility and leaves us open to potential criticism from our external regulator CIW, the Welsh Government and the Ombudsman.

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

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

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

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

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



Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WCSR/RMS 001	Explore the use of technology to support payment for certain services. (e.g. WCCIS Financial Module development)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	WCCIS Finance Module work to be restarted from October 2021. Work has begun on looking at pre-payment cards for Direct Payment Service Users, which will alleviate the manual monitoring tasks currently undertaken. Business case due to be finalised by end September 2021. Currently consulting with DP service users to establish who would be interested in participating in the pilot scheme.												
WCSR/RMS 002	Contribute to WCCIS development via the NWIS Board and support the development of a reporting mechanism for system issues.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Attended all relevant WCCIS development workstreams and Boards. Contributing to an evaluation of the system and benefits realisation with IPC and National Board.												

Return to Risk Summary Report

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

	<p>planning group Brexit remains a regular agenda item at both SLT and Insight Board which prompts our wider mitigating activity as an authority.</p> <p>The Pandemic struck at a time when the UK was still negotiating with the European Union a Brexit trade deal. These talks stalled whilst the UK and the rest of Europe, shifted their attention towards tackling the Pandemic. Although talks between the UK and EU have now resumed it is still uncertain as to whether a trade deal will be secured in time before the end of the transition period (December 2020). There is a risk that whilst our attention and resources are drawn to immediately address the priorities arising from the pandemic, compromises our capacity to prepare and adapt to the uncertainty associated with Brexit and any future policy and legislative changes that arise as a result of either deal or no trade deal.</p>
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<b>1.2 Risk Owner</b>	<b>Head of Policy &amp; Business Transformation (TB).</b>
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1.3 Impact on our contribution to the Wellbeing Goals						
A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	Yes	Yes	Yes	Yes	Yes	Yes

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

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

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>Director of Environment and Housing is a representative for the Council on local resilience form to make connections between council and other key regional partners.</li> <li>Developed strong links with the WLGA to access specialist advice, information and briefings.</li> <li>Established a mechanism regionally for reporting and collating information/issues relating to Brexit. Any information is fed into and collated by South Wales Police, which is then forwarded to the Welsh Government's Emergency Control Centre.</li> <li>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.</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
<b>Resources</b>	<ul style="list-style-type: none"> <li>• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>• Completed a Directorate-wide impact assessment of Brexit.</li> <li>• Business Continuity Plans have been reviewed and updated for priority one services.</li> <li>• Maintain a high-profile presence in all relevant discussions and briefings with regard to Brexit and its implications for legislative changes. The Council has established good links with the Welsh Government and WLGA in relation to this.</li> <li>• Links with the Welsh Government and WLGA regarding economic development.</li> <li>• Brexit Impact Assessment Action Plan has been approved and is monitored by CMT on a regular basis. The monitoring of this action plan feeds into updates/reporting that we provide regionally to the WLGA in relation to the EU Preparedness Advisory Panel.</li> <li>• 100% of all priority 1 Business Continuity Plans were completed. The next steps will involve undertaking testing of Priority One Business Plans to gain assurance of existing business continuity mechanisms.</li> <li>• Impact of access to agency staff post-Brexit in relation to our residential/domiciliary care workforce has been fully investigated and identified as a low risk area.</li> <li>• Continue to work closely with managers across all service areas to help them to support potential employees who may need to apply for settled status Worked with our local Trade Unions, we have provided the ability for staff to access advice and support from HR to support them to apply for settled status.</li> <li>• HR systems have been updated to record/capture the nationality of new employees/new starters to the local authority that will enable us to take a more pro-active approach to signposting and supporting them to register via EUSS.</li> <li>• Worked closely with managers to raise awareness of the EUSS scheme and for eligible employees to apply via the scheme by the deadline. Eligible employees have been directed to the government information on applying for EU settled status.</li> </ul>	2	1	2



2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Established a monitoring mechanism for goods post-Brexit within our residential care home settings. All authorised orders are logged individually to monitor any changes to cost patterns following Brexit. Monthly review of costs with our main providers.</li> <li>A review of the impact of Brexit on SRS functions was undertaken and all officers are properly authorised to continue their statutory duties.</li> <li>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.</li> <li>All ESF funded projects are designed with an exit strategy and will be looking to implement these from June 2022.</li> <li>Established a mechanism/tool for monitoring cost pressures in relation to supplies as result of Brexit.</li> <li>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.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>Brexit Impact Assessment Action Plan was developed and approved by CMT in September and is monitored on a regular basis.</li> <li>Commenced a Directorate-wide impact assessment of Brexit.</li> <li>Guidance documentation has been sent to school kitchens highlighting awareness of best practice for receiving and storage of foods to assist during any period of disruption to food supplies. HACCP (Hazard Analysis and Critical Control Points) controls are in place to ensure safety of food being received and stored.</li> <li>Supply chain mapping has been undertaken within our residential care homes and within our catering service and supplies are under constant review with our suppliers (e.g. food, cleaning, Medical Devices and Clinical Consumable products).</li> </ul>	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Developed a <a href="#">Preparing for Brexit</a> web page for the website to signpost our businesses to advice and information to the Business Wales website.</li> <li>Two pilot awareness raising webinars on the EUSS scheme were held with housing and homelessness services staff and external partners.</li> <li>Established an exploratory group that meets on a regular basis to explore potential food poverty projects in Llantwit Major.</li> <li>Worked with the Citizens Advice Bureau to provide training to front line staff in supporting residents to apply for settled status.</li> <li>Internal legal advice sought and appropriate training and guidance note issued to staff regarding rights to access housing service in light of legislative changes relating to Brexit.</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.</li> <li>Mechanisms are in place to ensure that we continue to share key information/messages to our Provider Forum i.e.on EU settled status etc.</li> <li>EUSS scheme promoted both internally and externally. This was undertaken via Staffnet and the Council's social media accounts.</li> </ul>	1	1	1
<b>Overall Effectiveness of Controls</b>		<b>2</b>	<b>1</b>	<b>2</b>

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

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/FIT001 BXR/RP001 BXR/HS001 BXR/LS001 BXR/NS001 BXR/SRS001 BXR/SL001  BXR/PB001 (PB/A012)	Support the monitoring and reporting of the Brexit Impact Assessment Action Plan.  <i>Contributes to SP Action: Work with our partners and engage our citizens to respond to the impact of Brexit to ensure our services and communities are effectively prepared for change.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL/MG/M I/DM/DH/T Baker  T Bowring	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Work has continued during the quarter ahead of the deadline for EU citizens being required to register for settled status by 30th June. This has taken the form of a series of awareness raising sessions for key Council and partner service staff, arranged by the Council and delivered by the Citizens Advice Bureau. The Council has continued to use its social media channels to share information. A wider review of the implications of Brexit will be undertaken across the summer to identify any issues associated with Brexit post-transition (for example, the supply of materials or labour). This will be reported following the summer recess. Work is ongoing to monitor the impact of Brexit on the capital programme in relation to deliverability and cost. Within Housing and Building Services, we are continuing to review cost price increases for building materials and have recently sought appropriate guidance to inform cost uplift for Housing repairs and new build.												

