| Meeting of: | **Cabinet** |
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| Date of Meeting: | **Monday, 10 January 2022** |
| Relevant Scrutiny Committee: | Corporate Performance and Resources |
| Report Title: | Corporate Risk Register Quarter 2 Update |
| Purpose of Report: | To update Cabinet on the quarter 2 position of Corporate Risks for April 2021 - September 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 and an Executive matter for decision by Cabinet. |

**Executive Summary:**

- This report provides members with an overview of the Corporate Risk Register for Quarter 2 (April 2021-September 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.

## Recommendations

1. Note the Quarter 2 position of corporate risks (April 2021-September 2021) and the identification of two new Corporate risks for inclusion in the Register (Market Fragility risk and Demand Management & Service Capacity risk) as outlined in Annex A.

2. Cabinet consider and endorse the Corporate Risk Register for Quarter 2 and the associated Corporate Risk Summary Report including the endorsement of the two new corporate risks.

## Reasons for Recommendations

1. To ensure Cabinet identify the quarter 2 position of the corporate risks across the Council as well as emerging risks for inclusion on the Register as outlined in Annex A.

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.

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

1.3 **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.

1.4 **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.

1.5 **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.

**1.6** **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.

**1.7** **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.

**1.8** **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.

**1.9** **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.

**1.10** **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. Key Issues for Consideration

**2.1** There are 18 corporate risks on the Register. During the quarter 2 period, two risks have emerged and are recommended for inclusion on the Register. These areas of risk relate to Social Services with regards to market fragility and demand management and service capacity. These risks have been identified by the Director and have been subject to discussion at the Council's Strategic Leadership Team meeting as part of the arrangements to regularly consider strategic risks for the organisation.

**2.2**     Market fragility in the social care context describes the weaknesses and vulnerabilities in the social care sector to provide social care services. The majority of these vulnerabilities relate to operational capacity linked to financial and/or workforce related challenges. The overarching risk associated with this, is one of financial collapse that has implications for the stability and continuity of care for our most vulnerable citizens.

**2.3**     Demand management and service capacity from the viewpoint of Social Services is defined as insufficient social care capacity to meet the growth in demand for our social care services. There are two key aspects to this risk that relate to rising demand associated with an ageing population presenting with more complex needs (impacting on demand for Adult Social Care Services) and rising numbers of Children Looked After with complex needs (putting additional pressure on Children and Young People Services and in particular placement demand).

**2.4**     A more detailed analysis of the key drivers behind both the Market Fragility and Demand Management & Service Capacity risks is outlined in **Annex A (Corporate Risk Summary Report)**. Both of these risks are a significant threat to the Council in terms of our ability to ensure continuity of care in meeting the most basic of needs of our citizens. The current volatility of the social care market and the rising demand for our services at a time when our resources are being significantly stretched is becoming increasingly more challenging. In recognition of this and the interconnective nature of the two risks it is recommended that both risks are scored 12 (High) on the Risk Register.

**2.5**     Both risks have a high inherent risk score (12), which is comparable with the majority of other inherent risk scores on the Register including Legislative Change & Local Government Reform, School Reorganisation & Investment, Waste, Workforce, Information Security, Environmental Sustainability, Welfare Reform and the Welsh Community Care Information System (WCCIS). Whilst other risks on the Register are able to be well controlled (and therefore the effectiveness of controls has a dampening effect), the residual risk scores for Market Fragility and Demand Management & Service Capacity continue to be a cause of concern and consequently have been allocated a high status (12).

**2.6**     Despite taking a series of actions to mitigate both risks, several of the issues remain largely outside the Council's control, and as such our mitigations are having a limited impact on the overall status of the risk. In reflection of this, we anticipate that there will be no forecast change in these risk scores in the short to medium term. The Council remains committed to exploring and developing innovative ways of addressing both these risks and recognises that adopting a multi-faceted approach will be necessary into the medium term. Significant management attention is being given to these activities as part of the Reshaping Social Services Programme, overseen by the Director of Social Services.

**2.7**     Whilst this report provides an update on the corporate risks during the quarter 2 period, it is important to note that some risks on the Register are in a constant state of flux. For example, the fast-moving nature of both the Covid-19 and Brexit

risks means that the position regarding these two are constantly evolving. Governance & Audit Committee are requested to consider the quarter 2 position of the Risk Register, whilst noting the following developments (current at the time of producing this report- 20th December 2021).

**Covid-19**-

**2.8**   Following the latest 3 weekly review of the Covid situation (10th December), the Welsh Government confirmed that Wales would continue to remain at Alert Level zero[1]. Although Wales has managed to remain at this level for a number of weeks, during this time there have been significant developments as outlined below.

**2.9**   The First Minister published the Welsh Government's updated Coronavirus Control Plan on the 8th October that outlined key actions that could be taken over the autumn and winter months.

**2.10**   The Control Plan contains two planning scenarios[2]:

- **Covid Stable**- Wales remains at alert level zero and all businesses are able to remain open. Under this scenario the First Minister outlined if case rates fall, they maybe in a position to relax measures further or if they rise some existing measures could be further strengthened.

- **Covid Urgent**- this is a scenario where there is rapid change in the situation either caused by the emergence of a new fast spreading variant or vaccine immunity falls putting pressures on the NHS. The First Minister identified in such a scenario the alert level could change and further proportionate restrictions be introduced.

**2.11**   At the end of October, in a bid to reduce spread and protect health, the First Minister amended guidance associated with self-isolation[3]. Fully vaccinated adults and children and young people aged 5 to 17 will be required to self-isolate until they receive a negative PCR test if someone in their household has symptoms or tests positive for Covid-19[4]. The rules for unvaccinated will require them to self-isolate for 10 days following contact with someone who has tested positive (including contacts outside the household)[5].

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[1] Welsh Government Written Cabinet Statement: Review of the Health Protection (Coronavirus Restriction) (No.5) (Wales) Regulations 2020, 10th December 2021
[2] Welsh Government Press Release, New plan to keep Wales open and safe during 'challenging winter ahead, 8th October 2021
[3] Welsh Government Press Release, Strengthened measures to reduce high coronavirus cases in Wales, 28th October 2021.
[4] Welsh Government Press Release, Strengthened measures to reduce high coronavirus cases in Wales, 28th October 2021.

[5] Welsh Government Press Release, Strengthened measures to reduce high coronavirus cases in Wales, 28th October 2021.

**Covid Pass**

**2.12** At the end of quarter 2, the Welsh Government confirmed the launch of a new [NHS COVID Pass](#) to enable individuals to evidence their vaccination status[6]. From the 11th October, the Welsh Government outlined that a Covid Pass or negative Covid test would be required to enter certain places such as nightclubs, indoor non-seated events of more than 500 people, outdoor non-seated events of more than 4,000 and any other type of event where attendance exceeds 10,000 people[7]. On the 15th November, the Welsh Government announced the extension of Covid passes to theatres, cinemas and concert halls[8]. Despite case rates stabilising, the First Minister did not rule out extending Covid-passes to the hospitality sector should case rates rise again and put pressure on the NHS[9]. At the recent 3 weekly review held on 10th December, the Welsh Government confirmed further clarification in relation to the Covid Pass anyone who is not vaccinated required to take lateral flow should now be taken within 24 hours of attending a venue rather than the previous 48 hours, this change came into force on the 15th December[10].

**New Variant**

**2.13** On the 24th November, South Africa reported a new Coronavirus variant (B.1.1.529) to the World Health Organisation (WHO). Multiple countries have now reported cases of Omicron, some of which include Botswana, Namibia, Zimbabwe, Lesotho, Eswatini, Angola, Malawi, Mozambique, Belgium, Hong Kong, Israel, USA, Australia, Netherlands, Germany and the UK etc[11]. The Technical Advisory Group on SARS-CoV2 Virus Evolution (TAG-VE) is an independent group of experts that closely monitors and evaluates the evolution of Coronavirus (SARS-CoV-2) to evaluate specific mutations that are likely to impact on the behaviour of the virus[12]. The TAG-VE met on 26th November to assess the new variant B.1.1.529 and noted that this new variant has a large number of mutations, which are of concern[13]. Based on their evaluation of the genomic changes to this variant, the TAG-VE advised WHO that it be designated a 'variant of concern' and named it Omicron (in line with the Greek classification of the previous variants)[14].

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[6] Welsh Government, [Covid-19 vaccination programme update](#), 31st August 2021

[7] Welsh Government Press Release, [Wales introduces Covid Pass for events and nightclubs](#), 11th October 2021.

[8] Welsh Government Press Release, [Extension of Covid Pass to help keep Wales open this winter](#), 15th November 2021

[9] Welsh Government Press Release, [No changes to Covid rules as First Minister thanks Wales for helping to bring case rates down](#), 17th November 2021

[10] Welsh Government Written Cabinet Statement: [Review of the Health Protection (Coronavirus Restriction) (No.5) (Wales) Regulations 2020](#), 10th December 2021

[11] BBC News, Covid: [New Omicron Variant not a disaster, says SAGE scientist](#), 28th November 2021

[12] World Health Organisation Statement, [Classification of Omicron (B.1.1.529): SARS-CoV-2 Variant of Concern](#), 26th November 2021

[13] World Health Organisation Statement, [Classification of Omicron (B.1.1.529): SARS-CoV-2 Variant of Concern](#), 26th November 2021

[14] World Health Organisation Statement, [Classification of Omicron (B.1.1.529): SARS-CoV-2 Variant of Concern](#), 26th November 2021

**2.14** The emergence of the Omicron variant has been described as the 'most divergent variant so far'[15]. Omicron has a large number of mutations, where scientists have identified over 30 to the spike protein of the virus[16]. The spike protein is the part of the virus that interfaces with human cells[17]. There is potential uncertainty as to whether this could compromise the effectiveness of vaccines. There are also concerns whether mutations in other parts of the virus' genome have the potential to change its behaviour by evading our immune system, making it potentially more transmissible and resistant to treatments[18]. Much of these concerns at present are theoretical, as a lot remains unknown about the virus and many of the concerns regarding its potential higher transmissibility, impact on disease severity and ability to override vaccine effectiveness is still yet to be fully proven and understood.

**2.15** On the 27th November, the Prime Minister Boris Johnson held a press conference on the emergence of the Omicron variant. At the time, the Prime Minister announced that two Omicron cases had been detected in the UK in Brentwood, Essex and Nottingham and said that officials have confirmed that the cases are linked and connected to travel in South Africa[19]. The Prime Minister went on to say that initial evidence suggests it has a higher reinfection risk than other variants and can potentially spread readily between people who are double vaccinated[20]. Of the cases identified in the South African province of Gauteng, early indications suggest an estimated R value[21] (reproduction value) of 2[22].

**2.16** On the 3rd December the first Omicron case in Wales was confirmed, which was linked to international travel[23].With the concern that it's highly transmissible compared to other previous variants, the Welsh Government is preparing for a large wave of infections. By the 6th December England's Health Secretary, Sajid Javid confirmed there was now community transmission of the Omicron variant[24]. As at the 18th December, the number of Omicron cases in the UK rose to 37,101 cases in UK of which 272 cases were in Wales[25]. Now that the Omicron variant is fully established in the UK, Government and scientists are anticipating an exponential rise in infections. In the midst of this, increasing testing capacity and turn around times for detecting the new variant are vital. On the 9th December, the Minister for Health and Social Services, Eluned Morgan, announced that Public Health Wales had introduced a comprehensive testing regime to enable us to effectively detect probable cases of the Omicron variant

[15] BBC News, No decision made on Wales' Covid Christmas rules, 30th November 2021

[16] New Scientist, Omicron: How dangerous is the new variant first found in South Africa?, 26th November 2021

[17] New Scientist, Omicron: How dangerous is the new variant first found in South Africa?, 26th November 2021

[18] New Scientist, Omicron: How dangerous is the new variant first found in South Africa?, 26th November 2021

[19] BBC News, Covid: Travel and mask rules tightened over Omicron variant, 28th November 2021

[20] BBC News, Covid: Travel and mask rules tightened over Omicron variant, 28th November 2021

[21] Average number of people that an individual is likely to infect.

[22] New Scientist, Omicron: How dangerous is the new variant first found in South Africa?, 26th November 2021

[23] Welsh Government Press Release, First Omicron case confirmed in Wales, 3rd December 2021

[24] BBC News, Covid: Omicron spreading in the community, Javid confirms, 6th December 2021

[25] UK Government, Covid-19: Daily Omicron Overview, 19th December 2021

across Welsh NHS laboratories[26]. Establishing a 7 day a week service with turnaround time for the identification of variants within 24 hours of a positive test, will enable us to enhance our capacity to detect the variant as quickly as possible[27].

2.17   The Minister for Health and Social Services also confirmed a tightening of isolation rules where close contacts of a confirmed/probable Omicron case in Wales will now need to isolate for 10 days regardless of their vaccination status or age[28]. In a press conference the Minister advised the public to take the threat of socialising indoors with others (outside their household) seriously[29]. The Minister also urged people not to socialise if they do not need to in the lead up to Christmas[30].

2.18   In reflection of the potential threat that Omicron presents to public health and the rising rates of Omicron infections, the UK Health Security Agency alongside the UK Chief Medical Officers advised that the UK Covid Alert Level be raised from 3 to 4. This alert level has been raised in the context of the high levels of transmission in the community primarily driven by the Delta infection and the emergence of the highly transmissible Omicron variant.

2.19   Although a lot remains unknown about the threat this variant presents to public health, initial evidence shows it is spreading quicker than the Delta variant and is set to become the dominant variant in the UK. In terms of our understanding of Omicron far, it is thought that vaccine protection against symptomatic disease maybe reduced. Although preliminary evidence emerging from South Africa implies that this wave of infections may be less severe that previous, it is still too early to predict what the impact to public health will be in the UK. The Scientific Advisory Group for Emergencies (SAGE), in their minutes on the 16th December suggest that some severity data will be available once hospitalisation data accumulates[31]. The SAGE Committee warns that the acceleration of the booster programme alone will not reduce transmission of severe and mild disease in time to mitigate hospitalisation by the end of the year[32]. Initial modelling by SAGE suggests that without further restrictions, in England alone there could approximately 3,000 hospital admissions per day[33].

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[26] Welsh Government Press Release, Testing capacity increased to identify Omicron variant in Wales, 9th December 2021
[27] Welsh Government Press Release, Testing capacity increased to identify Omicron variant in Wales, 9th December 2021
[28] Welsh Government Minister for Health and Social Services Oral Statement, Update on Covid-19, 30th November 2021
[29] BBC News, Covid: Welsh Minister warns against Christmas socialising, 30th November 2021
[30] BBC News, Covid: Welsh Minister warns against Christmas socialising, 30th November 2021
[31] SAGE 99 minutes: Coronavirus (Covid-19) response, 16th December 2021
[32] SAGE 99 minutes: Coronavirus (Covid-19) response, 16th December 2021
[33] SAGE 99 minutes: Coronavirus (Covid-19) response, 16th December 2021

**2.20**  On the 17<sup>th</sup> December, as part of the Welsh Government's three weekly review, additional changes to Covid measures and guidance were announced. In expectation of a sharp rise in Omicron cases across Wales, the Welsh Government issued strong advice to the public to get their booster vaccination when they are called, to take a lateral flow test prior to going shopping or meeting with others, meeting outdoors rather than indoors and ensuring indoor spaces are ventilated, space out socialising (leaving at least a day between events) and following social distancing maintaining good hygiene and wearing a face covering[34].  The Coronavirus regulations have been amended to place a legal duty on employers to allow employees to work from home where possible and practical[35]. The most significant changes announced related to the period after Christmas (27<sup>th</sup> December) onwards where the Welsh Government outlined that some businesses, shops and offices will be required to reapply social distancing measures including one ways systems/barriers and from the 27<sup>th</sup> December Night Clubs will close[36]. In reflection of the impact this will have on some businesses, the Welsh Government announcement £60m of financial support for those businesses impacted by the introduction of these new restrictions[37].

### Travel arrangements

**2.21**  Although the UK Government and Welsh Government had previously relaxed travel restrictions at the end of October[38], the emergence of the Omicron variant prompted a rapid response and consequently changes to the travel arrangements. Following the announcement of Omicron as a variant of concern, the UK Government announced that as of the 30<sup>th</sup> November, all international arrivals will be required to take a day 2 PCR test and self-isolate until they receive a negative test[39]. However, if they receive a positive result, they will be required to continue to self-isolate for 10 days[40]. In addition to this, a 48-hour pre-departure test was also introduced for all travellers. This requires all travellers have a negative PCR or lateral flow test as close as possible to their departure time in order to travel[41]. All unvaccinated travellers from non-red list countries will be required to take a PCR test at days 2 and 8 and to self-isolate for the full 10 days[42]. Travel restrictions were also imposed on 10 countries (as at the 30<sup>th</sup> November) including South Africa, Botswana, Lesotho, Eswatini, Zimbabwe, Namibia, Malawi, Mozambique, Zambia and Angola which were added to the

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[34] Welsh Government Written Statement, Review of Health Protection (Coronavirus Restrictions) (No.5) (Wales) Regulations 2020, 17<sup>th</sup> December 2021

[35] Welsh Government Written Statement, Review of Health Protection (Coronavirus Restrictions) (No.5) (Wales) Regulations 2020, 17<sup>th</sup> December 2021

[36] Welsh Government Written Statement, Review of Health Protection (Coronavirus Restrictions) (No.5) (Wales) Regulations 2020, 17<sup>th</sup> December 2021

[37] Welsh Government Written Statement, Review of Health Protection (Coronavirus Restrictions) (No.5) (Wales) Regulations 2020, 17<sup>th</sup> December 2021

[38] Removing the requirement for double vaccinated people entering the UK to take PCR test and instead take a lateral flow.

[39] Welsh Government Written Statement, International travel changes, 29<sup>th</sup> November 2021

[40] Welsh Government Written Statement, International travel changes, 29<sup>th</sup> November 2021

[41] Welsh Government Cabinet Statement, International travel changes, 5<sup>th</sup> December 2021

[42] Welsh Government Written Statement, International travel changes, 29<sup>th</sup> November 2021

UK's travel red list[43]. Nigeria was also added to the Red list on 6th December[44]. Any traveller from red list destinations were not be permitted to enter Wales, and instead were required to enter into England or Scotland where they will be transferred to a managed quarantine facility for 10 days[45]. They were also be required to carry out PCR tests on day 2 and 8 following their arrival[46]. However, now that the variant is well established in the UK the Welsh Government have since confirmed the removal of the 11 countries from the red list (in line with the rest of the UK) as of 15th December[47].

**Education**

2.22    In relation to schools, the Welsh Government amended its advice and guidance to learners in secondary school and colleges who are under 18 and have a household member who has tested positive for Covid-19. The new advice recommends that in addition to taking a PCR test on day 2 and 8, learners should also take a lateral flow every day for 7 days[48]. These changes came into effect from the 11th October. There was also a recommendation that for children under the age of 5 no long need to take a test without symptoms[49]. Similarly, tests will not be routinely recommended for under 5-year-olds with symptoms unless directed by their doctor or if the parent feels it's in the best interests of the child[50]. The Minister for Education and Welsh Language also outlined that vaccinated staff working in special educational provision who are identified as a contact will be subject to a risk assessment and be required to have a negative PCR test prior to attending work and continue to take daily lateral flow tests[51].

2.23    In response to the emerging threat associated with the new variant Omicron, the Minister for Education and Welsh Language, Jeremy Miles has outlined that all learners in secondary schools (year 7 upwards), colleges, universities and staff wear face coverings indoors where social distancing can't be maintained[52]. This guidance also applies to staff and visitors at all schools and childcare settings. This precautionary measure remained in place until the end of the term and will be subject to review[53].