### 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/ALN001 BXR/SP001	Ensure that appropriate exit strategies are in place for ESF funded projects.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 20202	<b>GREEN (On track)</b>
<b>ACTION UPDATE:</b>	<p>Work has begun with both Welsh Government and Newport South East team to explore new funding streams to replace ESF funds. A small bid has been submitted to the Community Renewal Fund (CRF) and we await the Shared Prosperity fund guidance. Timelines are under development for a wind down of all ESF projects should an extension or additional funds be identified.</p> <p>The Inspire projects both have exit strategies set up for the regional operation, basic pro-forma which identifies key tasks and actions needed towards the closure of the programme. Discussions are ongoing in regard to the Cardiff City Regional Bids and more around the other pots available to replace the ESF but many discussions continue</p>												
BXR/ALN002 (ALN/A011)	Work with partners and others including key businesses, to support employment and the development of skills for the future post Brexit, including the delivery of initiatives such as Kick Start.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	<p>Continue to work regionally with the Local Authority Cluster Employment and Skills Group exploring opportunities for new funding initiatives. CFW has been submitted in a regional bid and a local bid to Whitehall and we await the launch of SPF to see if this can be taken forward as well. Have successfully been approved as a kick-start provider and had 146 placements across 51 local businesses approved, Kick Start places currently live; 76 and 28 places filled since go live.</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/SP002 (SP/A009)	Work with partners and others including key businesses, to support employment and the development of skills for the future post Brexit, including the delivery of initiatives for young people such as Inspire to Work (I2W) and Inspire to Achieve (I2A).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Welsh Government funding for Elected Home Education (EHE) has enabled the Local Authority to support EHE learners in year 11 equivalent for the first time in gaining GCSES and also a range of one day certified short courses in vocational areas.												
BXR/PB002 (PB/A033)	Work with the PSB and partners to deliver a food poverty pilot in Llantwit Major and utilise lessons learnt from the pilot to further develop the model, so that it can be applied to other areas.  <i>Milestone action: Work with the PSB and partners to deliver a food</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<i>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.</i>												
<b>ACTION UPDATE:</b>	<p>Work is progressing well to develop the pilot food poverty project in Llantwit Major. The Food Poverty Network group have developed an engagement matrix outlining potential engagement methods that will be explored to engage with each of the 4 target groups to explore their experiences of food poverty in Llantwit Major. A short public survey on access to food has been drafted and will shortly be launched to develop a greater understanding of people experience of food poverty in Llantwit Major, helping identify areas of future focus. A weeklong Bro Radio media campaign is being developed to promote the project, local food poverty support services and encourage participation in the projects survey. A draft webpage has also been developed with partners that will be hosted on the Food Vale website to outline the project, signpost residents to method of engagement e.g., survey and promote the food poverty related support services that are available in the Vale. The network continues to meet on a regular basis to share examples of good practise and explore opportunities for collaboration.</p>												
BXR/PB003	Work with our partners to deliver a programme of engagement and awareness raising of the EUSS scheme to support our residents (in particular hard to reach groups) to access application support.	✓	✓	✓	✓	✓	✓	✓	✓	✓	T Bowring	June 2021	<b>GREEN (Completed)</b> 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			
<b>ACTION UPDATE:</b>	During the first quarter, the focus of activity was on the promotion of the EUSS scheme both internally and externally. This was undertaken via Staffnet and the Council's social media accounts. Work with the Citizens Advice Bureau was progressed to provide training to front line staff in supporting residents to apply for settled status.												
BXR/PB004	Work in collaboration with GVS to assess Community Organisation/Third Sector readiness/preparedness for Brexit to support the identification of high-risk organisations that have minimal resilience/mechanisms in place.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	During the first quarter, the focus of this activity has been to undertake some initial desktop research to explore what toolkits are currently available in use across the sector and or any best practice approaches that would enable us to quantify and have a better understanding of Community Organisations/Third Sector's response and readiness to the impact of Brexit post-transition. This piece of work will focus in particular on the challenges and risks facing Third Sector/Community Organisations and how collectively we can look at building resilience. This desk top research will continue into quarter 2 to enable robust scoping of this work.												
BXR/PB005	Refresh the communications plan for the public and our staff on key Brexit developments post- transition.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	<b>GREEN (On Track)</b>



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	During the first quarter, the focus of activity was on the promotion of the EUSS scheme both internally and externally. This was undertaken via Staffnet and the Council's social media accounts. Work with the Citizens Advice Bureau was progressed to provide training to front line staff in supporting residents to apply for settled status.												
BXR/RP002 (RP/A003)	Work with partners in the region to ensure that a consistent approach is adopted to engage with the business community to communicate Business Wales, UK Government and Welsh Government advice around Brexit.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Regular meetings have been taking place across the region. Regular communication is being sent out to businesses around the Covid financial support available as a result of the pandemic. Local Authorities continue to administer substantial sums of Covid grant funding on behalf of UK Government led by Regeneration Teams across Wales. Brexit continues to prove challenging on a number of fronts for businesses in addition the pandemic continues to have an impact on business growth.												
BXR/RP003	Work with UK Government, Welsh Government and Cardiff Capital Region to support and promote inward investment projects.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	Work continues on a number of strategic sites including the airport, waterfront and island. Strategy development and master planning work for Barry is likely to take place in Quarters 2 & 3 in preparation for the UK Government Shared Prosperity Fund and the Levelling up Fund.												
BXR/RP004	Work with Welsh and UK Government on the scope and delivery of the Shared Prosperity Fund (UK Government replacement for EU funding) and lobby to ensure that the Vale of Glamorgan is no worse off in relation to funding.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	The Council continues to prepare for a substantial bid to the UK Government Levelling Up Fund in early 2022. Procurement is underway for the necessary external services required to support this process.												
BXR/RP005	Work with Welsh and UK Government to try and secure a replacement programme for Creative Rural Communities which focuses on the future needs of the rural communities including	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	community led local development funding.												
<b>ACTION UPDATE:</b>	The Council has prepared a variety of documents such as a legacy report and publicity material to promote the benefits the Vale has seen by being part of the LEADER programme which focuses on Community Led Local Development. ‘Replacement’ EU funding comes via UK government and it is hoped that funding will be available via the Shared Prosperity Fund to support similar schemes. It is not clear yet what plans DEFRA or any other UK government have to support schemes such as Creative Rural Communities and the current projects will end in 2021, before the any replacement funding can be accessed.												
BXR/HS002 (HS/A004)	Refine and enhance our Community Tensions Monitoring process for the Vale of Glamorgan to inform of potential community cohesion issues arising as a result of Brexit.	✓	✓	✓	✓	✓	✓	✓	✓	✓	MI	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Community Tension Monitoring Referrals have continued to see an increase from the last year. This is seen as a positive indication of work of the team to promote the use of tension monitoring referrals among partner agencies. The majority of tensions referred have The Community Cohesion Group was revamped and met for the first time. Membership includes statutory partners as well as leads from a number of community groups including the Muslim Welfare Association, Chinese in Wales Association etc. Standing agenda items will see the group ensure that trends are flagged at the earliest opportunity and that perceptions are matched against crime and disorder data to establish a full picture of both real and perceived threats to social cohesion across the Vale. The team have begun developing plans for ASB awareness week next Qtr where there will be a drive to promote tension monitoring processes which will assist in monitoring the continuing upward trend of neighbours reporting neighbours for noise disturbance across the Vale. This trend has seen a gradual increase from last year, where the new ways of working and living that resulted in an												