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[43] 43 UK Government Press Release, Prime Minister sets out new measures as Omicron variant identified in UK, 27th November 2021

[44] Welsh Government Cabinet Statement, International travel changes, 5th December 2021

[45] Welsh Government Written Statement, International travel changes, 27th November 2021

[46] Welsh Government Written Statement, International travel changes, 27th November 2021

[47] Welsh Government, Written Statement: International travel changes, 14th December 2021

[48] Welsh Government Written Statement, Future arrangements for Covid-19 testing for children and young people and for staff working in special schools and colleges, 5th October 2021

[49] Welsh Government Written Statement, Future arrangements for Covid-19 testing for children and young people and for staff working in special schools and colleges, 5th October 2021

[50] Welsh Government Written Statement, Future arrangements for Covid-19 testing for children and young people and for staff working in special schools and colleges, 5th October 2021

[51] Welsh Government Written Statement, Future arrangements for Covid-19 testing for children and young people and for staff working in special schools and colleges, 5th October 2021

[52] Welsh Government Written Statement, Omicron variant of concern- school operations, 30th November 2021

[53] Welsh Government Written Statement, Omicron variant of concern- school operations, 30th November 2021

**2.24** In light of the emerging picture, the Welsh Government updated its guidance to schools and advised that schools across Wales use the first two days of term after the Christmas break as planning days to assess staff capacity and put in place any measures to ensure the safe return of all learners using the local infection control framework[54]. The two planning days also allow for an opportunity to ensure there are robust  plans in place should a move to remote learning be required[55].

**2.25** In order to reduce the risks of Covid transmission and make environments safer for learning, the Welsh Government announced a £3.31 million of funding to improve the ventilation in schools, colleges and universities in Wales[56]. This announcement follows the roll out of $Co_2$ monitors across education settings[57]. Approximately 30,000 of $Co_2$ 'traffic light' monitors are due to be provided to local authorities to distribute to classrooms, and lecture halls with guidance issued on how to use the new monitors/sensors[58]. For reoccurring $CO_2$ issues, schools, colleges and universities will be able to access funding to undertake improvement works[59].

### Recovery & funding

**2.26** In a written statement the Deputy Minister for Social Services, confirmed £36.6m funding for well-being support for children and families to support recovery from the pandemic[60]. The allocation includes £16.6m of capital funding for childcare settings, play settings (includes Flying Start) with £5m specifically to enabled increased play opportunities in line with play sufficiency assessment action plans to be allocated via local authorities[61]. There will be £20m of funding allocated to build on the 'summer of fun' projects that will aim to increase opportunities for children and young people to participate in play and physical activities that will develop their social, emotional and physical well-being[62].

**2.27** In response to the challenges facing health and social care, the Welsh Government confirmed that an additional £42m of funding to support social

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[54] Welsh Government, Schools: Coronavirus Guidance, 16th December 2021
[55] Welsh Government, Schools: Coronavirus Guidance, 16th December 2021
[56] Welsh Government Press Release, Funding to improve ventilation in schools and learning environments, 14th October 2021
[57] Welsh Government Press Release, Funding to improve ventilation in schools and learning environments, 14th October 2021
[58] Welsh Government Press Release, Funding to improve ventilation in schools and learning environments, 14th October 2021
[59] Welsh Government Press Release, Funding to improve ventilation in schools and learning environments, 14th October 2021
[60] Welsh Government Written Statement, £36.6m to support families and children recover from the pandemic, 6th October
[61] Welsh Government Written Statement, £36.6m to support families and children recover from the pandemic, 6th October

[62] Welsh Government Written Statement, £36.6m to support families and children recover from the pandemic, 6th October

care, some of which will be used to ease the pressure on hospital beds[63]. This funding announcement is in addition to the recently announced £248m for the NHS Covid Recovery Fund[64]. The £42m of social care funding will focus on improving hospital discharges, expanding community services, so that people can receive the right care at home and thus prevent hospital admissions and thereby relief pressure on bed capacity in hospitals[65].

**2.28**    Alongside this, the Welsh Government published their Health and Social Care Winter Plan. This plan looks to build resilience within our health and social care services in what is anticipated to be a challenging winter.

**2.29**    In line with this plan, the Welsh Government outline that each Regional Partnership Board has been asked to provide a plan for how it will address the priorities set out in the Winter Plan[66].

**2.30**    In addition to the additional £60m of financial support announced by the Welsh Government to support businesses detrimentally impacted by the reintroduction of Covid restrictions, the Welsh Government announced as part of its annual budget for 2022-23 that business will be eligible for 50% reduction in their business rates[67]. This 50% reduction to business rates will apply to shops, pubs, restaurants and leisure businesses from April 2022 costing around £1.16m with a cap applied to each business (£110,000 per business)[68]. As part of this budget announcement, the Welsh Government have also committed to spend an extra £1.3bn on the Welsh NHS and an extra £750m for councils[69].

**Infection rates**

**2.31**    At the end of quarter 2, the latest coronavirus data available for a rolling seven days (between 27th September-3rd October) showed there had been 844 cases identified in the Vale of Glamorgan, with a case rate of 631.8 per 100,000 population and there was a positivity rate of 17.9%[70]. Since then, infection rates in the Vale have remained relatively stable. The latest coronavirus data for a 7-day rolling period (between 13th-19h December) showed that there had been 827 cases identified in the Vale of Glamorgan, with a case rate of 619.1 per 100,000 (slightly down than at the start of October) but with a positivity rate of 20.3%[71].

[63] Welsh Government Written Statement, 'We are bracing ourselves for one of the hardest winters we have ever faced, but will keep essential services running' vows NHS Wales Chief Executive, 21st October 2021
[64] Welsh Government Written Statement, 'We are bracing ourselves for one of the hardest winters we have ever faced, but will keep essential services running' vows NHS Wales Chief Executive, 21st October 2021
[65] Welsh Government Written Statement, 'We are bracing ourselves for one of the hardest winters we have ever faced, but will keep essential services running' vows NHS Wales Chief Executive, 21st October 2021
[66] Welsh Government Written Statement, Health and Social Care Winter Plan 2021-22, 21st October 2021
[67] BBC News, Welsh Budget: Retail and pubs to get 50% off rates next year, 20th December 2021
[68] BBC News, Welsh Budget: Retail and pubs to get 50% off rates next year, 20th December 2021
[69] BBC News, Welsh Budget: Retail and pubs to get 50% off rates next year, 20th December 2021
[70] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area,
[71] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area

**2.32** Across Wales as a whole, infection rates over the same period have increased slightly but remained relatively stable. Across Wales case rates per 100,000 increased from 480.3 (between 27th September -3rd October) to 509.7 (between 13th-19th December). Positivity rates across Wales as a whole have increased from 15% (between 27 September-3rd October) to 19.3% (13th -19th December)[72]. Despite rates appearing relatively stable, Public Health Wales' Dr Giri Shankar has warned of a 'tsunami of infections' over the coming weeks in light of the Omicron variant[73].

**2.33** In terms of hospitalisations and deaths we continue to see the positive impact of the vaccination campaign. At the week ending the 12th December, 5% (77) of all inpatients (1,482) in hospital within the Cardiff and Vale University Health Board Trust were confirmed as Covid positive cases[74]. This is similar pattern across the rest of Wales where 4% (455) of all inpatients (11,537) across Wales were confirmed Covid cases (week ending the 12th December)[75]. These inpatient numbers remain far lower than that seen during the peak of the second wave in December 2020.

**Vaccination progress**
Significant strides continue to be made with the Covid booster vaccination programme. As at the 14th December, more than 5.9 million doses of vaccine have been administered across the whole of Wales[76]. This consists of more than 2.47 million people receiving their first dose and over 2.28million receiving their full course[77]. The Welsh Government confirmed that as at the 14th December over 1.1 million booster vaccinations had been administered across Wales[78]. In terms of protecting our most vulnerable in society, as at 14th December 85% of care home residents, 67% of care home staff and more than 80% of those aged 65 and over received their booster dose across Wales[79].

**2.34** On the 15th November in a written statement, the Minister for Health and Social Services outlined that the Joint Committee on Vaccination and Immunisation (JCVI) have recommended that a second dose of vaccine be offered to young people aged 16-17 years old, as they have found a second dose provides more durable protection against Covid-19[80]. The JCVI have recommended that this second dose be provided 12 weeks or more after their first dose[81]. In the same written statement, the Minister also announced and extension to the booster campaign to a further cohort. Based on recommendations from the JCVI, the

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[72] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area,

[73] BBC News, Covid: Wales likely to see a 'tsunami of Omicron cases', 19th December 2021

[74] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area,

[75] Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area,

[76] Welsh Government, Covid-19 vaccination programme weekly update, 14th December 2021

[77] Welsh Government, Covid-19 vaccination programme weekly update, 14th December 2021

[78] Welsh Government Written Statement, Covid-19 Vaccination-Progress against Strategy, 14th December 2021

[79] Welsh Government Written Statement, Covid-19 Vaccination-Progress against Strategy, 14th December 2021

[80] Welsh Government Written Statement, Covid-19 vaccination-JCVI advice on 16 and 17 year olds and extending cohorts for the booster vaccination, 15th November 2021

[81] Welsh Government Written Statement, Covid-19 vaccination-JCVI advice on 16 and 17 year olds and extending cohorts for the booster vaccination, 15th November 2021

Minister confirmed that all those aged 40-49 years old will be offered a booster vaccine 6 or months after their second dose[82].

2.35   In response to the emergence of the new variant, Omicron, the JCVI further updated its advice regarding the expansion of the Covid booster campaign to younger adults. It is thought that the Omicron variant is better at evading our immunity, and emerging evidence implies that two doses of vaccine are not enough, but an additional booster is required to enhance our protection from illness and potential hospitalisation[83]. In light of this, the JCVI amended its previous advice to say that all adults should be offered a booster vaccine. Under this new advice all those aged 18-39 years will now also be eligible for a booster in addition to the previous age groups and categories already mentioned[84]. JCVI outline that the booster should be offered in order of descending age groups, but with priority given to older adults and those in a Covid-19 at risk group[85]. In addition to this, the JCVI have recommended reducing the window between primary (second dose) and booster doses from 6 months to 3 months[86]. As part of this announcement the JCVI also recommended that a second dose of the Pfizer-BioNTech vaccines be offered to all 12–15-year-olds no sooner than 3 months after their first dose[87].

2.36   Although the focus of the vaccination programme continues to be on targeting younger age groups, where there are more vaccine-hesitant communities this is now been done concurrently with accelerating booster and third dose vaccinations. The vaccination coverage across Cardiff and the Vale of Glamorgan continues to make good progress. As at the 20th December, the total number of doses of vaccines administered in Cardiff and the Vale of Glamorgan was 942,681 (comprising of 389,817 first doses, 354,832 second doses, 191,309 boosters and 6,673 third doses). Cardiff and Vale UHB's Vaccination figures showed that 70.5% of individuals aged 18-29 and 46% of 16–17-year-olds completed their primary dose (two doses of vaccine) compared to vaccine uptake rates of over 90% for those over 60 years old (as at the 20th December)[88]. Following the Welsh Government's decision to proceed with offering a vaccine to all children and young people aged 12-15 years old with parental/guardian consent, as at the 20th December 56.2% of this cohort (in Cardiff and the Vale UHB area) had received their first dose and 4.8% had received their second dose. This data is reported on a daily dashboard by the Cardiff and Vale Health Board.

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[82] Welsh Government Written Statement, Covid-19 vaccination-JCVI advice on 16 and 17 year olds and extending cohorts for the booster vaccination, 15th November 2021
[83] Welsh Government Written Statement, Covid-19 Vaccination-Progress against Strategy, 14th December 2021
[84] UK Government Press Release, JCVI advice on COVID-19 booster vaccines for those aged 18-39 and a second dose for ages 12-15, 29th November 2021
[85] UK Government Press Release, JCVI advice on COVID-19 booster vaccines for those aged 18-39 and a second dose for ages 12-15, 29th November 202
[86] UK Government Press Release, JCVI advice on COVID-19 booster vaccines for those aged 18-39 and a second dose for ages 12-15, 29th November 2021
[87] UK Government Press Release, JCVI advice on COVID-19 booster vaccines for those aged 18-39 and a second dose for ages 12-15, 29th November 2021
[88] Data published on the Cardiff and Vale Vaccination Dashboard on a daily basis.

2.37   In response to the JCVI advice and the potential threat Omicron poses to public health, the Welsh Government confirmed that it would ramp up the roll out of the booster campaign in line with the rest of the UK and outlined plans to offer all eligible adults a booster by the end of December 2021[89]. In order to significantly accelerate the vaccination programme, the Welsh Government confirmed that Health Boards will be expanding their vaccination sites, extending their opening hours into evenings and weekends, developing the provision of walk-in sessions for certain age groups along with appointments for the most vulnerable[90]. This acceleration of the vaccination programme will be done in collaboration with GPs, local pharmacies, local government, fire service and support from students with a further request for support from the military[91].

2.38   **Brexit**- There have been some developments and emerging issues as follows:

**Trade deal**

2.39   On the 20th October, the UK Government announced that the UK has agreed a free trade deal with New Zealand[92]. The deal focuses on removing bureaucracy and trade tariffs on UK exports as well as making it easier for UK professionals to live and work in New Zealand[93].

2.40   In a written statement, the Welsh Government said they acknowledge the trade deal has potential benefits to Wales but were awaiting further details regarding the nature of this new trade deal[94]. The Welsh Government note their concern regarding the cumulative impact of offering significant increases in the agricultural market access could have on the domestic agricultural sector[95]. Once the final details of the deal are clear, the Welsh Government have confirmed that they will analyse the impact on Wales and will publish this in a report in due course[96].

**Northern Ireland Protocol**

2.41   The situation regarding the Northern Ireland Protocol has continued to escalate. The UK and the EU have continued to disagree over the handling of post-Brexit trade arrangements in Northern Ireland. Talks held between the UK and EU have throughout October and November have remained fraught and have not yielded any agreement. The UK is seeking to make fundamental changes to the protocol's governance and operation, whilst the EU is looking to make some more modest changes[97]. The lack of any potential resolution led to Lord Frost (Brexit Minister) indicating that triggering Article 16 remained a 'legitimate

[89] Welsh Government Press Release, First Minister outlines ambitious aim to offer all eligible adults a booster appointment by end of year, 13th December 2021
[90] Welsh Government Written Statement, Covid-19 Vaccination-Progress against Strategy, 14th December 2021
[91] Welsh Government Written Statement, Covid-19 Vaccination-Progress against Strategy, 14th December 2021
[92] UK Government Press Release, UK agrees historic trade deal with New Zealand, 20th October 2021
[93] UK Government Press Release, UK agrees historic trade deal with New Zealand, 20th October 2021
[94] Welsh Government Written Statement, UK-New Zealand Free Trade Agreement, 21st October 2021
[95] Welsh Government Written Statement, UK-New Zealand Free Trade Agreement, 21st October 2021
[96] Welsh Government Written Statement, UK-New Zealand Free Trade Agreement, 21st October 2021
[97] BBC News, Northern Ireland Protocol: No breakthrough after latest talks, 29th October 2021

option' if a resolution could not be found[98]. Article 16 of the protocol sets out the process for putting in place 'safeguard' measures in the event it is determined that the deal is causing severe detriment or causing diversion of trade[99]. There has since been a more constructive tone emerge from both the UK and EU. The Irish Prime Minister, Mícheál Martin acknowledged this shift change and indicated there is potential for the issues to be resolved before Christmas[100]. Although this outlook has been mirrored by Lord Frost, the Minister has cautioned that the new proposals made by the EU will not solve the issues around checks and processes for goods entering Northern Ireland from the UK[101]. Lord Frost added 'we keep talking and we're seeing if we can move this forward in a way that does produce consensus'[102]. The UK Government's position is to propose that goods should be able to move freely from the UK into Northern Ireland if they remain in Northern Ireland[103]. Discussions regarding the protocol remain ongoing.

### EUSS scheme

2.42    Despite the passing of the deadline for EUSS applications, the Welsh Government have recognised that there is a continued need for ongoing support for EU/EEA and Swiss residents. On the 20th October 2021, the Welsh Government announced that they will continue to provide funding to Citizens Advice Cymru, Settled (third sector organisation) and Newfields Law (immigration law specialists) to continue to provide support to EU/EEA and Swiss nationals until at least 31st March 2022.[104] The scope of this support has widened to include support for late applications, appeals against refusals of applications, support for conversions from pre-settled to settled status as well as supporting applications to join family members, rights and entitlement and general information sharing[105].

### Driver shortages & supply chain costs

2.43    A continuing area of risk (partly associated with Brexit) has been the lorry driver (HGV/LGV) shortage which has been linked to supply chain/service disruption and food/product shortages across multiple sectors.

2.44    From the 15th November, the UK Government introduced new driving licence changes to streamline tests. These changes relate to HGV driving tests, where drivers will only be required to undertake one test to drive both rigid and articulated lorries instead of the previous two separate tests[106]. The test has also

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[98] BBC News, Brexit: What is Article 16 of the Northern Ireland Protocol?, 19th November 2021

[99] BBC News, Brexit: What is Article 16 of the Northern Ireland Protocol?, 19th November 2021

[100] BBC News, NI Protocol: Deal can be done, says Lord Frost, 18th November 2021

[101] BBC News, NI Protocol: Deal can be done, says Lord Frost, 18th November 2021

[102] BBC News, NI Protocol: Deal can be done, says Lord Frost, 18th November 2021

[103] BBC News, NI Protocol: Deal can be done, says Lord Frost, 18th November 2021

[104] Welsh Government, Written Statement, Continued Support for EU citizens wishing to stay in Wales, 20th October 2021

[105] Welsh Government, Written Statement, Continued Support for EU citizens wishing to stay in Wales, 20th October 2021

[106] UK Government, Guidance: Changes to HGV and bus driving licences and tests from 15 November 2021, Updated 16th November 2021

been made shorter removing some aspects such as the 'reversing exercise' and for vehicles with trailers the 'uncoupling and recoupling' exercise. It is hoped these changes will free up the capacity of examiners to undertake and process more tests to address the lorry driver application backlog.

**2.45** Despite this, driver shortages in combination with inflationary rises and escalating material costs continue to be an area of concern for the council in terms of impacting on both service delivery and our progression of key capital programme projects. Although these issues are not solely due to Brexit, it has served to exacerbate problems. In relation to escalating material costs, the Council closely monitors all its capital programme costs to identify areas of cost pressures and impact on viability of programme delivery. In response to driver shortage issues being experienced across primarily our waste teams, the service has recently had approved (under Emergency Powers) 12 new permanent LGV driver posts to secure the retention of previous temporary/agency staff. Into the longer term, the Council intends to explore the creation of driver/loader posts that will enhance service resilience. This will look to upskill our existing loaders to be trained as drivers commencing in 2022. It is hoped this will enable us to become less reliant on agency/temporary drivers whilst creating resilience and flexibility within the teams to ensure continuity of services.

**2.46** In response to these emerging issues (alongside others), our Senior Leadership Team (SLT) have adopted a risk/issue-based format for their fortnightly Gold meetings. This will enable proactive and close monitoring of a range of corporate risks/issues (including Brexit) and the identification of mitigating actions to ensure strategic oversight of key areas of concern.

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

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

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

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

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

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

## 4. Resources and Legal Considerations

**Financial**

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

**Employment**

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

**Legal (Including Equalities)**

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

## Background Papers

Corporate Risk Management Strategy.

# VALE OF GLAMORGAN COUNCIL

# CORPORATE RISK SUMMARY REPORT

## QUARTER 2 APRIL 2021- SEPTEMBER 2021

Strong Communities with a Bright Future

## CORPORATE RISK EXECUTIVE SUMMARY:

### 1.0 Risk Overview:

There are 18 corporate risks on the Register two of which are new risks recommended for inclusion. These are CR17: Market Fragility and CR18: Demand Management & Service Capacity.