### 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			
	increase in the amount of time people spent at home, have had a direct impact on the number of reports for ASB received that relate to noise disturbance. During the Qtr, 14 cohesion meetings were held to look at resolving issues with community cohesion.												
BXR/HS003 (HS/A005)	Review access to housing services in light of legislative change relating to Brexit.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Internal legal advice sought, and appropriate training and guidance note issued to staff.												
BXR/HS004 (HS/A032)	Develop a “Local Pantry Scheme” to reduce food poverty and further develop an Education Centre and Plastic Bottle Green House at the Margaret Avenue garden project.  <i>Milestone action: Identify mechanisms to support those in the greatest of need/poverty to continue</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<i>to be able to access food supplies (for example Food Banks).</i>												
<b>ACTION UPDATE:</b>	A Food Pod is being developed at the residents base in St Lukes Avenue, Penarth. This will address food poverty concerns and enable households on low incomes to access good quality, nutritious food. Staff are working with a local volunteer group, Fair share and local shops. The Education Centre is nearing completion at Margaret Avenue and it is hoped to formally launch the community garden when Covid restrictions allow.												
BXR/HR001 (HR/A002)	Refresh our work with managers across service areas to support them in the identification of potential employees who are EU, EEA or Swiss nationals (taking into account the sensitivity of the matter) to support them in applying for settled status and continue with our staff engagement to raise awareness amongst affected staff of the requirements to apply for settled status by the deadline.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD	June 2021	<b>GREEN (Completed)</b> Action completed and will be reflected as a control in the Register
<b>ACTION UPDATE:</b>	Employees have been directed to the government information on applying for EU settled status. It is the responsibility of the employee to make an application to the EU settlement scheme. The deadline to apply was 30th June 2021. As part of the Council's recruitment process, from 1st July 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			
	we will be checking the Right to Work in line with the new guidance for applications. From 1st January 2021, the Council has not hired anyone from outside of the UK.												
BXR/HR002 (HR/A003)	Communicate clear messages to our external providers (includes care sector) and agencies to raise awareness of the need to ensure that EU nationals are aware of the requirements to apply for settled status.  Work with our partners and engage with schools to respond to the impact of Brexit with a particular focus on school transportation and support for school based staff and pupils who need to apply for settled status through the EU Settlement scheme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD/AP	June 2021	GREEN (On Track)
BXR/RMS001 (RMS/A007)													
BXR/SL002 (SL/A006)											T Baker		
<b>ACTION UPDATE:</b>	We have made contact with our Agency providers to ensure they are aware of the EUSS scheme and to promote the need to apply for settled status. Now that the deadline has past the focus will now be on ensuring appropriate checks are in place for the Right to Work.												

### 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			
In relation to Social Services providers, several awareness raising messages have been sent to all providers, and discussions at provider forums regarding the requirements of EU Settled Status.													
BXR/LS002 (LS/A002)	<p>Provide support to officers in relation to the review of procurement practices and policies to ensure our procurement activities contribute to the national well-being goals and support work around climate change.</p> <p><i>Milestone action: Provide support to officers in relation to the review of procurement rules and embedding the approach to sustainable procurement in line with the Well-Being of Future Generations (Wales) Act 2015.</i></p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	<b>RED (Slipped)</b>
<b>ACTION UPDATE:</b>	Approach to procurement review has not yet been progressed by the Procurement Team for Legal Services to feed into. Resources have been made available by Legal Services when review is ready to be progressed.												

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/NS002 (NS/A007)	Work with contractors (providers) to gain assurance for their readiness for the impact Brexit post transition.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	The fleet department ordered a 12-month supply of regularly used items to ensure stock would not be an issue. However, shortage of components has seen delays on certain stock items from main dealers being delayed. This has not caused major problems and the Fleet department are monitoring the situation with suppliers.												



## 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.

As a result of this disruption the Welsh Government have softened the expectations around implementation for September 2021. While the Act does come into force in September 2021 the new system will only apply to a very small number of children and young people who have not been identified as having ALN previously. In January, the Act will apply to a larger group of children and young people but this will still be a minority of children and will not apply to young people over the age of 16. There is no known timetable set as yet by Welsh Government as to when the expectations set out by the Act will be extended to the post -16 age group.

As a consequence the risks associated with the Act still apply but as yet the impact of the majority of these have not been realised.

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

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

<b>A Globally Responsible Wales</b>	<b>A Prosperous Wales</b>	<b>A Resilient Wales</b>	<b>A Healthier Wales</b>	<b>A More Equal Wales</b>	<b>A Wales of Cohesive Communities</b>	<b>A Wales of Vibrant Culture and Thriving</b>
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						Welsh Language
Yes	Yes	Yes	Yes	Yes	Yes	Yes

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

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

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

<b>Overall Inherent Risk Score</b>	<b>3 (Probable)</b>	<b>3 (High)</b>	<b>9 (Medium/High)</b>
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<b>2.2 Controlling Inherent Risk</b>				
<b>Category</b>	<ul style="list-style-type: none"> <li><b>Current Controls</b></li> </ul>	<b>Effectiveness of controls</b>		
		<b>Likelihood Score</b>	<b>Impact score</b>	<b>Total Score</b>
<b>Political &amp; Legislative</b>	<ul style="list-style-type: none"> <li>Regular updates on ALN provision and progress against meeting the requirements of the Act presented to Scrutiny and Corporate Management Team.</li> <li>Work closely with the Consortium with regular progress updates and reports.</li> <li>The Transformational Project Board meetings are attended regularly, and monitoring of the plan is on target.</li> <li>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.</li> <li>A significant amount of training has been undertaken on trauma informed approaches.</li> </ul>	2	1	2
<b>Resources</b>	<ul style="list-style-type: none"> <li>Budget setting process includes considerations of cost pressures arising from ALN developments.</li> <li>A readiness survey has been completed. This has identified areas of staff development and training requirements that will form the basis of a training programme.</li> <li>A PCP audit has been undertaken and results have been analysed in clusters and regionally.</li> <li>Awareness raising training has been delivered to Headteachers, ALNCOS and Governors on the Act.</li> <li>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.</li> <li>Strategic links have been developed with CAVC to develop an agreed</li> </ul>	1	1	1

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>vision for the inclusion of learners with additional learning needs post 16.</p> <ul style="list-style-type: none"> <li>Dispute resolution training has continued to be delivered.</li> <li>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.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>A three-year ALN Implementation Plan for the Central South Consortium Region was agreed in August 2018. Delivery of the Implementation Plan is monitored by the transformational lead for the Vale of Glamorgan with progress reported back to the Director of Education.</li> <li>In relation to ALN, all schools are now organised in Secondary school feeder clusters. Cluster leads are meeting regularly with the transformational Lead, working on priorities for the ALN Act. IDP format has been trialled within the special school cluster and within mainstream cluster groups.</li> <li>For the tracking and monitoring of ALN pupils, all staff can access the system called ONE. Process maps for ONE have been developed to ensure that procedures are used consistently.</li> <li>Early Years meetings continue to be attended, regionally and with Cardiff in order to plan early years provision.</li> <li>An Early Years Forum has been established and the Early Years toolkit has been published and is being shared with Early Years providers.</li> <li>A Continuing Health Care Draft Policy has been endorsed by all key partners to improve transparency of the process as it relates to children and young people.</li> <li>Transition Protocol has been developed and agreed in conjunction with Social Services and Health.</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Partners have advocated for the educational needs of learners in the 7 different vulnerable groups.</li> <li>Proposals have now been through all stages of the consultation process for the development of an additional resource base at Whitmore High.</li> <li>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.</li> <li>Outreach services have worked regionally to consult on barriers to learning and provision to address these barriers.</li> <li>New policies on pupil well-being have been well received by schools and are going to Governing Bodies for adoption.</li> <li>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.</li> <li>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.</li> <li>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</li> </ul>			



2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>quickly to mental distress as pupil assessments generate activity/intervention plans tailored to the emotional health profile of the individual.</p> <ul style="list-style-type: none"> <li>In order to build emotional resilience of staff and schools have been provided with the following: <ul style="list-style-type: none"> <li>2 x 45 minutes 'Recovery from Trauma' webinar Dr Coral Harper for all staff working in schools</li> <li>Action for Happiness initiative across all schools including resources and training for staff self-care, Keys to Happier Living journal</li> <li>Increased provision of clinical supervision for education staff working as trauma informed practitioners</li> <li>Subscription to The Happy Newspaper for all staffrooms</li> </ul> </li> <li>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: <ul style="list-style-type: none"> <li>'Supporting the Return to School' Trauma Informed Schools 3 hr training for all education staff</li> <li>Additional Senior Leaders Trauma Informed Schools 2-day course for all pastoral leads/heads of year in secondary schools</li> <li>Mental Health first Aid training available for all schools</li> <li>Therapeutic workshops, Play, music, OT understanding the functions of behaviour</li> <li>DDP Level 1 training – for all secondary schools</li> </ul> </li> <li>The following resources have also been made available to schools:</li> </ul>			

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> <li>Current Controls</li> </ul>	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Action for Happiness Schools Toolkit – All primary schools and Year 7 pilot group</li> <li>Rainbow Pathway – Trauma informed PSE curriculum - all primary schools</li> <li>Comprehensive library of books and resources to support emotional wellbeing</li> <li>Additional Welsh language books and resources</li> <li>Resources to support co and self-regulation including drum kits, balance boards, exercise balls, stretchy bags/tunnels and bands, floor surfers, spinners</li> <li>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</li> </ul>			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>A communication strategy in relation to the ALN Act is being developed.</li> </ul>	1	1	1
<b>Overall Effectiveness of Controls Score</b>		<b>2</b>	<b>1</b>	<b>2</b>

## 2.3 Residual Risk Scoring & Direction of Travel

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

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ALNR/SPO 01 (SP/002)	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. (SP/002)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	The introduction of an EHE WG grant has enabled the LA to offer more support to EHE learners in the Vale (one of Estyn identified VG) this has included access to one day short courses and GCSE qualifications and other online resources- also improvements made to how we work with YOS to support YOS learners who are on less than full time hours to ensure this is only where it is agreed to be in their best interests for a short period of time under a Pastoral support plan (PSP).												
ALNR/AL N001 (ALN/006)	Continue to develop early years ALN provision in line with the expectations of the ALNET (Wales) Act. (ALN/A006)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Early Years officer started in January, seconded from Cardiff. The Early Years forum has been set up to ensure a joint approach to EY pupils with ALN. Training for all settings has been offered and was well attended. A transition Officer has also been seconded to work with settings, parents and pupils around IDPs and identifying pupils needs. ALN Early Years toolkit has been published and shared with all settings.												

### 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	Integation	Collaboration	Involvement	Prevention	Long-Term			
ALNR/AL N002 (ALN/A008)	Develop additional specialist resource base and special school places to meet current and projected need. (ALN/A008)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	The autism resource base at Whitmore School is now open and young people are attending. This is a hugely important development and pupil numbers will increase over time as the provision develops.												
ALNR/SPO 02 (SP/006)	Develop a coherent strategy for the support, monitoring and delivery of EOTAS provision which ensures our most vulnerable learners and EOTAS learners not in education settings are able to access a curriculum that meets their needs and allows them to progress at a rate appropriate with their age and ability. (SP/A006)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Via the SEMHP process packages of support have been implemented and a quality assurance process related to all EOTAs providers commissioned by SIW is underway.												