### 1.1 Risk Statuses:

- 6 risks scored medium/high and 10 risks scored medium. There has not been any significant movement in risks statuses during the second quarter of the year, with the exception of the Workforce risk that has been elevated to a medium/high status (8) on the Register. The two new risks, CR17: Market Fragility and CR18: Demand Management & Service Capacity have both been assessed as high risk with a score of 12. **(See Section B, C & D)**

### 1.2 Direction of Travel:

- The majority of risks on the Register have maintained their static position with the exception of Workforce risk that has escalated from a medium status (6) in quarter 1 to a medium/high status (8) in quarter 2.
- The Workforce risk has continued to escalate over the last quarter, in reflection of how key drivers such as the pandemic and Brexit are influencing this risk.
- A more detailed analysis of the quarter 2 position is outlined in the evolving risks section below.

### 1.3 Forecast Direction of Travel (See section B):

- The forecast direction of travel for risks on the Register have predominately remained the same. Both the Information Security and integrated health and social care risk are forecast to drop, whilst Reshaping, School Reorganisation, Environmental Sustainability, Welfare Reform and Brexit are still anticipated to continue to rise over time.
- **Reshaping risk**- We anticipate that this risk has the potential to continue to rise in response to the financial impact the Pandemic has had on the Council and the additional pressures it has placed on our resources in terms of our recovery and our capacity to then deliver future transformation projects.
- **School Reorganisation/Investment**- We forecast this risk will increase over time in relation to 21st Century school investment programme. Supply issues and the escalating cost of materials continues to have an 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. Without additional funding from the Welsh Government to address these market changes any up-and-coming schemes may not be feasible within current budgets. It is still uncertain whether additional investment from the Welsh Government will be available to mitigate the increased costs.
- **Environmental Sustainability**- it is anticipated that this risk will continue to maintain it upward trajectory given that the pressures associated with climate change continue to escalate over time. In response to the Council declaring a Climate Emergency, the Council established Project Zero that sets out the Council's commitment to reduce carbon emissions to net zero by 2020. In July a Climate Change Challenge Plan was approved by Cabinet that sets out the 18 challenges we face and the actions we intend to take to address these challenges. A Senior Reporting Officer has been identified against each of the challenges who will make up a Project Board to oversee delivery of the Plan. In addition to this, a Project Zero Support Team has been established in order to progress forwards some of the key activities of the programme of work. A more detailed overview of our progress with Project Zero and the Climate Change Challenge Plan is outlined in a Cabinet report on the 25th October 2021.

- **Welfare Reform**- it is forecast that this risk is likely to rise in response to the changing risk landscape. More recent developments regarding the cut to the additional £20 per week Universal Credit, the 1.25% increase in National Insurance rate contributions, escalating energy prices and rising inflation are all likely to contribute to driving this risk in an upwards direction. These pressure points are expected to put an additional financial squeeze on citizens from low-income households, which in turn could impact on their ability to pay bills, heat their homes, feed themselves and sustain tenancies.
  **Brexit**- continues to present as a volatile and unpredictable risk, and given the recent supply chain issues, price rises and shortages in HGV drivers, it is anticipated that this risk has the potential to increase over time. Although the UK remains in ongoing dialogue with the EU following its departure, there are a number of areas that remain contentious that have the potential to further compound issues associated with supply chain and produce/material costs. This in turn could impact on the Council's resources and service delivery.   We will continue to maintain a watching brief over future quarters to monitor shift changes in this risk.
  **Information Security Risk**- Despite the complex threat landscape worsening, it is anticipated that this risk will shift in a downwards direction subject to ransomware protection software being agreed and implemented.
  **Integrated Health and Social Care**- this risk continues to be well controlled with the existing mitigations. We forecast that this risk will diminish over time now that our pathway for recovery from the pandemic is clearer and services are beginning to resume. It is anticipated that this will give us the ability to progress the integration work once again. A more detailed overview of the status of this risk and the key drivers behind it are outlined in the section below.

## 1.4  Risk Management Plans:
- Excellent progress has been made during quarter 2 in relation to the actions associated with the Risk Management Plans across all aspects of the Register.
- In total there are 228 mitigating actions currently being monitored via the Register, the majority of which are also aligned to a Corporate Plan activity. During quarter 2, we have been able to assign a RAG status to 225 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 E**)
- During quarter 2, a total of 2% (5) actions were Green and completed, 92% (208) actions were Green and on track, 3% (6) of actions were allocated an amber status, indicating minor slippage and 3% (6) were allocated a red status for their slippage. A full breakdown of these individual exceptions along with a rationale is provided in **Section F**.

## 2.0 Update on evolving risks:

## 2.1 Integrated Health and Social Care-
- Recommendations arising from the Parliamentary Review of Health and Social Care have cemented the need for 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.
- The Welsh Government's Healthier Wales Action Plan defines how it intends to transform health and social care with a focus on developing models of seamless local health and social care so that there is better integration between health and social care services[1]. It's the main policy driver behind the integration of health and social care services in Wales. The Healthier Wales agenda advocates for the development of services that are delivered fluidly through a

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[1] Welsh Government, A Healthier Wales: Our Plan for Health and Social Care, 2019

- single whole system approach and as close to home as possible[2]. This means delivering services in a coordinated way by professionals in the right way, time and place. Alongside this the Social Services and Wellbeing Wales Act 2014 also endorses collaboration and the need for joined up services between health and social care. Historically in the Vale there has also been a focus on integration through the way we have structured the Adult Services division with an integration post whose remit spans across the organisational boundaries of both health and social care.

- There are clear benefits to integrating health and social care services, as it supports an environment of trust where information sharing between partners is beneficial to achieving positive outcomes for citizens. The establishment of multidisciplinary teams enables the sharing of skills and expertise and enables a person-centred approach to service delivery. An added workforce benefit of integration is that it fosters a more efficient, effective, and resilient workforce where staff are able to work innovatively, flexibly and collaboratively. As a consequence, integrated teams have an appreciation and understanding of each other's roles and responsibilities in working towards common goals and better outcomes for our citizens. There are also financial benefits of pooling budgets that are currently managed on an informal basis where the Senior Responsible Officer for integration projects has a strong footing across both the NHS and Social Services.

- Our approach to the integration of health and social care services has been developed with our ageing population in mind. The Parliamentary Review of the Long-Term Future of Health and Social Care identified the need for a whole system change if we are to effectively meet growing needs of our ageing population.

- Although this risk continues to be well controlled through existing mitigations, a number of key drivers continue to impact on this risk. Demographic changes in the Vale of Glamorgan are having a significant impact on our capacity to meet the rising demand for our services. In 2020, ONS estimated that 21% of the Vale of Glamorgan's population were aged 65 and over[3]. Based on mid-year 2020 estimates, there has also been a significant growth in the population aged 65 and over, where the population has been estimated to have grown by 11.33% since 2014[4]. Between 2019 and 2039, it is projected that the Vale of Glamorgan is likely to see the greatest increase of local authority areas in population aged 65 and over[5]. Projections indicate that between 2019 and 2039 the Vale of Glamorgan's population aged over 65 is likely to grow by 22% (10,170 people[6]. As a consequence, demand management is likely to remain an ongoing challenge for the integration of services and being able to manage expectations whilst meeting the growing complexity needs of our ageing population. The challenge going forward is on developing effective ways of collaborating with our partners to adapt our adult care pathways, so that we can meet the ever-growing complexity of needs of our citizens whilst preventing hospital admissions and enabling older people to live as independently as possible. In addition, to reflecting the impact that demographic changes are having on demand management in relation to this risk there are also other key risks associated with our capacity and resourcing (see Market Fragility risk and Demand Management & Service Capacity risks in section 3 below).

- The Pandemic has significantly challenged our capacity to look at longer term solutions. Workforce capacity constraints have impacted on our ability to progress new integration opportunities. Equally, integration is a long-term goal that is funded through short term means. The Social Care Recovery Fund that was established is due to come to end in March 2022 which will impact on our ability to address backlogs and fully support recovery through new and innovative integration pathways. The risk is that innovation and pace of integration will be

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[2] Welsh Government, A Healthier Wales: Our Plan for Health and Social Care, 2019
[3] Stats Wales, Mid-year 2020 Population Estimates by local authority, region and age
[4] Stats Wales, Mid-year 2020 Population Estimates by local authority, region and age
[5] Stats Wales, Population projection components of change by local authority and year
[6] Stats Wales, Population projection components of change by local authority and year

slowed by a lack of sustainable funding and limitations on the capacity of our partners to move forward the integration agenda when the focus continues to be on recovery in addressing backlogs, waiting lists and meeting acute needs.

- Based on the above current position of this risk and our ongoing mitigations to date, it is recommended that the risk maintains its medium (6) status. Despite the risks and challenges that lie ahead, overall, we remain optimistic that this risk will further diminish over time as our recovery plans take effect in addressing backlog and that our learning from the pandemic is used to further the pressures associated with supporting the ongoing efforts regarding the pandemic.

- The pandemic has also afforded us the opportunity to pause and reflect on our learning from the pandemic to inform further development of integration and future delivery models.

## 2.2 Workforce

- During quarter 2, the workforce risk has continued to escalate in response to the growing workforce pressures that have being experienced across the Council. Consequently, this has heightened the risk score from a 6 (Medium) to an 8 (Medium/High) status on the Register. This escalation in the risk score reflects the growing impact that both the pandemic and Brexit has had on some aspects of this risk.

- During quarter 1, we previously noted that we were beginning to see an upward trend in our turnover data Although it was reported that this turnover, was not as high as previous years.(During quarter 2 our turnover figures for the period increased to 4.12% above our quarter 2 target of 3.73%. In comparison with the same period last year, our voluntary turnover figures have almost doubled, as in quarter 2 2020/21 our voluntary turnover stood at 2.69% increasing to 4.16% in 2021/22. Although our voluntary turnover figures remain higher than that of the same period last year, it is still below the turnover figures reported in quarter 2 of 20219 /20, where turnover was 5.29%. This rise in voluntary turnover during 2021/22 corresponds with the opening up of economy following the easing of coronavirus restrictions. We will continue to maintain a watching brief on this alongside the other emerging workforce pressures to are assess impact fluctuations in turnover are likely to have on compounding existing workforce pressures in terms of recruitment/retention across the Council (especially in those service areas which are experiencing the highest levels of vacancies).

- This fluctuation in turnover in part, is likely to have been influenced in part by the effects of the pandemic. As a consequence of the pandemic, there is now greater mobility in the workforce market than ever before. With the dawn of more flexible and remote working, this offers up opportunities for individuals to apply for positions further afield. As a consequence, the Council is not just competing in a local jobs market any longer but one that spans much further afield. Consequently, this has the potential to impact greater levels of attrition in the workforce over time.

- The other key driving force elevating the workforce risk is the increased absence rates, that we are witnessing. During quarter 2, 4.95 days/shifts were lost per FTE which is above our quarter 2 target of 4.15 days/shifts per FTE and is significantly higher than the same period last year were days/shifts lost per FTE was 3.40. The current quarter 2 position has also worsened when compared to the same period in 2019, where absence rate was 4.74 days/shifts per FTE. This rise was anticipated and reflects the impact the pandemic has had on the wellbeing of our staff. As a consequence of the pandemic, we have seen a rise in absences associated with stress and anxiety and equally we are beginning to see more people accessing treatment/surgeries in hospitals all of which are contributing to higher absence rates. Alongside the rise in staff absences, we have also seeing a greater demand for our counselling services.

- In terms of staff shortages there are significant pressures across social care, which is in keeping with the national picture and these challenges are both internal and external to the council. The

greatest area of pressure currently being experienced is in relation higher staff turnover/shortages in relation to care home and domiciliary care staff supporting adults and the recruitment and retention of social workers (particularly within Children and Young People Services teams at the front door).

- Recruitment and retention to social work positions within children's services continues to be an ongoing challenge, as these frontline roles are often perceived as demanding and stressful and consequently carry the higher vacancy rates. An added layer of challenge is that we pay our Social Work staff based on agreed union negotiated salary agreements, but agency staff sit outside this agreement. As a consequence, agency social work positions are more attractive to staff.

- Equally within adult services, there are significant shortages of care home and domiciliary care staff across our adult services teams as well as across our commissioned care providers. The pandemic has shone a light on how demanding and challenging these roles can be. A key driving force behind high vacancy rates is that the pay within the sector is not competitive enough to attract people to the profession. There is also a lack of parity in pay between social care and NHS for undertaking similar skill level roles. Within the NHS there has in recent years been a significant push to recruit more Health Care Support Workers (which are of a comparable skill level of a social care support worker/care/domiciliary care staff) threatens to destabilise an already fragile workforce sector. Early-stage discussions have taken place regarding the potential to create Integrated Health and Social Care Apprenticeships. If this approach proves feasible, it could potentially be rolled out more widely across service areas.

- The Vale of Glamorgan Council remains committed to ensuring that its staff are renumerated fairly and recognised for their work, and in so doing have strived to ensure uplift in pay. For example, our lowest pay scale across the establishment is only 8 pence adrift of the living wage and annually we ensure that any national pay agreements (as agreed via the National Joint Council for Local Government Services) are honoured and applied. However, a key issue is that our influence over the labour market and what we pay is largely governed by the National Joint Council for Local Government Services via a nationally agreed pay agreement and in terms of how we commission providers much of this is dictated by/limited by budget/funding we get from Welsh Government.

- To address the existing workforce pressures in relation to Social Services, a Strategic Workforce Planning Group has been established for Social Services and the associated capacity planning group is being led by a Principal HR Business Partner. We are working closely with Social Care Wales in relation to a number of our workforce issues with a particular emphasis on attraction and recruitment via their We Care Wales programme. To enhance recruitment of domiciliary and care home staff we are also developing a fast-track recruitment programme in the Vale that will enable us to recruit and train new starters in tandem, so that they become work ready quicker. It is intended that this fast-track programme will be piloted in January and subject to its success will be implemented as part of a rolling programme.

- In addition to the acute workforce pressures across Social Services and the wider sector, the Council continues to experience recruitment and retention across other service areas. Staff shortages continue to be problematic in waste services in relation to a lack of HGV/LGV drivers, which reflects the national position with driver shortages. We anticipate this will continue to be a challenge for the foreseeable future. Good progress has been made by the service area to look at ways to mitigate the risks to ensure service continuity. We have recently obtained emergency powers to authorise the appointment of 12 new permanent LGV driver posts to secure temporary and agency staff we had previously working in the service area to secure retention and permanency of staff.

- As a long-term strategy, we intend to explore the creation of driver/loader posts that will give us more resilience in the service. This will seek to upskill our existing loaders by training them to be drivers (six posts to be upskilled in 2022 and a further six in 2023). Although, they will

continue to work as loaders on a routine basis this give us the flexibility to utilise them when we are short of LGV drivers by swapping to their second contract (known as a driver contract) whereby they will receive an enhanced rate whilst carrying out that duty. It is anticipated that this will create real resilience against the national driver shortage by over establishing ourselves with drivers and without any significant financial cost pressures as they'll only receive the enhancement when undertaking that role. It will also provide an immediate replacement for driver cover. It is hoped this will also boost morale as our focus will be on investing in our own staff and by upskilling them. Additionally, it provides us with a permanent member of staff to replace vacant driver positions rather than become dependent on agency staff and staff feel empowered in their roles take to take ownership of the service and task.

- We also are witnessing difficulties in recruitment to some more bespoke project management roles such as 21st Century Schools project team. Often project management positions in local government are unable to compete with salaries paid to project managers in the private sector.

- In terms of addressing the more general workforce risks across the Council, significant progress has been made in developing solutions to further mitigate the risk. In terms of key developments over the past quarter, Human Resources have been leading on the development of an Attraction strategy, good progress has been made with the development of this strategy which is due to be completed by the end of November. The purpose of this Attraction Strategy is to be proactive and innovative in the ways of recruiting candidates with a particular attention being paid to hard to recruit positions.

- We have consulted on a Strategic Workforce Planning Strategy Implementation Plan. Once approved the implementation plan 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.

- To address the emerging issues around parity in pay, the Council will be undertaking a review of all job descriptions over the coming year. Once the Oracle implementation beds in, work will progress in April 2022 on a pay grading review across the whole council.

- We have continued our focus on enhancing our wellbeing offering to staff and are due to launch 'trauma informed' webinar for staff during quarter 3. This webinar will support staff who have experienced trauma in their roles and will signpost them to additional support such as counselling where needed.

- Although good progress continues to be made in developing an innovative approach to how we enhance our workforce planning, implement succession planning and attract talent and retain knowledgeable and experienced staff, the workforce pressures being experienced currently will not be easily resolved in the short term. It's likely that a multi-faceted and tailored approach will be needed to address the some of the more acute problems being experienced within some service areas. On this basis, we don't anticipate that the risk will shift from its medium/high position over the next quarter. However, we are confident that our mitigations will prevent the risk from escalating any further and that once the mitigations are fully implemented will decrease the risk over time.

## 3.0 Emerging issues and new risk areas

## 3.1 Energy crisis

A developing issue over the quarter 2 period has been the evolving energy crisis, which is predominately linked to gas supply and escalating prices. There are a number of cross-cutting driving forces behind this emerging crisis, which reflects the complex and interconnected nature of the of the global energy market[7].

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[7] World Economic Forum Press Release, 5 things you should know about Europe's energy crisis, 13th October 2021

During 2020, demand for natural gas declined in part due to the disruption caused by the pandemic, which saw significant parts of industry that use gas in their operations shut down, and also a result of a much milder winter in the Northern Hemisphere[8]. However, by the start of 2021 there were a series of very cold and extreme weather events, that increased demand for gas supplies and depleted our gas reserves[9]. This in combination with a strong bounce back from the global economy following the easing of Covid restrictions has resulted in a surge in demand for gas. The International Energy Agency (IEA) has indicated that global demand for gas will rebound by 3.6% in 2021 and they forecast that this demand, if not kept in check by policy changes to gas consumption, are likely to grow to 7% by 2024[10].

Historically the UK has been a big producer of gas, but over the last two decades outputs have dropped whilst demand has risen[11]. The UK now produces about 438,520GWH of gas but is increasingly reliant on importing more than half of its gas from Norway, Netherlands and Belgium (amongst other countries)[12]. Added to this is the complex political relationship between Europe and Russia and the supply of natural gas. Although the UK imports less than 5% of its gas from Russia, the rest of Europe is increasingly more reliant on supplies from Russia[13].Therefore, there have been concerns regarding a reduction in Russian gas supplies and its influence on the overall wholesale price. Because the UK doesn't have sufficient gas storage facilities, it needs to buy large quantities on the wholesale market[14]. Consequently, the UK is more vulnerable to volatility in gas supplies and the impact on wholesale price changes across the global market.

In the context of rising demand and reduced supply, there has been a sharp global wholesale rise in gas prices. As one of the biggest users of natural gas in Europe, the UK is particularly vulnerable to any fluctuations in wholesale prices, especially when 85% of our homes are gas central heated and nearly a third of our electricity is generated by natural gas[15]. UK wholesale prices reached a record high in October, rising by 37% in a 24-hour period to 400p per therm compared to just 60p per therm at the start of 2021[16]. Although Russia's announcement that it would boost supplies to Europe, has had a positive impact on reducing the gas prices (down to 257p per therm)[17] the wholesale prices continue to remain high and risks destabilising the energy market and has knock on impact for consumers.