### 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/SPO 03 (SP/A008)	Work with the 21st Century Schools' team and other stakeholders to establish the Centre for Learning and Wellbeing that meets the increasing need to support children with identified social and emotional health needs. (SP/A008)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	This project is on track to be delivered by January 2023. Y Daith will effectively close on the 31/8/21 and the Centre of Learning and Wellbeing will open on 1/9/21 in preparation for January 2023.												
ALNR/AL N003 (ALN/009)	In readiness for Additional Learning Need (ALN) reform, provide training to school staff to facilitate the roll out of person-centred planning and Individual Development Plans in a range of educational settings. (ALN/A009)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Half termly ALNCO days have been well attended and well received. PCP tool kit has been updated and re shared, further training around PCP processes has been offered. New ALNCO training has been well attended. IDP training has been an integral part of ALNCO days, additional cluster and individual support / training has also been offered.												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ALNR/AL N004 (ALN/010)	In readiness for ALN reform, collaborate with further education and training providers to develop and promote education and training opportunities for young people 16-25 with additional learning needs. (ALN/010)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	A transition leads group has been established and is well attended. The group has developed and agreed a Transition Protocol with easy read version, and this is under consultation. Senior officers from across Cardiff and the Vale Education and social Services are meeting to discuss post 16 Specialist College placements and the intention of Welsh Government to delegate funding for this provision to LAs. A protocol is being written to replace the current Welsh Government Guidance Document.												
ALNR/AL N005 (ALN/001)	As part of preparatory work for implementing the ALNET Reform Act, provide advice and guidance for parents/ carers about the new way of working and what provision and support they can expect from schools, the LA and its partners. (ALN/A001)  Milestone action: Improve the quality and availability of information to parents/carers, young people and all service users about additional learning needs provision.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	The Vale website area has been launched with information for parents. All schools have received information to put onto their school website and an overall list of what is needed. This will be continued and developed over the year.												
ALNR/AL N006 (ALN/A003)	Develop a shared understanding between the Health Board and LAs for identifying and supporting the needs of learners with ALN (ALN/A003).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Continued meetings with the Health Board regarding a shared understanding of IDPs have been attended. Further work and discussion is needed in this area. A Careplan template has been developed to share with schools to give a consistent format for pupils with Health needs, this will be shared next term												
ALNR/AL N007 (ALN/A005)	Develop and implement a regional approach to increase ALN provision available to Welsh medium schools to ensure sufficiency of provision. (ALN/005)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	In the Vale of Glamorgan we have worked with partners to develop and implement a regional plan to ensure that the Central South Region is able to meet the requirements of the Additional Learning Needs and Education Tribunal Act in transforming expectations and outcomes for children and young people with additional learning needs (ALN).												



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<ul style="list-style-type: none"> <li>• The lack of appropriate assessment materials available in Welsh was highlighted. As a consequence, Cardiff University was commissioned to develop a Welsh language reading test. The reading test has now been developed which is a ground-breaking development which will have a positive impact across Wales. Currently the test is being piloted in a number of Welsh medium schools prior to wider implementation.</li> <li>• The lack of Welsh medium resources for ALN was also highlighted as a concern. In order to ensure that staff are aware of the range of resources available and to facilitate consistency in practice a central document which details all of the different Welsh medium resources currently in use across the region has been created.</li> <li>• The lack of training opportunities for staff working in Welsh medium settings was also identified as problematic. As a consequence, a directory listing all of the different professional development offered by specialist practitioners through the medium of Welsh has been created. The Central South Consortium (CSC) training directory has been a regional development and has enabled schools throughout the consortium to access a very wide range of training opportunities covering all aspects of ALN.</li> </ul>												
ALNR/AL N008 (ALN/A00 2)	Develop the role of outreach services to further support the inclusion of children and young people with social, emotional and mental health difficulties in all educational settings, including working with the Health Board to develop a range of services to support learners with these additional needs. (ALN/A002)	✓	✓	✓	✓	✓	✓	✓	✓	✓	DD	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	The Engagement Service continues to develop skills and knowledge and is now a highly skilled team who are able to support mainstream schools to meet the needs of complex and vulnerable learners within an evidence based, psychologically informed framework that incorporates an understanding of Developmental Trauma, ACEs, attachment and the neuroscience of mental health and ill health. Schools are guided to adjust their expectations and practice around vulnerable children to correspond with their developmental capabilities and experiences. Pupils have access to specialist assessments, interventions and therapies within their mainstream schools via the service.												
ALNR/SPO 04 (SP/A005)	Work in partnership with the CSCJES to address issues arising from the impact of COVID-19 on schools and pupils, ensuring continuity of learning and that the specific needs of vulnerable learners are addressed, using the WG's Accelerated Learning Programme grant to target those cohorts of pupils identified as most at risk. (SP/005)	✓	✓	✓	✓	✓		✓	✓	✓	MH	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	<ul style="list-style-type: none"> <li>Discussions ongoing between improvement partners (IPs) and school leaders on the use and impact of the Accelerated Learning Programme grant. IPs working alongside leaders to support in monitoring the impact of the grant.</li> <li>Initial discussions underway between improvement partners and schools on the use of the PDG grant for 2021-22.</li> <li>Planning for professional learning for new academic year ongoing with a strong focus on oracy and reading.</li> <li>Successful relaunch of Welsh Language Charter in May 2021 with very good engagement by Vale schools.</li> <li>Resource to support immersion of pupils who transfer from English medium school has been developed and shared with all Vale Welsh medium primaries. Resource also suitable to use with pupils who have been impacted due to Covid.</li> </ul>												



1 – Risk Overview

1.1 Risk Description

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

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

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

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

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

	<p>There are two key aspects to the COVID-19 risk as outlined in this Register focuses firstly on our response in terms of how as a local authority the Council will prioritise the use of our resources (our assets, finance, technology and our workforce) at this volatile time to ensure that we are in the best position to respond to the constantly changing landscape. The emphasis here is on our capacity to maintain service continuity of business-critical services so that we can protect the organisation against legislative, financial, and reputational repercussions/consequences. As this risk evolves over time, and our focus moves more towards our recovery phase the risk going forward is the local authority's capacity to address the longer-term impacts of the pandemic on our services, citizens, and communities.</p> <p>Given the evolving nature of this risk, the Council's recovery from this will not be linear, instead it will most likely be influenced by various challenges that at times may impede our recovery and at other times present us with opportunities. Regular review and updating of this risk will enable the Council to ensure this risk remains current and will enable us undertake horizon scanning in relation to potential threats and additional emerging issues as this risk evolves whilst shaping our strategic response. Despite the uncertainty that lies ahead, the crisis has provided local authorities with an opportunity to reflect on how services are operated and delivered to our citizens. Seizing opportunities to improve the efficiency and effectiveness of our services will enable us to emerge from the crisis a stronger and more resilient organisation.</p>
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<b>1.2 Risk Owner</b>	<b>Corporate Management Team</b>
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<b>1.3 Impact on our contribution to the Wellbeing Goals</b>						
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A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
Yes	Yes	Yes	Yes	Yes	Yes	Yes

<b>1.4 Risk Categories</b>		
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Categories	Yes/No	Definition
<b><i>Political &amp; Legislative</i></b>	Yes	<p>Political and legislative repercussions of failing to discharge our statutory functions and comply with statutory requirements of service delivery.</p> <p>Political and legislative repercussions of not fulfilling our requirements as outlined in the Constitution.</p> <p>Failure to provide a consistent and timely leadership in response to the pandemic that is out of step with national policy.</p>