The significant rise in wholesale gas prices has already led to a number of smaller energy providers in the market to fold. As of the 6th October, nine energy suppliers had collapsed impacting around 1.73 million customers[18]. The sharp rise in energy prices, has also had a significant impact on economic outputs of some industries such as steel production halting at a time of peak demand[19] which in turn is driving up commodity prices. The rise in gas prices has also impacted on commercial carbon dioxide production, which saw two sites shut down that is responsible for producing 60% of the UK's carbon dioxide[20]. This shut down then triggered a shortage in carbon dioxide supply which is used heavily by food producers in abattoirs, drink production and for prolonging food life, sparking further concerns

[8] World Economic Forum Press Release, 5 things you should know about Europe's energy crisis, 13th October 2021
[9] BBC News, Where does the UK get its gas and is it facing a shortage this winter? 7th October 2021
[10] International Energy Agency, Gas Market Report Q3- 2021, July 2021
[11] BBC News, Where does the UK get its gas and is it facing a shortage this winter? 7th October 2021
[12] BBC News, Where does the UK get its gas and is it facing a shortage this winter? 7th October 2021
[13] BBC News, Where does the UK get its gas and is it facing a shortage this winter? 7th October 2021
[14] BBC News, Where does the UK get its gas and is it facing a shortage this winter? 7th October 2021
[15] BBC News, Where does the UK get its gas and is it facing a shortage this winter? 7th October 2021
[16] BBC News, UK gas prices fall from record high after Russia steps in, 6th October 2021
[17] BBC News, UK gas prices fall from record high after Russia steps in, 6th October 2021

[18] BBC News, UK gas prices fall from record high after Russia steps in, 6th October 2021
[19] BBC News, UK gas prices fall from record high after Russia steps in, 6th October 2021
[20] BBC News, UK gas prices fall from record high after Russia steps in, 6th October 2021

regarding the stability of the fresh food supply chain[21]. In response to this emerging threat, the UK Government stepped in with a financial support package to enable the industry to restart carbon dioxide supply[22].

The other emerging area of concern is the impact rising global energy prices is likely to have on domestic customers. Although, the public have been protected from sudden price rises through the energy price cap (maximum price/charge for those on a standard tariff), this is set to change. At the end of October, Ofgem confirmed in an open letter to energy suppliers its intention to review and consult on the price cap methodology[23]. They outline that in order to protect the interests of the consumer, at the price cap reflects the costs, risk and uncertainties facing the energy supply chain currently[24]. A decision on any rise in the cap is not expected until February 2022, with the view of implementing any changes to the cap from 1st April 2022[25]. Some analysts have forecasted that changes to the price cap, could see an average household having an annual energy bill of £1,600[26].

The extent to which the energy crisis is likely to impact on the Council and its residents is not yet fully known. However, as an organisation we are already aware of the impact rising construction costs are having on a number of our capital programmes of work. Over the past two quarters, we have seen a surge in the costs of steel prices which has significantly impacted on a several programmes of work across the Council. As at 18th November, our latest steel costs were averaging around £3,300 per ton. This represents an increase of about 45% compared to previous prices of around £2.250 per ton. The rising costs of steel have been attributed to the energy crisis, where the surge in energy costs has had a significant impact on production costs of the energy intensive steel sector. The Council will maintain a watching brief on these energy-related price rises and will do this in conjunction with the ongoing monitoring associated with Brexit-related supply chain and pricing issues.

In terms of the risks the energy crisis presents to our residents, there is the risk that energy price rises and any significant rise in the energy price cap from April onwards, is likely to push more and more people into fuel poverty. There are growing concerns in the midst of inflationary rises (cost of living) and changes to Universal Credit that energy price rises for those on the lowest of incomes is likely to drive people further into poverty. The Consumer Price Index rose by 4.2% in the 12 months to October, up from 3.1% in September[27]. This figure remains more than double the Bank of England's target of 2%[28]. The Bank of England and were already anticipating that the figure will rise above 4% by the end of the year and be sustained through to Spring next year[29]. It is believed inflation is primarily being driven by the rise in household energy bills and a surge in global oil prices (which is being reflected at the petrol pumps), alongside this cars, transport, hotel stays, raw materials and household goods have all been cited in driving up the inflation rate[30]. Equally Citizen's Advice estimate that a third of people on Universal Credit are likely to end up in debt as a consequence of the £20 per week cut in Universal Credit[31]. In response to the rising cost pressures facing citizens, the Welsh Government announced on the 16th November, a £51m package of support for the lowest income families impacted by the cost-of-living pressures. This Household Support Fund will be targeted at households to provide financial support in paying their energy bills over the winter and their will also be additional funding for

[21] BBC News, UK gas prices fall from record high after Russia steps in, 6th October 2021
[22] BBC News, UK gas prices fall from record high after Russia steps in, 6th October 2021
[23] Ofgem, Open Letter to Energy Suppliers, 29th October 2021
[24] Ofgem, Open Letter to Energy Suppliers, 29th October 2021
[25] Ofgem, Open Letter to Energy Suppliers, 29th October 2021
[26] BBC News, UK gas prices fall from record high after Russia steps in, 6th October 2021
[27] ONS, Consumer Price Inflation UK: October 2021
[28] BBC News, Inflation: Rise in cost of living slows in September, 20th October 2021
[29] Bank of England, Monetary Policy Report, November 2021
[30] BBC News, Inflation: UK prices soar at fastest rate for almost ten years, 17th November 2021
[31] BBC News, Universal Credit: What is the taper rate?, 27th October 2021

foodbanks and community food schemes[32]. £38m of this funding will be made available to eligible households in the form of a Winter Fuel Support Scheme for those in receipt of working-age means-tested benefits[33]. This will enable eligible households to claim a one-off £100 cash payment towards their energy bills[34].

Although the announcement from the Welsh Government is welcomed, the combination of the financial pressures still likely to detrimentally impact the lowest income households living in poverty in Wales. At a time when people's incomes are not rising in line with inflation there is the risk that some of our citizens will need to make difficult decisions as to whether they can maintain their tenancies, eat or heat their homes. This aspect of the energy crisis and the risk it presents to our residents has been reflected in the Welfare Reform risk.

## 3.2 Market Fragility (New risk)

Market fragility describes the weaknesses/vulnerabilities in the social care sector to provide social care services. Most of these vulnerabilities relate to operational capacity linked to financial and/or workforce related challenges.

The overarching risk associated with market fragility is one of financial collapse. If an external care provider was to become insolvent this has potential implications for stability and continuity of care of our most vulnerable citizens. In turn, this places additional pressure on local authorities, as in line with Part 11 of the Social Services and Wellbeing (Wales) Act 2014, local authorities have a temporary duty to meet the needs of adults requiring care and support and the relevant support needs of carers. Therefore, in the event of a provider failure, local authorities have a temporary duty (as long as they see necessary) to ensure continuity of care and support of individuals.

A key risk factor driving the fragility of the social care market is in relation to workforce capacity. External providers are facing the same national workforce pressures that are being experienced across the rest of our Social Services departments. Within the external provider market, before Brexit and the pandemic, there were challenges in recruitment and retention with longstanding issues in relation to high turnover of staff and unfilled vacancies. These workforce issues have been linked to low pay and limitations in career progression. Approximately 56% of the social care workforce in Wales earn below the real living wage (£9.50 an hour)[35] . Consequently, there is a high level of turnover of care workers to other sectors. Due to poor rates of pay and career prospects, the external social care market is often in direct competition with retail/hospitality sector where there are more attractive rates of pay and benefits. In addition, there is also pressure from the NHS where rates of pay and terms and conditions are significantly better. High vacancy rates amongst external social care providers has led to some providers handing back packages of care, which has a knock-on impact on our local authority's capacity and resources.

Although the planned rise in National Living Wage to £9.50 from April 2022**[36],** will be largely welcomed amongst care workers, it is likely to further add to the cost pressures of external social care providers in the context of diminishing funding and higher running costs. The Welsh Government have also signaled its commitment to paying social care staff a 'real living wage', which would be an added cost pressure

[32] Welsh Government, £51m support fund to help families hardest hit by cost of living crisis, 16th November 2021
[33] Welsh Government, £51m support fund to help families hardest hit by cost of living crisis, 16th November 2021
[34] Welsh Government, £51m support fund to help families hardest hit by cost of living crisis, 16th November 2021
[35] Cominetti N, Gardiner L, Kelly G, What happens after the clapping finishes? The pay, terms and conditions we choose for our care workers, Resolution Foundation, April 2020
[36] UK Government Press Release, Large minimum wage increase to boost low-paid workers' incomes, 27th October 2021

to care providers who may already be financially struggling and only serve to further destabilise the market.

A fundamental factor in market fragility is the financial viability of externally commissioned care providers. In ADSS Cymru's response to the Welsh Parliament's Inquiry into the impact of Covid-19 on the management of health and social care, they highlighted that there is 'acute awareness' of the anxieties that some care providers face regarding their survival in the short term[37].

In the context of rising demand for services, local authorities' budgets are increasingly being stretched and are subsequently constrained by what fees can be paid to externally commissioned care providers. This in turn can potentially challenge a care provider's financial sustainability. Consequently, residential care homes are more likely to become reliant on cross-subsidisation in order to remain viable[38]. The Competition and Markets Authority reported that 24% of care home residents are self-funded and pay on average 36% more than their local authority counterparts for similar service provision[39].

Some externally commissioned care providers were already in a financially precarious situation prior to the pandemic which has been further compounded by the financial cost of Covid. In response to the Welsh Parliament Inquiry into the impact of Covid-19, ADSS Cymru highlighted additional cost pressures associated with sourcing PPE, insurance liabilities and the pressure associated with carrying empty beds (voids)[40]. These voids have been in part driven by the pandemic, as a result of more deaths and the reluctance of families to fill beds with new residents. Residential care homes need to maintain high levels of occupancy to remain financially viable. Therefore, there is a real risk that some care homes could financially collapse. Any failure could result in local authorities intervening to safeguard and ensure continuity of care for its citizens. However, ADSS Cymru acknowledge that this is at a time when local authorities have limited capacity, and they indicate this could have a knock-on impact on other aspects of care such as hospital discharge processes and greater pressure on domiciliary care[41].

Considering the current volatility of the social care market, the significant risk it presents to the council in terms of ensuring continuity of care and the risk it presents to our citizens in terms of not being able to meet their most basic of needs, it is recommended that this risk be adopted to the Corporate Risk Register. Based on our response (mitigations) to date, and the instability of the current situation it is recommended that this risk is scored High (12) status in recognition of the scale and impact that issues already mentioned above are having on the fragility of the market. Although a number of mitigations have been identified, our influence over this risk sits outside our immediate control. Therefore, we forecast that this risk will continue to maintain its high-risk status for some time.

**3.3 Demand Management & Service Capacity (New risk)**

It is widely acknowledged that the social care system is under significant pressure due to the rising demand for our services and tackling challenges associated with our capacity. Progress on reforming social care has repeatedly stalled over the years and the pandemic has brought into sharp focus the

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[37] Welsh Parliament: Health and Social Care & Sport Committee, Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers, March 2021
[38] Short to Medium Term Operational and Cost Pressures Affecting Social Care in Wales, Final Report to Welsh Government, March 2020
[39] Short to Medium Term Operational and Cost Pressures Affecting Social Care in Wales, Final Report to Welsh Government, March 2020
[40] Welsh Parliament: Health and Social Care & Sport Committee, Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers, March 2021
[41] Welsh Parliament: Health and Social Care & Sport Committee, Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers, March 2021

challenges facings social care and in some instances has only served to further exacerbate the issues around demand and capacity.

The fundamental aspects of this risk can be defined as insufficient social care capacity to meet growth in demand for social care services.  This is not just in the context of the volume of demand, but also the severity and complexity of need. This growth in demand for services is putting considerable strain on our social care workforce. For example, a survey undertaken in 2020 by Ipsos Mori on behalf of the Guardian's Social  Lives Survey found that more than a third (37%) of Social Workers surveyed did not feel like they had sufficient time to fulfil their duties and 30% said that they did not have the resources with only 29% indicating that their caseload was manageable[42].

In common with the position across Wales, there are increasing numbers of Children Looked After in the Vale with complex needs. Where a child has been assessed as needing to be looked after, the Council is responsible for placing that child in a placement appropriate to their needs. This is challenging in the current environment where placement demand is exceeding availability, and placements in the independent sector are costly.

Similarly, we are seeing an increasing ageing population in the Vale of Glamorgan. Our citizens are living longer and are in turn increasingly presenting with more complex needs that places further pressure on our budgets and our ability to meet their care and support needs. The Health Foundation forecast that future demand pressures for social care will continue to increase and it is estimated that social care cost pressures will increase in Wales by 4.1% per year between 2015 and 2030-31 due to demographic trends, chronic conditions and rising costs of care and it is anticipated that these costs will reach £2.3billion in 2030-2031[43]. The increased demand for social care services has also been driven by the pandemic, as those recovering from Covid often have many weeks/months of recouperation ahead and may require some form of reablement package or residential care following discharge from hospital. In response to the Welsh Parliament's Inquiry into the impact of Covid-19 on the management of health and social care, ADSS Cymru highlighted there is increased service demand and pressures being felt across domiciliary care in relation to individual's requiring rehabilitation post-Covid and they also noted that long Covid has the potential to put pressure on services in the longer term especially amongst those who prior to Covid would not have required social care[44]. In addition, the pandemic has also resulted in a delayed presentation of care, which in turn has meant opportunities to signpost to preventative services at an earlier stage have been prohibited. Consequently, when citizens do present in need of social care services, they often require greater levels of intervention/support as they have become frailer, and their care needs more complex. At this point, our interventions have a limited impact on their reablement and ability to regain independence. The reluctance of individuals to not seek appropriate health care treatment from health care professionals at the most critical time, has resulted in the presentation of more complex needs in our communities. The pandemic has created feelings of isolation and has negatively impacted on the mental health and wellbeing of individuals and informal. A consequence of this has been where informal carer arrangements breakdown, which places additional demand on our service to provide urgent care.

A key risk factor driving service capacity is the workforce pressures we face. A key indicator of a local authority's capacity to deliver social care can be seen in post vacancy rates. In keeping with the national picture, the Vale of Glamorgan's Social Services is experiencing higher staff turnover/shortages and

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[42] Guardian Article, UK Social Workers say they lack time and resources to do their job, 1st September 2020
[43] Watt T, Roberts A, The path to sustainability: Funding projections for the NHS in Wales to 2019/20 and 2010/31, The Health Foundation, October 2016
[44] Welsh Parliament: Health and Social Care & Sport Committee, Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers, March 2021

difficulties within recruiting and retaining social workers (particularly Children and Young People Services) and residential and domiciliary care staff supporting Adults.

Challenges in recruitment and retention of social workers in Children and Young People Services remains an ongoing challenge, which is acutely felt within social work teams at the 'front door'. Even when there are opportunities to attract social workers, the lag time between interview, offer and start date impacts on teams. In the context of Children and Young People Service, there are known workforce pressures within the Integrated Family Support Team (IFST) and the Care Planning and Proceedings (CPP) Team. The workforce capacity pressures within CPP Team impact on the IFST, as the IFST will pick up on CPP cases but are unable to transfer to other teams that CPP would have normally dealt with.

Within Adult Services, the capacity of the residential and domiciliary care has been impacted by staff shortages/absences due to high Covid infection rates or impact of the pandemic on the mental health of staff. There are also significant recruitment and retention difficulties being experienced across Adult Services including commissioned care. Care Home and domiciliary care workers, work in challenging and demanding roles, often on low pay and these positions are often perceived as having limited opportunities for career progression. There is also significant competition from the NHS where pay and conditions for similar skill sets are significantly better. There have been calls for greater parity in pay between the NHS and local authorities as this has been viewed as a driver behind recruitment and retention difficulties in local authority care roles. The Welsh Parliament's recent inquiry into the impact of Covid-19 on the management of health and social care highlighted the need to 'assure parity of esteem, treatment or conditions between the two sectors' and recommended the need for properly renumerated career pathways for social care workers to ensure that it is an attractive career option[45].

Sustaining levels of service delivery in the context of managing demand for our services at a time when our resources are significantly stretched is increasingly more challenging. Considering the scale of demand for our services and our diminishing capacity it is recommended that this risk is scored high (12). This score is in keeping with the recommended risk score for market fragility and therefore reflects the cross-cutting and interconnective nature of these two risks. Despite taking a series of actions to mitigate the risk, several of the issues remain largely outside the Council's control, and as such our mitigations are having a limited impact on the overall status of the risk. In reflection of this, we anticipate that there will be no forecast change in the risk score in the short to medium term. However, the Council remains committed to exploring and developing innovative ways of addressing this risk, but recognises that adopting a multi-faceted approach will be necessary into the medium term.

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[45] Welsh Parliament: Health and Social Care & Sport Committee, Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers, March 2021

# SECTION A: RISK DESCRIPTIONS

| Risk Ref | Risk | Scope |
|---|---|---|
| CR1 | **Reshaping Services** <br><br> **Appendix 1** | Risk that the Council fails to deliver the Reshaping Services Programme and does not utilise alternative methods of service delivery and other approaches to mitigate the impact of budget reductions and demand for services which could result in further cuts to services impacting on their availability and quality. |
| CR2 | **Legislative Change & Local Government Reform** <br> **Appendix 2** | Inability to appropriately respond/adapt to new and emerging legislative change and reform developments across the breadth of Council services. |
| CR3 | **School Reorganisation & Investment** <br><br> **Appendix 3** | Inability to invest in improving and developing the quality of our school buildings. This could result in schools no longer being 'fit for purpose' and not meet the Welsh Government's '21st Century Schools' agenda. <br> Failure to effectively plan and provide sufficient school places to meet demand in relation to both English and Welsh Medium provision. |
| CR4 | **Waste** <br> **Appendix 4** | Failure to fund the national waste agenda and its associated targets. |
| CR5 | **Workforce Needs** <br> **Appendix 5** | Inability to anticipate and plan for workforce needs in the future in order to meet the changes in demand and provision of services. (Risk links to Reshaping risk and legislative reform risk) |
| CR6 | **Information Security** <br> **Appendix 6** | Failure to implement adequate information management controls and systems across the Council. |
| CR7 | **Environmental Sustainability** <br> **Appendix 7** | Failure to reduce our carbon footprint and mitigate against the impact/effects of climate change. |
| CR8 | **Welfare Reform** <br> **Appendix 8** | Roll out of Welfare Reform programme has a detrimental financial and social impact on residents. |
| CR9 | **Public Buildings Compliance** <br> **Appendix 9** | Failure to comply with our statutory responsibilities for ensuring the health, safety and welfare of both our staff and citizens when using Council owned and leased assets. |
| CR10 | **Safeguarding** <br> **Appendix 10** | Failure to meet our statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse. |
| CR11 | **Integrated Health & Social Care** <br> **Appendix 11** | Inability to develop, commission and implement alternative models of service delivery that fully integrate how we deliver health and social care services across organisational boundaries and on a regional footprint. |
| CR12 | **DoLS** <br> **Appendix 12** | Failure to effectively safeguard adults who are at risk of deprivation of liberty. |
| CR13 | **WCCIS** <br> **Appendix 13** | Failure to fully maximise and mobilise WCCIS functionality to ensure full implementation/development of the system across Social Services and over a regional footprint. |
| CR14 | **Brexit** <br> **Appendix 14** | Failure to effectively identify and respond to the changing policy and legislative landscape as a result of 'Brexit' and the impact this has on our ability to deliver services to our citizens. |
| CR15 | **Additional Learning Needs (ALN)** <br> **Appendix 15** | Capacity and capability to effectively meet the Additional Learning Needs of our learners from birth to 25. The key driving forces associated with this risk relate to growth in demand, our capacity and financial viability to meet growing needs which have been further compounded by the impact of new responsibilities and duties arising from the ALN Act. |
| CR16 | **COVD-19** <br><br> **Appendix 16** | Two aspects of the COVID risk: 1) Response: Capacity to maintain service continuity of business-critical services. 2) Recovery: Ability to address longer term impact of COVID on our services, citizens and communities. E.g. downturn in the economy, unemployment, poverty, lower educational attainment, long term health and social care issues, as well as the emergence of inequalities across BAME groups. |
| CR17 | **Market Fragility** <br> **Appendix 17** | Market fragility describes the weaknesses/vulnerabilities in the social care sector to provide social care services. Most of these vulnerabilities relate to operational capacity linked to financial and/or workforce related challenges. |
| CR18 | **Demand Management & Service Capacity** | The key risk aspects of this risk can be defined as insufficient social care capacity to meet the significant growth in demand for social care services. This is not just in the context of the volume of demand, but also the severity and complexity of need. |

## SECTION B: 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[46] | Forecast Direction of Travel[47] |
|---|---|---|---|---|---|---|---|---|
| | | | | Likelihood | Impact | Total | | |
| 1 | Reshaping Services | 9 (M/H) | 4 (M) | 2 | 2 | 4 (M) | ↔ static | ↑ increasing |
| 2 | Legislative Change and Local Government Reform | 12 (H) | 2 (M/L) | 2 | 3 | 6 (M) | ↔ static | ↔ static |
| 3 | School Reorganisation & Investment | 12 (H) | 4 (M) | 2 | 2 | 4 (M) | ↔ static | ↑ increasing |
| 4 | Waste | 12 (H) | 2 (M/L) | 4 | 2 | 8 (M/H) | ↔ static | ↔ static |
| 5 | Workforce Needs | 12 (H) | 2 (M/L) | 4 | 2 | 8 (M/H) | ↑ increasing | ↔ static |
| 6 | Information Security | 12 (H) | 2 (M/L) | 2 | 3 | 6 (M) | ↔ static | ↓ decreasing |
| 7 | Environmental Sustainability | 12 (H) | 4 (M) | 2 | 3 | 6 (M) | ↔ static | ↑ increasing |
| 8 | Welfare Reform | 12 (H) | 4 (M) | 2 | 3 | 6 (M) | ↔ static | ↑ increasing |
| 9 | Public Buildings Compliance | 9 (M/H) | 4 (M) | 2 | 2 | 4 (M) | ↔ static | ↔ static |
| 10 | Safeguarding | 9 (M/H) | 4 (M) | 2 | 2 | 4 (M) | ↔ static | ↔ static |
| 11 | Integrated Health and Social Care | 9 (M/H) | 4 (M) | 3 | 2 | 6 (M) | ↔ static | ↓ decreasing |
| 12 | Unauthorised Deprivation of Liberty Safeguards | 9 (M/H) | 2 (M/L) | 3 | 2 | 6 (M) | ↔ static | ↔ static |
| 13 | Welsh Community Care Information System (WCCIS) | 12 (H) | 2 (M/L) | 4 | 2 | 8 (M/H) | ↔ static | ↔ static |
| 14 | Brexit | 12 (H) | 2 (M/L) | 3 | 3 | 9 (M/H) | ↔ static | ↑ increasing |
| 15 | Additional Learning Needs | 9 (M/H) | 2 (M/L) | 3 | 3 | 9 (M/H) | ↔ static | ↔ static |
| 16 | COVID-19 | 16 (VH) | 2 (M/L) | 2 | 4 | 8 (M/H) | ↔ static | ↔ static |
| 17 | Market Fragility | 12 (H) | 1 (L) | 4 | 3 | 12 (H) | N/A | ↔ static |
| 18 | Demand Management & Service Capacity | 12 (H) | 1 (L) | 4 | 3 | 12 (H) | N/A | ↔ static |

[46] **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.

[47] **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 C: OVERALL RISK HEAT MAP

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

- The heat map for quarter 2 shows that the greatest number of risks continue to congregate at a medium status.
- Additional Learning Needs, Brexit, COVID-19, Waste and WCCIS risks have maintained their Medium/High status. The Workforce risk has increased to a medium/high status (8) from a medium position (6).
- There are no risks on the Register below a medium status.
- Two new risks: Market Fragility and Demand Management & Service Capacity have been allocated a high (12) status on the Register.
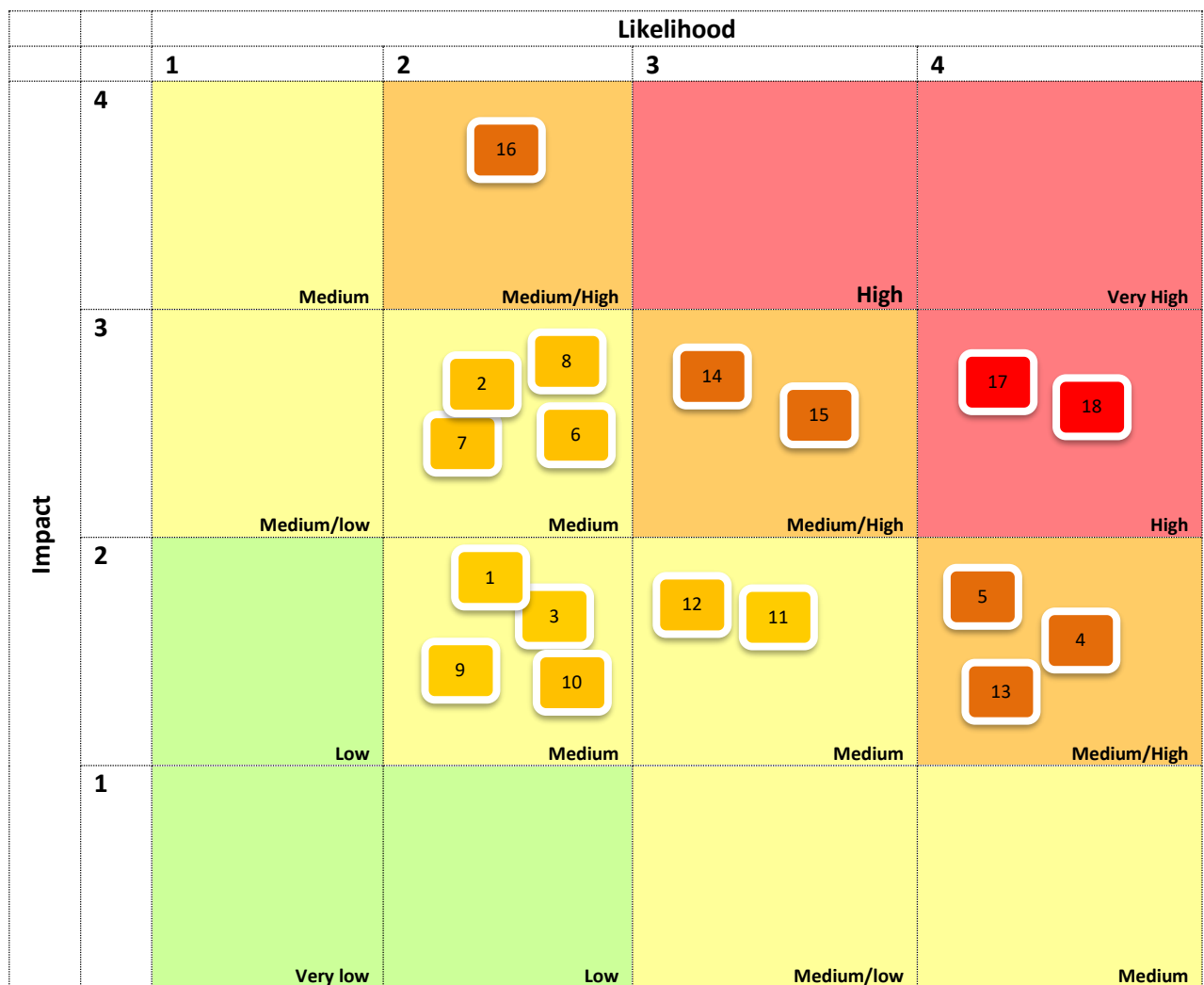


| Risk Reference Glossary | | | |
|---|---|---|---|
| 1 | Reshaping Services | 10 | Safeguarding |
| 2 | Legislative Change and Local Government | 11 | Integrated Health and Social Care |
| 3 | School Reorganisation & Investment | 12 | Unauthorised Deprivation of Liberty |
| 4 | Waste | 13 | WCCIS |
| 5 | Workforce Needs | 14 | Brexit |
| 6 | Information Security | 15 | Additional Learning Needs |
| 7 | Environmental Sustainability | 16 | COVID-19 |
| 8 | Welfare Reform | 17 | Market Fragility |
| 9 | Public Buildings Compliance | 18 | Demand Management & Service Capacity |

# SECTION D: 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 and Political and Legislative aspects of risk.
- 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.
- The two new risks (Market Fragility and Demand Management & Service Capacity) has been allocated a high status (12) across all four risk themes recognising that despite putting a series of controls in place they are having a limited impact on the risk overall.
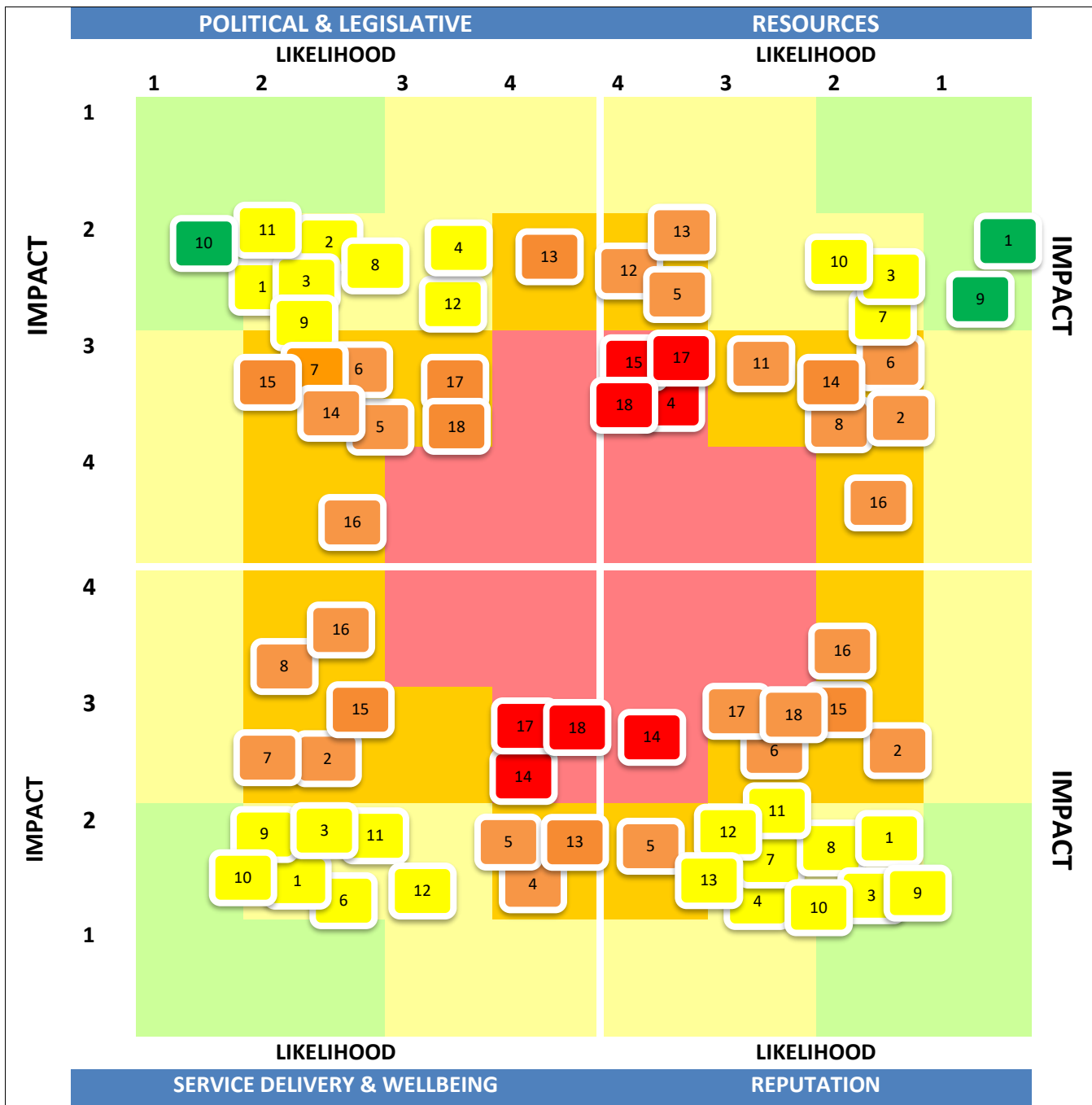
## SECTION E: RISK MANAGEMENT PLAN- RAG STATUS OVERVIEW

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

- 94% (208) of actions were allocated a Green status (completed or on track) and 3% (6) were allocated an amber status reflecting minor slippage and 3% (6) were allocated a red status at the end of quarter 2.
- 100% of risk actions contained in the Risk Management Plans for Reshaping, Waste, Welfare Reform, Public Buildings Compliance, Safeguarding, Integrated Health & Social Care, Deprivation of Liberty Safeguards, WCCIS and Brexit are on track (including completed actions) in terms of progress, so have been allocated a green status.
- In relation to the two new actions on the Register, 94% of Demand Management & Service Capacity actions are on track for completion and 78% of Market Fragility actions are on track giving them 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 | 83% (5) | N/A | 17% (1) | 6 | 6 |
| CR3: School Reorganisation & Investment | N/A | 67% (4) | 33% (2) | N/A | 6 | 6 |
| CR4: Waste | N/A | 100% (11) | N/A | N/A | 11 | 11 |
| CR5: Workforce Needs | 11% (2) | 83% (15) | N/A | 6% (1) | 18 | 18 |
| CR6: Information Security | N/A | 86% (6) | N/A | 14% (1) | 7 | 7 |
| CR7: Environmental Sustainability | 3% (1) | 92% (33) | N/A | 5% (2) | 36 | 36 |
| CR8: Welfare Reform | N/A | 100% (8) | N/A | N/A | 8 | 8 |
| CR9: Public Building Compliance | N/A | 100% (7) | N/A | N/A | 7 | 7 |
| CR10: Safeguarding | 10% (1) | 91% (10) | N/A | N/A | 11 | 11 |
| CR11: Integrated Health & Social Care | N/A | 100% (10) | N/A | N/A | 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 | N/A | 100% (14) | N/A | N/A | 15 | 14 |
| CR15: Additional Learning Needs (ALN) | N/A | 92% (11) | 8% (1) | N/A | 12 | 12 |
| CR16: COVID-19 | 3.5% (1) | 93% (28) | 3.5% (1) | N/A | 30 | 30 |
| CR17: Market Fragility | N/A | 78% (7) | 11% (1) | 11% (1) | 9 | 9 |
| CR18: Demand Management & Service Capacity | N/A | 94% (15) | 6% (1) | N/A | 17 | 16 |
| Totals | 2% (5) | 92% (208) | 3% (6) | 3% (6) | 228 | 225 |

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

| Risk | Action Ref | Action Description | Commentary |
|---|---|---|---|
| **CR2: Legislative Change & Local Government Reform** | LCR/RP001 (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. | Awaiting establishment of Corporate Joint Committee to enable commencement of work on SDP |
| **CR5: Workforce Needs** | WFR/HR004 (HR/A004) | Develop an Engagement Strategy to increase diversity within the Council's workforce, including the Council's Apprenticeship and KickStart Schemes | The numbers of new roles being put through to take advantage of youth employment opportunities has declined over the last few months. Our under 24s headcount as of 5th October is 4.4%.<br><br>SLT paper was taken on 7th October to suggest potential improvements around youth employment, and as a result we will be undertaking the following activities in the coming months to improve in this area:<br>1. Awareness pieces to improve knowledge and understanding of youth employment opportunities and processes.<br>2. Processes for recruiting entry level positions and utilising more youth employment opportunities.<br>3. Promoting supported qualification routes in hard to recruit professions. |
| **CR6: Information Security** | ISR/SRS001 | Undertake a review of information security against GDPR regulations. | This activity has not yet started. Progress to be reported in next quarter. |
| **CR7: Environmental Sustainability** | ESR/NS005 (NS/A032) | Continue to develop a more environmentally sustainable fleet including the use of hybrid, alternatively fuelled and electric vehicles | On-going. Energy Service Wales report on fleet options and zero emission infrastructure still being put together by Welsh Government (being chased). Biogas fuelled vehicles project not progressed at this stage. Demo hybrid pool car being used in Q3. £300k WLGA funding for EV charging points at Council depots being investigated. However, EV refuse vehicles cost prohibitive and long delivery times. |
| | 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. |
| **CR17: Market Fragility** | MFR/RMS004 (YC3) | Agree blended rate calculations with providers with packages of care commissioned at greed rates. | No further progress to report this quarter. |

# SECTION G: Risk Scoring Definitions

## Inherent and Residual Risk Scoring

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

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

See matrix below:

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

## Effectiveness of Controls Score

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

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

# RISK REGISTER (SEE ANNEX B)

| Risk | Appendix |
|------|----------|
| **CR1: Reshaping Services** | **Appendix 1** |
| **CR2: Legislative Change & Local Government Reform** | **Appendix 2** |
| **CR3: School Reorganisation & Investment** | **Appendix 3** |
| **CR4: Waste Management** | **Appendix 4** |
| **CR5: Workforce Needs** | **Appendix 5** |
| **CR6: Information Security** | **Appendix 6** |
| **CR7: Environmental Sustainability** | **Appendix 7** |
| **CR8: Welfare Reform** | **Appendix 8** |
| **CR9: Public Buildings Compliance** | **Appendix 9** |
| **CR10: Safeguarding** | **Appendix 10** |
| **CR11: Integrated Health & Social Care** | **Appendix 11** |
| **CR12: Unauthorised Deprivation of Liberty Safeguards (DoLS)** | **Appendix 12** |
| **CR13: Welsh Community Care and Information System (WCCCIS)** | **Appendix 13** |
| **CR14: Brexit** | **Appendix 14** |
| **CR15: Additional Learning Needs (ALN)** | **Appendix 15** |
| **CR16: COVID-19** | **Appendix 16** |
| **CR17: Market Fragility** | **Appendix 17** |
| **CR18: Demand Management & Service Capacity** | **Appendix 18** |

| 1 – Risk Overview |
|---|

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

There is a risk that the Council fails to deliver the Reshaping Services Programme and therefore does not utilise alternative methods of service delivery and other approaches to mitigate the impact of financial pressures and demand challenges, thereby resulting in reductions to services significantly impacting their availability and quality.

In December 2019, the Welsh Government announced its provisional financial settlement for local government for 2020/21 which outlined provisional budgets for councils across Wales. In the context of previous settlement, the announcement was better than expected with figures indicating a 4.9% increase in Revenue Support Grant funding for the Vale of Glamorgan and that was considered as part of our budget setting process for in 2020/21. The Council has chosen a strategy for the year to make relatively modest levels of savings and as such, the year is to be used to identify transformational change projects reflecting the ambitions within the new Corporate Plan as well as in addressing the financial pressures associated with increasing demands and expectations for services.

There is the risk associated with pursuing the Reshaping Services agenda, namely the new skills and capacity required to manage significant change at a time of diminishing resources and using approaches that are relatively new concepts to the Council and its partners.

There is also the risk of a judicial review particularly in relation to Reshaping Services agenda where new models of service delivery are developed. This could have both financial and reputational consequences if a judicial review finds our actions to be unlawful.

COVID has put council services under enormous pressure which has significantly challenged how we deliver our services and fulfil our statutory roles and functions. Although the pandemic has in part disrupted the delivery of the Reshaping Services agenda, it has fundamentally challenged our outlook on the way in which services are delivered. This has provided us with an opportunity to reflect on the way in which we operate and deliver services to our citizens as we move towards recovery. Critical to this will be the Council's response to these opportunities and challenges and how the Reshaping Services programme can evolve and adapt to a rapidly changing landscape.