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

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

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



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

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

## 2 – Risk Evaluation

### 2.1 Inherent Risk Scoring

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

### 2.2 Controlling Inherent Risk

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> <li>Investment in ICT developments to enable home working.</li> <li>Updated guidance on annual leave, flexi leave, and TOIL that has been published to reflect and adapt to the changing circumstances.</li> <li>Recovery Strategy approved by Cabinet that has been used to inform recovery focused Annual Delivery Plan actions.</li> <li>Localised Recovery Planning priorities have been identified and reflected within the Annual Delivery Plan for 2021/22.</li> </ul>			
<b>Service Delivery &amp; Well-being</b>	<ul style="list-style-type: none"> <li>Worked with our schools to co-ordinate the establishment of childcare hubs for the children of key workers across schools throughout the Vale.</li> <li>Worked with schools to enable catch up and check in facilities during the latter part of the summer term.</li> <li>Worked with schools to facilitate risk assessments associated with reopening schools from September.</li> <li>Food voucher system has been established that ensures all those children and young people who will normally receive free school meals will not miss out.</li> <li>The Business Rates team, with support from staff in Regeneration, have completed a significant piece of work to administer the various national grants being made available for businesses ensuring that over £25m of funding was received by over 2,500 businesses in the Vale.</li> <li>Worked in collaboration with GVS to launch <a href="#">Vale Heroes</a>, a new service directory that brings together information regarding volunteering in our communities and sources of assistance with food and other supplies.</li> <li>Established a Crisis Support Team has who are contacting individuals who have been advised to shield, to establish their</li> </ul>	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>support needs and if they need any assistance with accessing additional help, food and medications.</p> <ul style="list-style-type: none"> <li>• Coordination of food parcel deliveries to shielding people with no other form of support.</li> <li>• For residents who have not been asked to shield for 12 weeks but are vulnerable and in crisis the Council has established a dedicated COVID Crisis Support Line to ensure that they also receive the necessary support.</li> <li>• Housing/Homeless Service secured temporary hotel accommodation to provide shelter for homeless people.</li> <li>• Secured donations from private and charitable organisations to support the provision of food to families and people who are vulnerable.</li> <li>• New services have been put in place to support homeless people throughout the lockdown. This is involved providing single person accommodation and support for individuals. This has been funded via short term revenue support from the Welsh Government.</li> <li>• The Council's Communications Manager is the Communications lead for a range of regional groups responding to the coronavirus pandemic.</li> <li>• 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.</li> <li>• Within Social Services, vaccinations have been made available in a timely and coordinated way, with the majority of staff having received both vaccinations. Lateral Flow daily tests have been circulated to all</li> </ul>			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	frontline staff with encouragement to test twice weekly.			
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Tannoy trucks have been used to broadcast the key messages to the public of #StayHome-StaySafe demonstrating that the Council is at the forefront of the response to COVID-19.</li> <li>Managing Director issues weekly communications/updates to staff on the ongoing developments and advice on any changes to working practice.</li> <li>Communications Plan has been developed in response to this crisis that ensures that regular updates are provided to public, business owners and other key stakeholders on key developments on a daily basis by maximising the use of all our key communication channels.</li> </ul>	2	1	2
<b>Overall Effectiveness of Controls Score</b>		<b>2</b>	<b>1</b>	<b>2</b>

2.3 Residual Risk Scoring & Direction of Travel											
	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		
<b>Average risk score/ direction of travel</b>	4	4	<b>16</b>	2	1	<b>2</b>	2	4	<b>8 (Medium/High)</b>		

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CV/ALN001 CV/RP001 CV/HS001 CV/NS001 CV/SRS001 CV/SP001 CV/SL001	Implement the Directorate Recovery Plan to address the impact of COVID-19 on our services, service users and their families and communities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD MG MI ER DH MH T Baker	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	<p>Directorate Recovery Plans have been developed and key recovery priorities have been aligned to the Annual Delivery Plan. The recovery priorities as outlined in the Annual Delivery Plan are being implemented through Service Plans and are monitored quarterly through the Corporate Performance Framework. Good progress has been made in delivering recovery priorities to date. For example, young people at the risk of being NEET (not in employment, education or training) is excellent and the work of the I2A and I2W teams has been hugely successful, resulting in us drawing down additional funding from ESF project. EOTAS provision has continued to be implemented as quickly as possible although we are seeing an increasing number of referrals linked to children and young people's wellbeing which are clearly as a result of the pandemic. There have been a number of WG grants which have been awarded with very little notice, but we are using them effectively to support those most in need. This includes support for EHE children and families where numbers are increasing rapidly.</p>												
CV/PB001 (PB/A018)	Work with GVS and other partners to build a legacy for Vale Heroes.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	<p>Audit Wales have completed their review of the Council's arrangements with the Third Sector as part of the work to deliver a sustainable legacy for Vale Heroes. A draft report is being compiled to be received shortly. Thereafter, a series of workshops will be held to develop an action plan in response. GVS are part of work being undertaken through the PSB and led by the Housing department to encourage and support volunteering as part of work to address inequalities. GVS are also involved in the food poverty pilot project in Llantwit Major. In 2020-21 Welsh Government funding was used for a</p>												