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

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

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

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

| **2.2 Controlling Inherent Risk** | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| *Political & Legislative* | • Challenge process in place to identify projects.<br>• Mixed economy model approach to Reshaping approved.<br>• Mix of service specific and corporate projects that lessen impact on front line services.<br>• Risk management processes embedded in project management to identify and mitigate impacts on service users.<br>• Programme documentation makes linkages with Well-being of Future Generations Act. | 2 | 2 | 4 |
| *Resources* | • Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees.<br>• Programme board and manager in place, with project team resources considered for each project. | 3 | 2 | 6 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • Council's Financial Resilience considered good by WAO.<br>• Business cases developed for projects and guidance in place.<br>• The management development programme has concentrated on the introduction of the core competency and management competency frameworks.<br>• Tranche 5 projects have been identified, with savings included in the revenue proposals for the budgets of 2020/21.<br>• 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.<br>• Website refreshed Office 365 - roll out across the organisation.<br>• 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.<br>• 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.<br>• The income generation and commercial opportunities project team and project board continue to identify opportunities for income generation.<br>• Delivery of Space project New fee structures and reporting processes are in place for income generating services.<br>• 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.<br>• Reshaping Services Programme project portfolio has been agreed in line with the revenue budget. | | | |

| 2.2 Controlling Inherent Risk | | | | |
| --- | --- | --- | --- | --- |
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| *Service Delivery & Well-being* | • Business cases consider non-financial implications of any proposed changes.<br>• Equality Impact Assessments embedded within the overall programme's management approach.<br>• Communications and engagement activities inform project development.<br>• CAT guidance produced and implemented.<br>• Exploration and implementation of alternative care and support models within Social Services have enabled us to effectively support our most vulnerable citizens in their communities especially during the Pandemic. | 2 | 2 | 4 |
| *Reputation* | • Risk management contained within project documentation.<br>• Regular updates to Cabinet and Programme Teams on status of the programme.<br>• Consultation on the Council's budget annually includes questions relating to the approach being taken on Reshaping Services.<br>• Programme Teams include representatives of partners (Voluntary Sector and Town & Community Councils)<br>• Communications campaign to support the Strong Communities Grant Fund where there is a sound business case for the Council to transfer assets to others.<br>• Budget consultation process was completed during December and January and the results were reported as part of the budget setting process in February / March 2021. | 2 | 2 | 4 |
| **Overall Effectiveness of Controls** | | **2** | **2** | **4** |

## 2.3 Residual Risk Scoring & Direction of Travel

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

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| RSR/PB001 (PB/A011) RSR/RP001 RSR/FIT001 RSR/HS001 RSR/HR001 (HR/A001) RSR/NS001 RSR/SRS001 | Lead on the development and delivery of a new Transformational Change Programme with an emphasis on community, resources and new ways of working. Support delivery of the next iteration of the Council's Transformational Change Programme to respond to current and future organisational challenges. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Bowring DM ER T Baker MG CL MI TD ER | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | 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. Other aspects of Reshaping programme work have been in relation to homelessness services, the 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. New Housing and Building IT system tendered and is integral to new agile working arrangements and customer self-service. | | | | | | | | | | | | |

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | Work has continued during Q2 to review the H&S and Fire Structure.  Following the Grenfell report a number of changes will be required relating to fire safety of the Council's buildings.  A cost pressure bid has been made to increase resources within the Corporate H&S Team which will enable direct support to be provided to the Visible Services and Residential Care areas.  Some H&S training modules will be released during Q3. | | | | | | | | | | | | |
| RSR/PB002 (PB/A006) | Undertake a review of the customer relations operating model. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | TC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Analysis of the future role, demands and resource requirements is nearing completion. The final recommendations will also reflect work being undertaken by WLGA Digital team in conjunction with local government customer service teams across Wales. The final operating model will also reflect the needs of Vale Alliance, the corporate Digital Strategy and through a better understanding of the needs and preferences of our residents. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | T Bowring | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Work has continued 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. | | | | | | | | | | | | |

| Risk Action Ref. | Action | Risk 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/PB004 (PB/A009) RSR/NS002 (NS/A002)<br><br><br><br><br><br>RSR/FIT002 (FS/A003)<br><br><br>RSR/SRS001 (SRS/A002) | Contribute to projects that seek to use our property and land assets to support changes in service delivery, including agile working, tackling climate change and achieving financial savings (ADP/004)<br>*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.*<br><br>Use our property and land assets to support changes in service delivery, including agile working.<br><br>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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Bowring ER<br><br><br><br><br><br><br><br><br><br>CL<br><br><br>DH | 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 | | | |
| | | | | | | | | | | | | | |
| ACTION UPDATE: | During the quarter, the Service has contributed to key projects associated with the Council's assets. The future use of office accommodation has been explored, with the Eich Lle - Your Space project launched bringing together a strategy for office accommodation with digital and people considerations to ensure a strategic approach is taken to this area of work. Work has also continued 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. | | | | | | | | | | | | | |

**PREVIOUS QTR'S UPDATE FOR REFERENCE:**

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 & 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.

In relation to Neighbourhood Services, Bus shelters throughout the VOG continue to be upgraded including digital bus information boards. Electric charging points have been installed at car parks and on street for e-taxis. EOI to run passenger transport vehicles on bio-gas was not progressed. Additional AT funding received for 2 additional nextbike stations in Penarth.

We have continued to review our land assets to seek opportunities for commercial concessions. The next tranche of concessions will offered to the market during the next quarter. Since the last quarters update, the Penarth Clifftops tender has been awarded , Cosmeston Water sports shortlisting has taken place withs a preferred bidder selected. BSC2 bids have been received with evaluation taking place currently. Assistance to service areas on interim working arrangements ha been provided. Work has commenced to gather service area data to inform our office accommodation strategy and working groups have been established to take forward this work for our main corporate accommodation.

| Risk Action Ref. | Action | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Some progress has been made during Q2 with ICT providing a device for the service to test to enhance our mobile working opportunities. We are currently exploring options for the most effective ways of utilising the device with the intention of officers eventually piloting it to test if it is the most practical solution to meet our needs. | | | | | | | | | | | | |
| RSR/PB005 (PB/A010 | Work with Social Services to review Telecare services. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | T Bowring | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Functional requirements for a new service platform has been created with the intention of procuring and implementing during quarter 4. This will create increased operational flexibility for staff and support anew product offerings for residents ensuring that they support positive outcomes for all potential users. Improving the application, payments and installation processes through integration with the GOVService platform will be a critical part of the implementation. | | | | | | | | | | | | |
| RSR/RP002 (RP/A001) | Continue to focus on developing the digital delivery of services focusing on productivity and customer experience. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | MG | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | 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 | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MI | 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 | | | |
| | developing a Digital Transformation Strategy for Housing and Building Services. | | | | | | | | | | | | |
| ACTION UPDATE: | Initiatives to promote digital inclusion continue. Housing staff also link in with the Corporate Group set up to reduce barriers faced by some households. | | | | | | | | | | | | |
| RSR/SL001 (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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | T Baker | March 2022 | GREEN (On Track) |
| ACTION UPDATE: | During Q2:<br>• 941 Windows devices have been enrolled into Microsoft InTune MDM for remote management.<br>• 234 Apple IOS devices have been enrolled into Microsoft InTune MDM for remote management.<br>• 1,394 new devices have been ordered under the Hwb funding for 2021/22, Apple devices have been shipped, we are currently awaiting delivery of the Windows and Google devices. | | | | | | | | | | | | |
| 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 | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | 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 | | | |
| | methods used to engage and communicate with Vale of Glamorgan citizens. | | | | | | | | | | | | |
| ACTION UPDATE: | 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | CL | March 2022 | N/A (Work not due to commence) |
| ACTION UPDATE: | This piece of work will be undertaken with the Comms team during December2021. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | CL | March 2022 | GREEN (On Track) |
| ACTION UPDATE: | The Review was completed during this period. Overall the function was seen to be effective however capacity is an issue therefore a cost pressure has been submitted to address this to ensure that issues such as the climate emergency, supply chain issues and using local companies can be taken forward via the procurement process | | | | | | | | | | | | |
| RSR/ALN001 RSR/LS001 | Respond to current and future organisational challenges as part of the | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD DM | 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 | | | |
| | Council's Transformational Change Programme. | | | | | | | | | | | | |
| **ACTION UPDATE:** | The changes to specialist education provision is in the implementation phase and changes are being embedded. Working practices are evolving well and staff and pupils are adapting to the changes positively. Inevitably, there are issues which need to be worked though but good progress is being made. Support also continues to be provided by Legal and Democratic services 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The Adults Head of Service has liaised with Operational Managers to consider our operating models post covid, and seeking to inform the accommodation strategy for our teams moving forward. We have engaged with this process and ensure full participation to shape the future accommodation needs fit for the purpose to deliver high quality services to those we support. The integrated nature of the Adults Division has required Cardiff and Vale UHB and Swansea Bay UHB as key delivery partners are appraised of the accommodation review. <br><br> In relation to undertaking stakeholder engagement to inform a review of future service modelling, we have not been able to further this piece of work during the second quarter, as we have need to concentrate on recovery. However, the Service Development Manager referred to in Qtr. 1 has now commenced in post, and this is in the role's scope to progress this work. In addition, we need to consider the accommodation needs in line with the Council's ambition re accommodation strategy and need to conduct this engagement to inform this. | | | | | | | | | | | | |
| RSR/AS002 (AS/A004) | Investigate opportunities to improve provision and access to care and support | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | SC | 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 | | | |
| | services via digital means (e.g. Self-assessments, Telecare) | | | | | | | | | | | | |
| **ACTION UPDATE:** | This continues to gain momentum, with  progress in exploring opportunities during Q2, we anticipate seeing these become actions for implementation in Q3, particularly regarding Telecare services, but also considering appropriate platforms to inform the work around the newly launched Wellbeing Matters Service, and how we can interact between systems using the National Data Repository. Adults Services have engaged in the work led by Customer relations colleagues to procure and implement a new platform to replace the previous CRM. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The Adult Services Head of Service has liaised with Operational Managers to consider our operating models post covid, and seeking to inform the accommodation strategy for our teams moving forward. We have engaged with this process and ensure full participation to shape the future accommodation needs fit for the purpose to deliver high quality services to those we support. The integrated nature of the Adults Division has required Cardiff and Vale UHB and Swansea Bay UHB as key delivery partners are appraised of the accommodation review.<br>This continues to gain momentum, with  progress in exploring opportunities during Q2, we anticipate seeing these become actions for implementation in Q3, particularly regarding Telecare services, but also considering appropriate platforms to inform the work around the newly launched Wellbeing Matters Service, and how we can interact between systems using the National Data Repository. Adults Services have engaged in the work led by Customer relations colleagues to procure and implement a new platform to replace the previous CRM. | | | | | | | | | | | | |

| Risk Action Ref. | Action | Risk 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/CS001 (CS/A003) RSR/RMS001 (RMS/A006) | Determine our preferred operating model in terms of service delivery to inform future building / space requirements. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | RE AP | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | The Directorate has developed a set of recovery principles in consultation with staff and these have been well received. The CYPS Head of Service is fully engaged in the evolving corporate discussions to inform the use of buildings. | | | | | | | | | | | | |
| RSR/RMS002 (RMS/A005) | Implementation of digital medication in our residential care homes. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Funding has been secured and the IT survey completed. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | MG | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Capital funding has been identified for improvements in Town Centres such as CCTV and work on employment sites such as BSC2 is also progressing using capital regeneration funding. | | | | | | | | | | | | |

| Risk Action Ref. | Action | Risk 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. | | ☑ | | | ☑ | | | ☑ | ☑ | ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Enforcement Policy due to be considered by Cabinet in Quarter 3.  Income from parking offences high especially from camera car.  Report in preparation for consideration by Cabinet. | | | | | | | | | | | | |
| RSR/SRS002 | Formulate the next three-year financial programme (2021-2024) with all three partner Councils. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DH | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The Management Board discussed budget options in September 2021. The matter has been referred to the Section 151 officers. | | | | | | | | | | | | |

Return to Risk Summary Report

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | This risk focuses on how we respond to new and emerging legislative requirements, particularly where the nature of the legislation is cross-cutting in terms of the impact it has on a variety of service areas. There is the risk that there is a failure to be able to effectively co-ordinate the implementation of significant legislative change across the breadth of Council services/functions. This applies to key pieces of legislation such as the Local Government & Elections (Wales) Act 2021. |
| | The Local Government and Elections (Wales) Act 2021, in terms of reforming Local Government sets out a series of provisions, including: |
| | <ul><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> |
| | 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 18th November 2020. The Bill became an Act when it received royal assent on the 20thJanuary 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. |
| | |
| **1.2 Risk Owner** | **Senior Leadership Team** |

## 1.3 Impact on our contribution to the Wellbeing Goals

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

## 1.4 Risk Categories

| Categories | Yes/No | Definition |
|---|---|---|
| *Political & Legislative* | Yes | Political and legislative repercussions of failing to meet the requirements of the Local Government and Elections (Wales) (LG&E) Act 2021 could lead to litigation, fines and/or political instability. <br><br> Failure to respond appropriately to the changes required by the LG&E Act 2021 regarding public participation, performance management and leadership of Councils. <br><br> Failure to use the General Power of Competency introduced by the LG&E Act 2021 appropriately and/or to make use of opportunities arising from this provision. <br><br> 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&E Act. |
| *Resources* | Yes | Insufficient funding to ensure that we can meet our legislative requirements associated with the LG&E Act. <br><br> Failure to effectively engage and mobilise our resources to effectively meet and deliver requirements associated with LG&E Act. This is applicable in light of COVID, which has impacted on both our function and capacity. <br><br> 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&E Act. |

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| *Service Delivery and Wellbeing* | 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. |
| *Reputation* | Yes | Failure to communicate effectively could undermine the trust of employees, external stakeholders and our customers and poorly orchestrated delivery of organisational changes associated with legislative change.

Loss of confidence and trust by the public as a consequence of a failing to meet our constitutional and legislative obligations and the associated negative publicity. Lack of credibility and potential criticism from our external regulators. |

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | • **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| *Political & Legislative* | • Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments relating to legislative change.<br>• Attendance at WLGA Heads of Policy Network meetings.<br>• Name change of Committee to Governance & Audit Committee agreed by Council. Democratic Services used Emergency Powers to update Committee Terms of Reference and the Constitution. | 2 | 2 | 4 |
| *Resources* | • Budget setting process includes considerations of cost pressures arising from legislative change.<br>• 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&E Act in mind.<br>• 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.<br>• Contributing to the development of national guidance to accompany the changes required by the Act to the performance framework for local authorities.<br>• A project group has been established for implementing requirements of the LG&E Act. | 2 | 1 | 2 |
| *Service Delivery & Well-being* | • 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. | 2 | 1 | 2 |
| *Reputation* | • Regular meetings and liaison with Audit Wales, WLGA and Welsh Government, City Deal and various other professional networks on | 2 | 1 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | • **Current Controls** | **Effectiveness of controls** | | |
| | 43 | **Likelihood Score** | **Impact score** | **Total Score** |
| | progress being made on delivering our LG&E Action Plan. | | | |
| **Overall Effectiveness of Controls Score** | | **2** | **1** | **2** |

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

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| LCR/PB001 | Enhance performance and risk reporting to reflect and respond to the changes introduced by the Local Government and Election (Wales) Bill. | ☑ | ☑ | ☑ | ☑ | ☑ | | | | ☑ | T Bowring | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | We continue to progress work 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | T Bowring | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Work has continued 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. | | | | | | | | | | | | |
| LCR/RP001 (RP/A010) | Following the implementation of the Local Government and Election Act, work with the Cardiff Capital Region to reach agreement to | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG | March 2022 | **RED (Slipped)** |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | progress a Strategic Development Plan for the Cardiff Capital Region in agreement with all South East Wales Local Authorities. | | | | | | | | | | | | (RED) |
| **ACTION UPDATE:** | Awaiting establishment of Corporate Joint Committee to enable commencement of work on SDP | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | CL | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | 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. Recruitment process agreed and started. | | | | | | | | | | | | |
| 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 Action Plan (as endorsed by Cabinet in December 2020). | ☑ | ☑ | | ☑ | ☑ | | | ☑ | ☑ | 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 | | | |
| | *Milestone action:* *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 Local Government and Elections (Wales) Act 2021 to enable (in part) electoral reform and ensure a robust governance framework.* | | | | | | | | | | | | |
| ACTION UPDATE: | Action plan progressing. Various elements have been implemented. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | DM | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | This service is embedded within the service provided by LS in relation to the legal implications arising and risk management. | | | | | | | | | | | | |

Return to Risk Summary Report

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

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

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

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

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | a breach of our duties under the Health and Safety Act Disability Discrimination Act.<br>The Council could fail to meet the statutory requirement to meet the demand for Welsh medium school places and the need to meet the Welsh Government commitment for one million Welsh speakers by 2050. |
| *Resources* | Yes | Failure to deliver the programme in line with plans approved by Welsh Government could impact on the Council's success in securing grant funding in future bands of the 21st Century Schools Programme. There is the concern that COVID-19 could further 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.<br><br>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.<br><br>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 need 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.<br><br>Failing to reduce surplus places through investment impacts on effective resource management in schools.<br><br>Insufficient funds to carry out prioritised asset renewal schemes impacts on health and safety.<br><br>A requirement of 21st Century Schools is that all grant funded schemes should meet BREEAM Excellent which addresses wide-ranging environmental and sustainability issues. Failure to deliver schemes would impact adversely on a range of factors including energy efficiency, carbon emissions, minimising waste and improvements to community involvement and social inclusion.<br><br>Impact of supply chain issues and escalation of material costs on deliverability of projects within Band B programme. Increasing overall costs for project deliveries. Without additional funding from Welsh Government to address the market changes current and upcoming scheme could become undeliverable within |

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | current budgets. The shortfall would need 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 |
| *Service Delivery and Wellbeing* | Yes | Failure to implement an appropriate school reorganisation programme as a result of not achieving our surplus place target. Impact of new housing developments is likely to place a significant pressure on school place planning. Insufficient capital funding for building works could lead to further deterioration 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.<br><br>Failure to meet demand for Welsh medium education.<br><br>Impact of a poor learning environment on a pupil's learning experience if we fail to meet the 21st Century Schools standard.<br><br>COVID-19 has the potential to impact/delay our ability to deliver some aspects of the 21st Century Schools Investment Programme into the short term if lockdown restrictions need to be reinstated in response to any potential future waves of the pandemic. |
| *Reputation* | Yes | Failing to provide the right type and number of school places in the right areas could result in the Council being in breach of statutory requirements which would impact on its reputation. Similarly, closure of schools as a result of building failure would attract negative publicity and criticism from the community and regulators. |

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

| Reputation | 3 (Probable) | 4 (Catastrophic) | **12 (High)** |
|---|---|---|---|
| **Overall Inherent Risk Score** | **3 (Probable)** | **4(Catastrophic)** | **12 (High)** |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| *Political & Legislative* | • Awareness raising session held with members, Insight board and CMT on the issues associated with the 21st Century Schools Programme with the need to release funding through the rationalisation of places and the need to generate capital receipts.<br>• 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 .<br>• Strategy to support Welsh medium education, Welsh language promotion and contribute to Welsh Governments target of one million Welsh speakers by 2050 through the Council's Welsh in Education Strategic Plan (WESP). | 2 | 2 | 4 |
| *Resources* | • Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme.<br>• Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects.<br>• We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements. Agree amendments to the Planning Obligations SPG to create a more | 2 | 2 | 4 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | flexible approach to acquiring and using s.106 funding.<br>• (See update in service delivery section below) Data relating to new housing developments and population projections is now available and being used to model options for school place planning for the long term.<br>• A preferred alternative site for Pupil Referral Unit (PRU) has been identified and has been progressed to the planning stage. Existing agreement at Amelia Trust Farm extended until September 2023 to accommodate slippage in CLWB School delivery.<br>• The Vale WESP 2020 Update was approved by Welsh Government. Gained final approval for Barry Secondary Learning business cases (FBCs) and construction is complete at Whitmore and well underway at Pencoedtre.<br>• "Being Bilingual" web page available on website with information on Welsh medium education and access to the Welsh Medium Education Survey for completion.<br>• 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 for expanded ALN provision.<br>• Developed proposals for a Centre for Learning and Well-being implemented in September 2021, PRU discontinued in the Vale of Glamorgan, now managed under Ysgol Y Deri through Centre for Learning and Well-being.<br>• Building issues identified from the Accessibility Strategy consultation have been fed into the Asset Renewal Plans for 2021/22. | | | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | | | | |
| *Service Delivery & Well-being* | • Actively participate in the Council's Carbon Management Group.<br>• 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.<br>• Re-evaluating current and future schemes to ensure they met net zero carbon principles. Welsh Government have committed all new schools in Wales will now be net zero carbon.<br>• Work closely with the Planning Officers to identify potential educational demand as a result of new housing developments in order to maximise S106 funding.<br>• Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school).<br>• Colcot Primary School Barry – Refurbishment (fully funded by Local Authority)<br>• Romilly Primary School, Barry – new foundation phase block. (Band A)<br>• New 60 place part-time Fairfield Nursery opened.<br>• Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now open and operating successfully.<br>• 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.<br>• New admission arrangements for 2022/23 has now been concluded. | 2 | 2 | 4 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | Admission arrangements consultation approved by Cabinet included some changes to original proposals.<br>• Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report.<br>• 21st Century Schools programme Band B projects progressing- Whitmore, Pencoedtre, Ysgol Gymraeg Bro Morgannwg, and Llancarfan schemes are onsite and progressing in line with agreed programme with contractor. St David's has been delivered by the contractor and hand over to school is now complete. Contractor has been appointed to deliver Centre for Learning and Wellbeing and Cowbridge Primary Provision. St Nicholas Scheme under review with appointed contractor, delivery of replacement school agreed with additional nursery provision. | | | |
| *Reputation* | • Survey demand for school places in line with the Council's Welsh Education Strategic Plan.<br>• Periodic review rolling 25-year plan for schools asset renewal.<br>• Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity. Improving community benefits through identified surplus capacity and/or providing additional learning opportunities.<br>• Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes. Lockdown restrictions eased, re-instating face to face engagement events for statutory consultations and planning consultations. | 2 | 2 | 4 |
| **Overall Effectiveness of Controls** | | **2** | **2** | **4** |

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

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| SRR/SP001 | Work with the 21$^{st}$ 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MH | January 2023 | **AMBER (Minor Slippage)** |
| **ACTION UPDATE:** | This project is now due to be delivered by Spring 2023. Y Daith closed on the 31/8/21 and the Centre of Learning and Wellbeing has opened on 1/9/21. Planning has been submitted for the CLWB School, decision on the scheme is expected in November 2021. Likely starting on site in February / March 2022. Potential slippage of planned completion of January 2023. | | | | | | | | | | | | |
| SRR/SL001 | Work with schools and other key stakeholders to ensure that all learners (especially vulnerable learners) are able to access school places in appropriate locations which meets their needs and are able to be part of the school community. | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | ☑ | TB | September 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 | | | |
| **ACTION UPDATE:** | Consultation on Penarth Nursery Provision was launched on 20th September 2021 under 21st Century Schools. On track for proposal to be considered by Cabinet in December 2021 with implementation planned for September 2022. | | | | | | | | | | | | |
| SRR/SL002 | Strengthen our approach to school place planning to ensure there are sufficient and quality diverse school places in the Vale of Glamorgan to meet the needs of learners now and in the future. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | TB | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The groups have reported to School Improvement Project Board and continue to meet regularly to ensure school place planning is resilient and stands up to challenge. The group has recently supported the development of a realistic and challenging WESP target and supporting documentation in advance of the WESP consultation taking place in quarter 3. | | | | | | | | | | | | |
| SRR/SL003 | 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, Pencoedtre 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 | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | TB | March 2022 | **AMBER (Minor Slippage)** |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| **ACTION UPDATE:** | Majority of projects on track against programme. Key milestones:<br>• St David's CIW Primary School - new build opened September 21.<br>• Ysgol Bro Morgannwg - refurbishment and new build sections opened September 21.<br>• Programmes are starting to be affected by delays and availability of materials as a result of COVID-19 and Brexit.<br>New school planned at Barry Waterfront for Sant Baruc has been delayed due to issues arising collaborating with a third party (the consortium) who are responsible for delivering the school as agreed through s.106 agreement. Planned completion in November 2022 with January 2023 occupation. | | | | | | | | | | | | |
| SRR/SL004 | Lead on implementing the Vale of Glamorgan Welsh in Education Strategic Plan (WESP), focusing on the six key priority areas. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | TB | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The draft WESP 2022-32 was published for consultation in the Autumn term. The draft document will be considered by Scrutiny and we conducted a number of meetings and engagement events with the Vale WESP Forum and stakeholders as part of the consultation. | | | | | | | | | | | | |
| SRR/SL005 (Links to Envtal Sustainabi lity) | 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| **ACTION UPDATE:** | Low and net zero carbon projects on track. Data from Whitmore High School and Ysgol Bro Morgannwg projects starting to be returned. Re-evaluating current and planned projects to re-design schemes to deliver low and net zero developments. | | | | | | | | | | | | |

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive. There is a Statutory Target for Recycling based on the Welsh Government's 'Towards Zero Waste' Waste Strategy. Aligned to this are national statutory landfill reduction/ diversionary targets. Failure to meet the national waste agenda and meet its associated targets increases the likelihood of incurring significant fines and could have detrimental impact on the Council's reputation.<br><br>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.<br><br>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.<br><br>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  2022.<br><br>The planned roll out to Barry was delayed by 4 months, due to COVID-19. Penarth will be rolled out during  2022 as it is dependent on the  permanent Waste Transfer Station at the Atlantic Trading Estate being operational. Now that planning permission has been received, construction has commenced, and it is due to be completed late summer 2022. |
| **1.2 Risk Owner** | **Head of Neighbourhood Services and Transport (ER)** |

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

| 1.4 Risk Categories | | |
|---|---|---|
| Categories | Yes/No | Definition |
| *Political & Legislative* | Yes | Failure of contract agreements associated with our waste collaborations. Failure to comply with statutory waste targets and the associated Welsh Government guidance. |
| *Resources* | Yes | Inability to streamline our approach to optimise productivity as consequence of budgetary cuts and/or staff shortages that will impact on our performance against waste reduction targets.<br><br>Inability to effectively monitor and manage our contract agreements resulting in poor contractual compliance and performance. This risk is pertinent in light of COVID.<br><br>Council incurs fines as a result of failing to meet statutory waste reduction targets.<br><br>National Welsh Government grants are withdrawn as a result of failing to meet statutory waste reduction targets.<br><br>Diversion of resources in response to COVID-19 impacts on our resource capacity to progress key waste projects e.g. waste transfer station and roll out of the Blueprint. |
| *Service Delivery and Wellbeing* | Yes | Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including:<br>i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales);<br>ii. pollution of the local environment (e.g. contamination of groundwater; soil contamination).<br><br>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.<br><br>Poor engagement with the hard to reach section of our community resulting in lower recycling and composting take up rates.<br><br>Poor communication following any change in collection methodology resulting in poor take up of recycling and composting services. |

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

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

| 2.2 Controlling Inherent Risk | | | | | |
|---|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** | |
| *Political & Legislative* | • Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running<br>• Waste Resource Action Programme (WRAP) is completed. Cabinet agreed a black bag restriction for 2018/19 to move on a phased basis to the Welsh Government Blueprint which commenced on the 14th October 2019 for the Rural Vale with | 1 | 2 | 2 | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | roll out to Barry in October 2020. Penarth is planned for 2022 | | | |
| *Resources* | • Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.<br>• The 25-year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place.<br>• Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council.<br>• Household Waste Recycling contract operated by the company FCC.<br>• 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.<br>• Since October 2019, the environmental enforcement service has been brought back in house under a new enforcement team. From 1st April 2020 a new dual enforcement team was established. A review of the Service has recently commenced.<br>• Annually bid for Welsh Government Environment and other Grants to deliver improvements to the waste management infrastructure.<br>• Ongoing monitoring of budgets and grant funding to ensure we are able to deliver the National Waste agenda.<br>• Emergency Powers sought to authorise the appointment of 12 new permanent LGV driver posts to enhance our resilience by securing temporary and agency staff working in the service area. | 1 | 1 | 1 |
| *Service Delivery & Well-being* | • Increased waste awareness initiatives and participate with Keep Wales Tidy events. | 1 | 2 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | • Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators.<br>• Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery.<br>• 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.<br>• 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.<br>• The interim Waste Transfer Station (WTS) at Cowbridge is operational.<br>• The planned Blueprint roll out for 2020/21 has now been completed in relation to Barry. Penarth roll out due to commence , 2022 subject to Waste Transfer Station being operational.<br>• The service will exceed the current statutory recycling rate from its performance during 2020/21. | | | |
| *Reputation* | • Regularly implement high profile campaigns in the community to raise awareness of the importance of recycling, composting. Consultation regarding possible changes to waste service including a series of engagement events through throughout the Vale of Glamorgan area.<br>• Maximise the use of Social Media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner to raise awareness of dog fouling/littering issues. | 1 | 2 | 2 |

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

| | | | | |
|---|---|---|---|---|
| | | Likelihood Score | Impact score | |

## 2.3 Residual Risk Scoring & Direction of Travel

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

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| WMR/NS001 | Implement the Waste Blueprint (source segregated recycling) in Penarth once the permanent Waste Transfer (Resource Recovery Facility) Station is operational. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | CS/ER | September 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Work has commenced on Phase 1 of the Waste Transfer Station this quarter. | | | | | | | | | | | | |
| WMR/NS002 (NS/A046) | Exceed the National Recycling Target.<br><br>Achieve the National Domestic Waste Recycling Target for 2024 / 2025. | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | ☑ | CS/ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | We are on track to achieve the 2025 recycling rate in 2021/22. | | | | | | | | | | | | |
| WMR/NS003 | Following the granting of planning permission commence the construction of a (Resource Recovery Facility) Waste Transfer Station for Barry. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | CS/ER | September 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Work has commenced on Phase 1 of the Waste Transfer Station this quarter. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| WMR/NS004 | Monitor budgets to ensure we are able to deliver the National Waste agenda through effective use of grants and resources. | | ☑ | ☑ | ☑ | | | | ☑ | ☑ | CS/ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Training ongoing throughout quarter 2.  Some issues with licences being issued.  HGV resilience plans in preparation. | | | | | | | | | | | | |
| WMR/NS006 (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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | CS/ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The service continues to support local stakeholders and volunteers that work in our communities in partnership with Keep Wales tidy which ensures a coordinated approach to improve Local Environmental Quality. The service also continues to support litter hubs and community efforts that deliver improvements to local environmental quality. | | | | | | | | | | | | |
| WMR/NS009 (NS/A004) | Review the electronic booking system introduced for Household Waste Recycling Centres. | | ☑ | ☑ | | ☑ | | ☑ | | ☑ | CS/ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Booking system went live in October 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/NS010 (NS/A041) | Complete a business plan to deliver a 10-year waste strategy. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | CS/ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The business plan to deliver a 10-year waste strategy has been drafted and will be considered during quarter 3. | | | | | | | | | | | | |
| WMR/NS011 (NS/A042) | Ensure there are sufficient and appropriate end designations for the resale and reuse of recyclate material and minimise the export of recycling and waste wherever possible. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | CS/ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The service area has now set up contracts for all source separated recycling material and they are based on WG guidance to ensure materials remain in the UK wherever possible. There is still a need to reduce comingled recycling and the introduction of flats and apartments source separated recycling will help with this and will commence in quarter 3 and 4 and the remaining Penarth service change will be implemented in 2022/23. | | | | | | | | | | | | |
| WMR/NS012 (NS/A043) | 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| **ACTION UPDATE:** | The re-use shop has received planning permission with delivery in October 2021. The construction of the Resource Recovery Facility in underway but due to the impact of Covid and the availability of materials, the operational date is expected August 2022.  The development of a new western Vale Household Waste and Recycling Centre is progressing and land options identified. A preferred site for consideration will be identified in quarter 3. | | | | | | | | | | | | |
| WMR/NS013 (NS/A044) | Roll out new recycling arrangements in Penarth to complete the introduction of the source separated recycling system for the Vale. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | CS/ER | September 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The construction of the Resource Recovery Facility is underway, but the roll out to Penarth will not be possible until the new facility is operational. Due to material delays it is unlikely that the facility will be operational this financial year. | | | | | | | | | | | | |
| WMR/NS014 (NS/A045) | Engage with residents, Housing Associations and other landowners to roll out source separated collections to flats and apartments across the Vale. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | CS/ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Delivery of the bins are due October 2021 and then a programme to roll out a source separated recycling service to flats and apartments will commence. | | | | | | | | | | | | |

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | As the Council continues to go through significant change over the next few years it is imperative that we are able to anticipate the human resources implications of such change and ensure that we have a number of people with the right skills and experience to deliver the services of the future. In managing the risk it is important to consider the particular challenges presented by the current financial pressures within the public sector, the need to ensure the engagement of staff throughout the change process and the need to plan for and respond to issues of anticipated skills shortages. We continue to experience difficulties in recruiting and retaining staff in some key service areas across the Council e.g. namely health and social care (residential care, domiciliary care and social workers). Skill shortages exist in some areas like Social Work, Legal Services, Planning, and ICT where market forces have impacted on our ability to recruit and retain skilled/qualified staff.

This risk needs to be considered alongside the Council's Reshaping programme agenda could have on our workforce. Therefore, the innate risk is the inability to anticipate and plan for the workforce needs of the future in order to meet the changing service requirements.

The risks surrounding workforce needs have been further compounded by COVID-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.

Human Resources, ICT and Senior Management had to react quickly to the emerging crisis to enable the workforce to work more remotely in an agile way with minimal disruption to core service delivery.

Hand in hand with this was the need to look at repurposing and redeploying staff to business-critical areas to respond to the growing demand on staffing e.g. within our residential and domiciliary care roles, waste collection teams and to enhance capacity within our Contact Centre to support vulnerable individuals shielding in their own homes. In addition, working in partnership with Cardiff Council and the Health Board staff have been redeployed to support the regional approach to Track, Trace and Protect and the vaccination programme.

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. |

| 1.2 Risk Owner | Head of Human Resources and Organisational Development (TD) |

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

| 1.4 Risk Categories | | |
|---|---|---|
| Categories | Yes/No | Definition |
| *Political & Legislative* | Yes | Political and legislative repercussions of failing to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.<br><br>The COVID pandemic brings with it an increased risk of challenge and the potential for litigation. This could impact on the council if poor judgement is exercised regarding workforce related decisions. |
| *Resources* | Yes | A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on a range of factors including the commitments to increase the number of apprenticeships within the Council (and wider community), the increase of younger employees (as a percentage of the wider workforce) and the aims within the Council's Equalities Strategy.<br><br>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.<br><br>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.<br><br>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.<br><br>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 |

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

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | needs is likely to remain with us for some time as we adapt to new working practices.<br><br>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.<br><br>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.<br><br>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.<br><br>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.<br><br>COVID has presented us with new challenges associated with how we support continuity of service delivery whilst ensuring the health, wellbeing and safety of our remote workforce. As the organisation adapts to new ways of working, there is the risk we fail to effectively identify manage and meet the variety of well-being and safety concerns that may arise as a result of home working. |
| *Reputation* | Yes | Negative perception of the Council amongst citizens as an employer impacting on recruitment and retention rates across the organisation. This is particularly applicable in light of COVID, where some front-line positions are lower paid e.g. care home staff and waste operatives, these posts may be perceived as particularly high-risk areas for contracting the infection. As a consequence, these posts maybe seen as less desirable which in turn may compound recruitment difficulties. This is in the context of growing discontent regarding wider socio-economic pressures being faced by our lowest paid staff and perceptions of external/independent care providers.<br>Failure to put in place succession pathways in place to address our ageing workforce in specific service areas.<br><br>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 |

| 1.4 Risk Categories | | |
|---|---|---|
| Categories | Yes/No | Definition |
| | | address the gender pay gap that exists nationally and locally. A failure to implement actions within the workforce plan would impact adversely on such equalities commitments and our reputation as an employer. |

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | **Effectiveness of controls** | | |
| | | Likelihood Score | Impact score | Total Score |
| *Political & Legislative* | • CMT/Cabinet, Joint Consultative Forum and Change Management Board receives regular reports on a range of HR issues and developments.<br>• Robust performance management arrangements in place across all service areas. | 2 | 1 | 2 |
| *Resources* | • Managers are supported through the management of change through training and ongoing advice from HR Officers and supported by Organisational Development.<br>• 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 | 1 | 2 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • 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. This has been complemented by a renewed Workforce Development Strategy and draft Implementation Plan.<br>• Continue to build upon and embed succession planning processes and have established a Strategic Workforce Planning Group.<br>• 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.<br>• 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.<br>• Management Competency Framework is live and is used with the #itsaboutme process. 'Staff Charter' is fully embedded within the organisation. To complement this we have launched our  our new 'Culture Book'. 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<br>• Employee Core Competency has been launched to help identify and address skill gaps across the Council. | | | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | • 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.<br>• 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.Following a restructure within Audit, the Regional Internal Audit Shared Service is fully operational.<br>• Chief Officer briefing sessions and management development sessions are now embedded and will next run in October 2021<br>• 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.<br>• 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. For Resource Management & Safeguarding a local training team has been established within the Organisational Development Team. Within Children and Young People Services, a Training Needs Analysis | | | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | informed this years' CYPS training programme including implementation of a strengths-based approach.<br>• 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.<br>• A new mobile working solution with Neighbourhood services has been approved and procured.<br>• Reviewed the Planning Team structure in light of increased demand for planning and other applications and recruited a new Senior Planner in Development Management and new Assistant Planner in Policy with the possibility of a pay and grading review to commence in April 2022. This most likely to be undertaken in a phased way once the Oracle project work is fully embedded. | | | |
| *Service Delivery & Well-being* | • Workforce planning processes delivered with a focus on alternative service delivery and workforce implications. This process is now being refreshed with a new operational emphasis for September 2021<br>• The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data.<br>• We continue to move towards a HR Self-Service model with further progression made with the Oracle project. Worked collaboratively with Trade Unions in relation to our frontline teams to ensure they have the necessary tools and skills to access these new systems.<br>• Organisational Development support provided to the Reshaping programme continues to influence how we deliver alternative models of service delivery.<br>• #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 the Culture Book and Reshaping agenda. The appraisal process has been launched on iDev. | 1 | 2 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | • 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.<br>• Councils new Volunteering Policy has been launched. HR are working in collaboration with Neighbourhood Services to delivery a volunteering programme over the next 6 months.<br>• 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.<br>• The Management Competency Framework is in place. Several management development sessions continue to be held with managers focusing on managing the future, the Digital Strategy and commercialisation. Chief Officer briefing sessions and management development sessions have been held in accordance with the new Management Competency Framework. 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.<br>• 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.<br>• 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 | | | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | may see some minor tweaks to the HR team in future months<br>• Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process is under development.<br>• Purchased an Occupational Health IT package to support the effective and efficient processing of all occupational health processes which is due to go live in April 2022.<br>• 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.<br>• 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.<br>• Management promote and enhance staff involvement and engagement across the Council.<br>• Increased opportunities for all with particular focus on underrepresented 16-24-year olds to participate in work placements via the KickStart scheme.<br>• The Regional Internal Audit Shared Service is fully operational.<br>• Staff have been encouraged to participate training and development to support their roles, which has been reaffirmed through the #itsaboutme process.<br>• 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.<br>• We continue to keep under review staff wellbeing, with the continued and sustained support our staff with access to trauma informed training webinars for our all staff to access. | | | |
| *Reputation* | • All recruitment adverts promote the Council as an equal opportunities employer.<br>• The 'Staff Charter' is now embedded and work has commenced with the Engagement Forum to refresh the charter | 1 | 2 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | for the next 5 years aligned to the corporate plan as a result a new Culture Book was launched .<br>• 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 is now under review.<br>• Developed good relationships with local education establishments (Cardiff University & Cardiff and Vale College) as well as independent Apprenticeship providers.<br>• Continue to develop strong working relationships with all our recognised trade union partners, including Unison, NAHT, NASUWT, NEU.<br>• 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%. | | | |
| **Overall Effectiveness of Controls** | | 1 | 2 | 2 |