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	project with GVS, Cardiff Third Sector Council, Cardiff Council and the Vale Council. The information gathered thorough this project and the materials developed including a video about volunteering are being used to raise the profile of volunteering and to build resilience into the sector.												
CV/PB002 (PB/A033) (Links to Brexit risk)	Work with the PSB and partners to deliver a food poverty pilot in Llantwit Major and utilise lessons learnt from the pilot to further develop the model, so that it can be applied to other areas	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Work is progressing well to develop the pilot food poverty project in Llantwit Major. The Food Poverty Network group have developed an engagement matrix outlining potential engagement methods that will be explored to engage with each of the 4 target groups to explore their experiences of food poverty in Llantwit Major. A short public survey on access to food has been drafted and will shortly be launched to develop a greater understanding of people experience of food poverty in Llantwit Major, helping identify areas of future focus. A weeklong Bro Radio media campaign is being developed to promote the project, local food poverty support services and encourage participation in the projects survey. A draft webpage has also been developed with partners that will be hosted on the Food Vale website to outline the project, signpost residents to method of engagement e.g., survey and promote the food poverty related support services that are available in the Vale. The network continues to meet on a regular basis to share examples of good practise and explore opportunities for collaboration.												
CV/PB003 (PB/A031)	Work as part of the Test, Trace and Protect (TTP) Regional Operational Board and with colleagues across the Council to respond to the Covid-19 pandemic and to develop and deliver our Recovery Strategy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Contribute to and support the local, regional and national response to the pandemic including TTP and mass vaccination and the Recovery Strategy.												
<b>ACTION UPDATE:</b>	<p>The Council's Communications Manager remains the lead for communications associated with the TTP programme. During the quarter, a series of communications activities have supported a range of stakeholders both internally and externally, including schools, social care and the public. The Head of Service attends the UHB's mass vaccination programme board to ensure linkages are made between that programme and the Council's contribution to other coronavirus/preventative actions.</p> <p>The Council's Communications Manager remains the lead for communications associated with the TTP programme. During the quarter, a series of communications activities have supported a range of stakeholders both internally and externally, including schools, social care and the public. The Head of Service attends the UHB's mass vaccination programme board to ensure linkages are made between that programme and the Council's contribution to other coronavirus/preventative actions.</p> <p>The Council's Communications Manager remains the lead for communications associated with the TTP programme. During the quarter, a series of communications activities have supported a range of stakeholders both internally and externally, including schools, social care and the public. The Head of Service attends the UHB's mass vaccination programme board to ensure linkages are made between that programme and the Council's contribution to other coronavirus/preventative actions.</p> <p>The Council's Communications Manager remains the lead for communications associated with the TTP programme. During the quarter, a series of communications activities have supported a range of stakeholders both internally and externally, including schools, social care and the public. The Head</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	of Service attends the UHB's mass vaccination programme board to ensure linkages are made between that programme and the Council's contribution to other coronavirus/preventative actions.												
CV/SRS002 (SRS/A007)	Work in partnership to respond to the COVID-19 pandemic by leading on the Test, Trace Protect service and supporting care homes, schools and nurseries.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	During Qtr 1 officers from SRS continued to support the investigation and management of Covid cases and outbreaks in care homes, domiciliary care providers and homeless hostels, alongside partner agencies (PHW, Social Services, CIW, Homeless Teams). A total of 39 incidents were managed and overseen and the team dealt with 274 escalated referrals concerning the care and educational sectors.												
CV/SRS003 (SRS/A008)	Support local businesses to trade in a COVID-19 safe environment by ensuring compliance with social distancing and other COVID-19 controls through the provision of advice and increased enforcement activity.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	The work of the Covid Enforcement Teams has ensured compliance as the restrictions have begun to ease. At the same time, detailed advice has been given to individual businesses to support them in reopening and adapting to the quickly changing regulatory landscape.												
CV/PB004 (PB/A025)	Utilise the learning from the pandemic to define and establish new ways of working and	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CV/AS001 (AS/A005) CV/CS001 (CS/A018)  CV/NS005	develop our management team across the service.  Review the way journeys are undertaken by staff including the use of pool cars.										SC RE  ER		
<b>ACTION UPDATE:</b>	<p>Throughout the pandemic, the Policy &amp; Business Transformation management team have met to identify areas of cross-over and opportunities to strengthen the connections between the teams. This is informing the development of the Insight function that will provide a strengthened evidence base for taking decisions and informing the teams' work.</p> <p>We have engaged with people who attend our Day Services and ensured that services are made increasingly available as result. This has been delayed as we try to recruit to a Service Development Manager position to assist us in engaging with the public and key stakeholders to shape our future service models. We are also working with the Policy Assurance officer to undertake a survey of people's experiences of interacting with the workforce using digital means during the pandemic, so that we can understand what worked well when conducting assessments/reviews using technology and what we may have missed.)</p> <p>This quarter saw our social care teams enabled to return to office bases, adhering to social distancing measures and all Welsh Government guidelines regarding working safely. This has now commenced a programme of blended working, which we will continue to monitor and assess. Our services work in an integrated way and we have continued to use the assets within the Vale locality portfolio flexibly, accommodating UHB staff in Council premises</p>												

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>and vice versa where this is prudent to do so. This will continue to inform our accommodation needs moving forward. In addition, once the Service Development Manager is in post we hope to recommence the accommodation needs of our day services through working with our attendees to shape the model and consider the accommodation requirements to deliver the agreed service model.</p> <p>Within Children and Young People Services, the division has learnt new ways to communicate with children and families and where virtual arrangements can add value to the delivery of future practice.</p>												
CV/PB005 (PB/A011)	Lead on the development and delivery of a new Transformational Change Programme with an emphasis on community, resources and new ways of working.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Following Cabinet's approval for the new Reshaping programme in March 2022, work has commenced on developing the focus of the Reshaping Board, including project monitoring arrangements, resources and any additional governance arrangements. The Programme's projects have made progress including the consultation on the Climate Change Challenge Plan and work on the Llantwit Major Food Poverty project.												
CV/CS002 (CS/A0019) CV/NS006 CV/RMS002	Support the delivery of the mass testing and vaccination programme within the CYPS division. Secure COVID-19 vaccinations for key frontline staff.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	RE	March 2022	<b>GREEN (Completed)</b> 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	Integraton	Collaboration	Involvement	Prevention	Long-Term			
	Support the prioritisation process for vaccination and collate information for the Council and commissioned staff.												
<b>ACTION UPDATE:</b>	Within Social Services, vaccinations have been made available in a timely and coordinated way, with the majority of staff having received both vaccinations. Lateral Flow daily tests have been circulated to all frontline staff with encouragement to test twice weekly. The Resource Management and Safeguarding Team continue to collate information on vaccinations that is monitor by the PPE team. Across Neighbourhood Services, all frontline workers (over 18s) have been offered a vaccination.												
CV/RMS001 (RMS/A020 )	Continue to support mechanisms to ensure care settings are following the latest prevention control processes in line with TTP requirements.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Discussed regularly at provider forums, plus emails as and when guidance changes. Questionnaires sent to all homes with an outbreak, with Outbreak Meetings taking place as appropriate.												

### 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/RMS003 (RMS/A011 )	Review effectiveness of isolation beds with the view of reintroducing for reablement services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Isolation has stopped on the Bay Unit. Refurbishment will commence 1/7/21 with aim to restart reablement in September. Discussions regarding the future of the reablement service has taken place with stakeholders.												
CV/RMS004 (RMS/A015 )	Recommence respite services to support resident’s physical and mental health.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
<b>ACTION UPDATE:</b>	Initial plans to create a designated respite unit have been abandoned as respite can take place and has recommenced providing the care home does not have any positive cases, providing respite client has had both vaccines and a negative test.												
CV/ALN002	Work in partnership to address issues arising from the impact of COVID-19 measures on schools, ensuring continuity of learning and that the specific needs of vulnerable learners are addressed. (ADP/026)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	We are continuing to deliver new devices to schools to support with remote learning in the event of further COVID lockdowns, to date 6,500 new devices have been delivered to schools with a further 1,394 to following in the next quarter.												
CV/ALN003 (ALN/A013)	Seek further opportunities through the Children and Communities Grant and Housing Support Grant to target interventions for children and young people and their families ensuring that services adapt in response to issues arising from COVID-19.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	CCG continues to fund a wide variety of C&YP services. WG Guidance has been used to provide services throughout the pandemic although often at a reduced rate. All projects continue to report regularly and delivering what is expected although Covid19 has hindered direct 1-1 work. There have been more meetings with providers to ensure they are responding well to local needs and seeking ways to fill gaps in provision. Additional funds were identified to support some vulnerable groups (Young Carers and those with special needs) increasing their budgets. Projects have responded positively continuing to use innovative methods to keep in contact with service users . Monitoring has been ongoing and RBA report cards are due mid July 2021 and will reflect how well these continue to be managed in the current crises. Funds for a summer of Fun will see a lot of activities being run and many vulnerable children supported - this is not CCG but related as it directly links to 2 of the existing CCG grants.												
CV/ALN004	Support residents whose physical or mental health has been negatively impacted by coronavirus.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	<b>GREEN (On Track)</b>



### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	A significant amount of support has been provided to young people and school staff in order to address the impact of the coronavirus on wellbeing. Trauma informed support materials and on-lime materials have been shared with schools to support young people and adults.												
CV/SP002 (SP/A005) CV/SL002 (SL/A011)	Work in partnership with the CSCJES to address issues arising from the impact of COVID-19 on schools and pupils, ensuring continuity of learning and that the specific needs of vulnerable learners are addressed, using the WG’s Accelerated Learning Programme grant to target those cohorts of pupils identified as most at risk.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH T Baker	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Schools have been advised of estimated accelerated learning grant allocations for the financial year which have been built into school budgets.												
CV/SL003	Continue to manage PPE provision, support and deployment for schools and Education staff.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	The service continues to work with the PPE team, schools and education staff to ensure that the appropriate provisions are available and used in line with latest Welsh Government guidance.												
CV/SL004 (SL/A003)	Deliver ICT infrastructure improvements within schools in line with the Welsh Government’s Education Digital agenda and to support new ways of working resulting from COVID-19.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	<b>GREEN (On Track)</b>

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	1. 704 Windows devices have been enrolled into Microsoft InTune MDM for remote management. 2. Completed IOS Workshop this quarter and anticipate enrolling at least 200 Apple devices into Microsoft InTune MDM for remote management. 3. 1,394 new devices have been ordered under the Hwb funding for 2021/22, currently awaiting delivery of these devices.												
CV/SL005 (SL/A004)	Support schools with COVID-19 financial impact analysis and claims against the COVID Hardship Fund.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Schools have been supported to claim from the hardship fund but a full financial impact has not yet taken place.												
CV/SL006 (SL/A005)	Support schools in managing Welsh Government's Accelerated Learning Programme Grant targeted to support year groups 7, 11, 12 and 13	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Schools have been advised of estimated accelerated learning grant allocations for the financial year which have been built into school budgets.												
CV/SL007 (SL/A014)	Work in partnership with Communities4Work to promote the Employability Hub. <i>Milestone action: Collaborate with contractors, local businesses and the third and public sectors to deliver a range of community benefits which improves people's skills and employment prospects.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	<b>GREEN (On Track)</b>

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	Working with C4W via Steering Group. Arranging joint virtual job fair (possibly in collaboration with Cardiff Council). Working with contractors to restart work experience and site tours.												
CV/RP002 (RP/A016)	Support our Town Centres to recover and adapt following the effects of COVID-19, by supporting the development of a mix of business premises and homes within town centre locations, promoting a town centre first approach.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>
CV/NS002 (NS/A014)	Support our town centres to recover and adapt following the effects of COVID-19, by improving green spaces, public areas and transport infrastructure-												
<b>ACTION UPDATE:</b>	We will continue to implement a Town Centre first approach to retail and associated facilities through the planning system. Capital projects are now being completed to support town centres in each of our centres. Work is ongoing with Welsh Government to identify funding for a regional project supporting town centre businesses using revenue money.												

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Town Centre Planting Scheme and tree planting at Holton Road Completed/Llantwit Station Planter completed. Remaining 20% of work will be watering and maintenance of works with a small amount of winter planting during Q3												
CV/RP003 (RP/A018)	Identify grant support for businesses and investment in regeneration project and deliver Welsh Government COVID-19 Grant Schemes as required.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Implementation of 20/21 committed spend in Vale Town Centres has continued during the course of Q1. Budget details for 21/22 financial year are expected during the course of quarter 2.												
CV/FIT001 (FS/A005)	Monitor and tackle the financial impact that coronavirus will continue to have on the Council's finances.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Claims for additional expenditure have been submitted to WG for April and May and June's claim will be submitted by 15 <sup>th</sup> July. Q1 lost income claim will also be submitted by the end of July.												
CV/FIT002 (FS/A013)	Review the Capital Programme and the use made of the Council's assets to support	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	recovery and economic growth including the consideration of an investment strategy.												
<b>ACTION UPDATE:</b>	An Investment Strategy is in the process of being prepared.												
CV/HS002	Work with partners to mitigate the impact of COVID-19 by continuing to facilitate the Homelessness Coordination Cell meetings fortnightly so that any issues are identified early, and the appropriate preventative action is taken.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Coordination cell meetings have continued throughout the pandemic and partners meet every four weeks to review issues relating to temporary accommodation, the rooms at the B&Bs and associated move on challenges. A comprehensive range of assistance and support remains in place to assist homeless people and ensure preventative actions are taken at an early stage.												
CV/HS003 (HS/A023)	Continue to work to the Welsh Government COVID-19 Homelessness Plan, phase 1, providing bed and breakfast accommodation for homeless persons as defined by the new	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On Track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Welsh Government Duty placed on Local Authorities.												
<b>ACTION UPDATE:</b>	Block booking of rooms at three hotels is in place through till the end of September 2021. Awaiting update from Welsh Government in respect of the funding of B&B rooms post September. Task and Finish Group of Homes and Safe Communities Scrutiny Committee is developing options for move on accommodation and to increase the supply of more permanent single person's accommodation.												
CV/HS004 (HS/A024)	Work with partners to sustain the reduction in homelessness achieved during the crisis and implement a Housing Support Programme Strategy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	Four weekly coordination cell meeting takes place with key partners to provide operational response to issues in respect of homelessness during the pandemic. Partners are contributing to the development of proposals to sustain reductions in homelessness and ensure there is not a return to pre pandemic issues.												
CV/LS002	Continue to review the impact of COVID on the Legal and Democratic Services and contribute to the Council's recovery objectives	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	<b>GREEN (On track)</b>

### 3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
<b>ACTION UPDATE:</b>	A business continuity plan for Legal Services is up to date with a review scheduled for the Autumn 2021.												
CV/NS003	Work with partners to mitigate the impact of COVID-19 by working with Legacy Leisure, Community Associations, Schools, Heath Authority etc.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	The Council has worked in Partnership with Legacy Leisure and Community Centre Associations to allow services to operate as quickly as possible following the various changes in rules. Legacy Leisure have also insured that their own Health and Safety specialist have been consulted as the rules in wales have changed to ensure they are complying with the latest information available.												
CV/NS004 (NS/A038)	Work with Keep Wales Tidy, our community and partners to provide safe and accessible public spaces recognising the value placed on these during the COVID-19 restrictions.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	<b>GREEN (On Track)</b>
<b>ACTION UPDATE:</b>	The service area is continuing to work and meet with Keep Wales Tidy on a local and national level to provide safe and secure open spaces. Additionally, the service area regularly reviews the operational arrangements to ensure compliance with the Corona Virus (Wales) Regulations.												