| 2.3 Residual Risk Scoring & Direction of Travel | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | Inherent Risk Scores | | | Effectiveness of controls Score | | | Residual Risk Score | | | Direction of Travel | Forecast Direction of Travel |
| Category | Likelihood | Impact | Total | Likelihood | Impact | Total | Likelihood | Impact | Total | | |
| Political & Legislative | 3 | 3 | 9 | 2 | 1 | 2 | 2 | 3 | 6 | ↔ | ↔ |
| Resources | 4 | 3 | 12 | 1 | 2 | 2 | 4 | 2 | 8 | ↑ | ↔ |
| Service Delivery & Well-being | 4 | 4 | 16 | 1 | 2 | 2 | 4 | 2 | 8 | ↑ | ↔ |
| Reputation | 4 | 3 | 12 | 1 | 2 | 2 | 4 | 2 | 8 | ↑ | ↔ |
| **Average risk score/ direction of travel** | 4 | 3 | **12** | 1 | 2 | **2** | 4 | 2 | **8 (Medium/ High)** | ↑ | ↔ |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| WFR/HR001 (HR/A006)  WFR/LD001 | Develop a strategic workforce plan for the next five years, which identifies skills gaps, growth areas, age profile etc and provides for mitigation.  Deliver workforce planning with a focus on alternative service delivery and workforce implications. | | ☑ | ☑ | | ☑ | | ☑ | ☑ | ☑ | TD  DM | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | The workforce strategy continues to be developed with specific work undertaken during Q2 to support the staff risks for roles such as HGV drivers and Residential Care staff which are facing national shortages.  The Council signed up to the LinkedIn recruiter (the first Council in Wales) to improve the attraction of key roles within the Authority. Final draft plan to be submitted shortly to Scrutiny for consideration. The Strategic Workforce Planning Group has been established and meets bi-monthly.  Within Legal and Democratic Services, workforce planning is embedded within the department and will remain a  on-going for 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. | | | | | | | | | | | | |
| 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 | | |
| **ACTION UPDATE:** | Further work has continued on the development of a new HR Strategy and Workforce Plan during Q2, with comments being received back from the diversity networks. Within Adult Services, 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 our 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. 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. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | 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 | | | |
| ACTION UPDATE: | Staff wellbeing continues to be a key focus within the organisation. During Q2 the launch of the Healthy Travel Wales Day coincided with a number of staff travel promotions including the launch of the Cycle 2 Work scheme, Dr Bike maintenance sessions, cycle repair kits available in the main offices together with new walking guides and travel incentives. During Q3, Trauma Informed training sessions are due to be launched as well as a Learning Café to raise awareness of Menopause. | | | | | | | | | | | | |
| WFR/PB001 (PB/A025)  WFR/ALN001 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. | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | | T Bowring   DD/MH/ T Baker | March 2022 | GREEN (On track) |
| ACTION UPDATE: | 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.  Learning & Skills directorate- The results from the wellbeing survey are 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. Within the Learning and Skills directorate, all managers have discussed future ways of working in order that we complete the 'your space' questionnaire. Understandably, there are varying viewpoints, but we are committed to ensuring staff wellbeing is considered alongside the needs of the business. Work remains ongoing alongside corporate initiatives including the culture book and accommodation work. Arrangements are in place for staff who need to have a physical presence at work, and all members of staff are working well with new technologies provided. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| WFR/HR004 (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 | **RED (Slipped)** |
| **ACTION UPDATE:** | The numbers of new roles being put through to take advantage of youth employment opportunities has declined over the last few months.  Our under 24s headcount as of 5th October is 4.4%.<br><br>SLT paper was taken on 7th October to suggest potential improvements around youth employment, and as a result we will be undertaking the following activities in the coming months to improve in this area:<br><br>1. Awareness pieces to improve knowledge and understanding of youth employment opportunities and processes.<br>2. Processes for recruiting entry level positions and utilising more youth employment opportunities.<br>3. Promoting supported qualification routes in hard to recruit professions. | | | | | | | | | | | | |
| WFR/HR003 (HR/A007)<br><br>WFR/PB002 (PB/A026) | Implement a new Culture Book and Employee Development Programme.<br><br>Contribute to the development of a new Employee Development Programme aligned | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | TD<br><br><br>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 | | | |
| | with next phase of the Council's transformational change programme. | | | | | | | | | | | | |
| ACTION UPDATE: | Culture Book was successfully launched in August 2021.  Work will continue to embed the Book across the Council and continue to add stories to the book.  Paper taken to SLT on 7th October regarding Learning Frameworks, we will now look to create a 'catalogue' of learning so all staff are aware of what learning interventions are available to support their development.  Further work will take place to link this learning into our Talent and succession processes.<br><br>The Policy & Business Transformation Team continue to provide assistance with promoting the Employee Development Programme and Culture Book in terms of content and communications. | | | | | | | | | | | | |
| WFR/CS003 (CS/A008)<br><br>WFR/RMS001 (RMS/A009) | In partnership with the Training Unit conduct a Training Needs Analysis based on our new ways of working.<br><br>Inform the development and implementation of a local training team to support the identification of training needs | | ☑ | ☑ | | ☑ | | ☑ | ☑ | ☑ | RE<br><br>AP | March 2022 | GREEN (Completed)<br><br>Action completed and will be reflected as a control in the Register |
| ACTION UPDATE: | Within Children and Young People Services (CYPS), a Training Needs Analysis informed this years' CYPS 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.<br><br>Within Resource Management & Safeguarding, a local training team is now in place, managed by the Organisational Development Team. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Risk Action Ref.** | **Action** | **Risk 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/FIT002 WFR/HS001 WFR/LD002 WFR/NS001 (NS/A009) WFR/SRS001<br><br>WFR/AS002 (AS/A009)<br><br>WFR/RP001 (RP/A007) | Further develop succession planning arrangements within the Finance Division as part of the corporate succession plan pilot in order to retain expertise and skills especially in business-critical areas for the long term.<br><br>Ensure robust succession and growth plan to continue to deliver our Approved Health Practitioner Service.<br><br>Continue the review of Building Control and implement a staff succession plan. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | TD CL MI DM ER MG DH<br><br><br>SC<br><br><br><br>MG | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Succession planning continues to be a key area of focus across the organisation to ensure that we have and retain expertise and skills in critical business areas. Within Finance, ICT and Property, our succession planning process has been completed for the division as a whole. Discussions did take place with staff via the #itsbaoutme process and the findings will be fed into the Service's planning for the future. | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk 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 Housing Services, the staffing analysis/audit has been completed identifying critical posts and retention opportunities. Plans are being developed to include identification rising stars, apprenticeships, training and development & leadership opportunities. | | | | | | | | | | | | |
| | Within Legal and Democratic Services, succession planning remains an ongoing focus for 2021/22 and is embedded within the department. Identification of key roles, with a review of Legal Services structures are under consideration/action. | | | | | | | | | | | | |
| | In Neighbourhood Services, there will be a refinement of succession planning with a SWOT analysis planned for quarter 3 to complete the exercise. | | | | | | | | | | | | |
| | Adult Services- two staff have recently qualified as Approved Mental Health Professional and are now licenced to practice as an AMHP for Vale of Glamorgan Council. However, the service remains fragile in the short to medium term, with our managers needing to step in to ensure we are able to cover the rota. However, our longer-term plans are working well, with 3 AMPH's commencing training, and a further three identified for training in the following year. | | | | | | | | | | | | |
| | Within Regeneration & Planning, following on from the retirement of Principal Building Control Officer, a successful candidate has been appointed to this senior role. In addition, an apprentice Building Control Officer (BCO) has been appointed into a permanent Assistant BCO role. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | ☑ | MG | March 2022 | **GREEN (Completed)** Action completed and will be reflected as a |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | | | | | | | | | | | | | control in the Register |
| **ACTION UPDATE:** | New Senior Planner in Development Management and new Assistant Planner in Policy successfully recruited in Q2. | | | | | | | | | | | | |
| WFR/RP004 WFR/FIT001 (FS/A008) WFR/HS002 WFR/LD003 WFR/NS002 WFR/SRS002 | 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 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Across the organisation, we continue to actively engage and encourage staff to participate in well-being initiatives such as promotion via team meetings and 1-2-1's to access the Councils wellbeing services such as occupational Health and Care First. | | | | | | | | | | | | |
| WFR/HS003 WFR/NS003 | Expand the Council's Apprenticeship Scheme to provide a greater number and range of opportunities. (Includes Kickstart scheme) | | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | ☑ | MI T Baker | 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/SL002 | Leverage apprenticeships schemes to grow capacity, expertise and sustainability, with a focus on the MIS, School Organisation and ICT sections of the service. | | | | | | | | | | | | |
| ACTION UPDATE: | Within Housing Services, apprenticeships for building service front line have been put on hold this year because of the difficulties experienced in trying to complete work logbooks during the pandemic. The ability to collaborate with outside companies has proved difficult over the past year and our existing apprentices have had to wait a further year to complete the modules in full. Apprenticeships have been created in the Housing Income team and the first apprentice has successfully applied for a permanent role within the team. The next apprentice has been recruited and is now halfway through their apprenticeship. There are further plans to recruit an apprentice into the Community Investment team to assist with recording of outcomes and communicating with tenants. In addition, four new starters have been recruited via the Kickstart scheme to carry out the tenant profiling exercise. We will be reviewing each start up position in the Vale to consider an apprentice.<br><br>Within Strategy, Community Learning & Resources, the Kickstarter contracts have now expired within the team, however all 3 apprentices have secured full time positions. One of them as a permanent IT technician within the ICT & Data Team. We will be recruiting for another Kickstarter post to act as a data processor to support with the B2B process. | | | | | | | | | | | | |
| WFR/HS004 (HS/A008)<br><br>WFR/NS004 | Implement a training programme to respond to the feedback received from the digital questionnaire aimed at assessing staff IT skills. | | ☑ | ☑ | ☑ | | | ☑ | ☑ | ☑ | MI<br><br>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 | | | |
| WFR/ALN0 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. | | | | | | | | | | DD | | |
| ACTION UPDATE: | Within Housing Services, training needs have been identified and discussions with internal Organisational Development department 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.  Corporate training package being delivered to staff needed to enhance their IT skills. In Waste services, a Business Plan was considered by business cabinet in October 2021. Training on the ALN Act and IDPS has been offered and run for all central staff and social services. Many central staff also attend  the relevant parts of half termly ALNCO days. I have set up meetings with managers to discuss the implementation of IDPs and the processes around this, to ensure we are meeting the statutory requirements of the ACT | | | | | | | | | | | | |

| Risk Action Ref. | Action | Risk 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/PB003 (PB/A024) | Contribute to the development and co-ordination of a range of activities to enhance inclusivity in the workplace. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | | ☑ | TB | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | We prepared a series of articles to raise staff awareness of equality issues and our staff networks to promote during National Inclusion Week.  We have sought Senior Leadership Team support for the optional introduction of use of pronouns and we launched this during National Inclusion Week. | | | | | | | | | | | | |
| 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. | | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | CL MG DM | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Across the organisation there continues to be a focus on upskilling and developing flexibility in skill sets. To do this we continue to encourage our staff to use the iDev system and other external training opportunities that are relevant to their roles. There also continues to be a focus on development opportunities, 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. | | ☑ | ☑ | ☑ | | | ☑ | ☑ | ☑ | DH | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | A proposal for a Regulatory apprenticeship scheme Level 4 has been submitted to the Welsh Government.  This will form part of an all-Wales scheme and involve other regulators.  This is targeted to begin in 22/23.  One of the consequences of recruiting a large number of students from the Cardiff Met Environmental Health degree course on a temporary basis during 20/21 for Covid work is that a number have now joined the permanent workforce.  Others | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk 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 the temporary cohort have indicated that on completion of their degree course, they will seek employment with SRS.  There are still shortfalls in the food hygiene and  food standards discipline and the Operational Managers are considering how the new Food Law Code might be engaged to alleviate some of these pressures. | | | | | | | | | | | | |
| WFR/HS005 | Undertake a restructure of Building Services. | | ☑ | ☑ | | ☑ | | ☑ | ☑ | ☑ | MI | March 2022 | **Green (On Track)** |
| **ACTION UPDATE:** | Restructure proposals under development taking into account Succession Planning audit, review of Building Services Trading account and Housing Development programme needs. | | | | | | | | | | | | |
| WFR/NS005 | Further develop agile working within the service area and contribute to the renewal of the Corporate CRM. | | ☑ | ☑ | | | | ☑ | ☑ | ☑ | ER | March 2022 | **Green (On Track)** |
| **ACTION UPDATE:** | Train the Trainer has been undertaken for Phase I of the implementation - go live will be undertaken from 18th October, 2021.  Communication has been undertaken with current supplier in relation to handover of data.  Also linking with CRM system and making sure that the attributes are captures within both systems.  Involved key members of staff as part of the implementation. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk 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/PB004 (PB/A023) | Establish effective internal communications campaign to embed the well-being agenda and the Council's values. | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | ☑ | TB | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Following on from the successful launch of the Culture Book, Project Zero and Reshaping Services have been identified as key programmes of work through which to demonstrate the staff the Council's commitment to its values. | | | | | | | | | | | | |

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | Information Security involves the practice of preventing the unauthorised use, access, disclosure, disruption, modification, inspection, recording or destruction of information. This definition applies regardless of the form data/information may take i.e. electronic or physical.<br><br>Local authorities have a duty to safeguard the data/information in line with requirements of legislation such as Data Protection Act 1998 and Computer Misuse Act 1990. In addition to legislative requirements there are also identified standards that public bodies can work towards to further enhance and strengthen their approach to information security such as compliance with the Public Services Network Connection Certificate requirements, Payment Card Industry Data Security Standard and IS027001 that governs information security management.<br><br>The General Data Protection Regulation is a regulation that has been made by the European Parliament, The Council of the European Union and European Commission which is intended to strengthen and further unify the approach to data protection across the EU. This new regulation has applied in the UK since 25th May 2018. The principles of the GDPR are similar to the those set out in the Data Protection Act, but with additional details regarding accountability and governance requirements and specifically requires organisations to show how they comply with the principles by documenting decisions the organisation takes in relation to processing activities. The Regulations have been designed to further minimise the risk of data breaches and uphold the protection of personal data, which is likely to result ensuring robust policies and procedures to ensure good governance measures are in place. The key risk associated with this is that we fail to meet the requirements of this regulation and safeguard our information and data.<br><br>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.<br><br>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.<br><br>The key risk associated with this is the failure to implement adequate information security management systems across the Council. This risk has been further intensified by COVID. In response to COVID our workforce quickly adapted to new ways of working where the emphasis has been on remote/home working. Although significant Information Security safeguards |

| | are in place to enable staff to safely and securely operate from home, there has been a steep rise targeted attack which have been increasingly identified and reported which has led to the need to further strengthen existing controls. Now that the business is increasing operating using 365, there has been further investment in the purchasing of Advanced Threat Protection to enhance our mitigation against this aspect of risk. 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** |
| *Political & Legislative* | Yes | Political and legislative repercussions of failing to meet the requirements of key legislation including Data Protection Act 1998, Computer Misuse Act 1990, and the new General Data Protection Regulations (GDPR). could lead to litigation and/or political instability.<br><br>Failure to put effective information security safeguards in place resulting in personal/sensitive and confidential information being leaked/revealed in the public domain could cause political instability and loss of credibility. |
| *Resources* | Yes | Council incurs fines as a result of failing to comply with legislative and Information Commissioner requirements associated with the GDPR.<br><br>Financial impact of correcting/resolving data breaches and/or cyber-attacks.<br><br>Failure to implement adequate ICT management systems across the Council.<br><br>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.<br><br>Budgetary pressures impacting on our ability to invest in software products/tools to effectively mitigate risks to information security. |

| 1.4 Risk Categories | | |
|---|---|---|
| Categories | Yes/No | Definition |
| *Service Delivery and Wellbeing* | Yes | Loss of data could impact of the delivery of key services and projects across the Council. Impact on service users due to a loss of personal data and a breach of confidentiality and the effect this has on being able to access services readily. |
| *Reputation* | Yes | Loss of confidence and trust by the public as a consequence of a data breach and the associated negative publicity. Lack of credibility and potential criticism from our external regulators and the Information Commissioner. |

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| *Political & Legislative* | • DPA/ICT Codes of Conduct in place together with Access to Information Procedures that is signed for by all staff and members.<br>• On-line training available for DPA and introduction of Employees Information Security Responsibilities. DPA training available to all members via their induction.<br>• Information Security & Governance Framework arrangements are in place.<br>• The Council has gone live with a new, hosted payments system.<br>• The Council has recently completed its annual IT Health Check (independent penetration and | 2 | 1 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | 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.<br>• 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.<br>• 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. | | | |
| *Resources* | • Building and Office security/access arrangements in place to control access to Council buildings for authorised staff, members, and visitors.<br>• Secure network including Firewall and ICT Security Manager and Compliance Team.<br>• All laptops are encrypted, and all new desktops purchased are encrypted as standard.<br>• Nominated systems administrators and system audit trails/admin logs maintained.<br>• Penetration testing regularly undertaken<br>• Corporate document retention system in place (TRIM) and FOI/Records Management Unit established.<br>• Council has completed an independent Digital Maturity Assessment, part of which will inform security and compliance going forward.<br>• Secure e-mail solution in place<br>• Reviewed use of fax machines and now have a Rightfax system in place.<br>• An enterprise-class Secure Email Gateway is in place to filter incoming email.<br>• All staff have been migrated to 365.<br>• Data Protection refresher training delivered to all relevant staff that incorporates the GDPR requirements.<br>• Maintained compliance with relevant security standards, including GDPR, PCI and PSN.<br>• Second internet connection has been installed at the Civic Offices.<br>• Review of WASPI documentation remains ongoing. | 2 | 1 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • IT Asset Register maintained for all equipment/devices in schools that have an SLA agreement.<br>• As part of the Welsh Government Hwb project, the council has upgraded the infrastructure in all Vale schools to meet the Welsh Government's minimum digital standards for schools. | | | |
| *Service Delivery & Well-being* | • Information Security & Governance Framework arrangements in place.<br>• 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.<br>• Implementation Plan aligned to the Strategy is in place and is being delivered.<br>• 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.<br>• Protocol to enable us to reuse information under the Open Government licence has been developed and published on our website. | 2 | 2 | 4 |
| *Reputation* | • We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so. | 1 | 1 | 1 |
| **Overall Effectiveness of Controls** | | **2** | **1** | **2** |

| 2.3 Residual Risk Scoring & Direction of Travel | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | **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 | ↔ | ⬇ |
| **Average risk score/ direction of travel** | 4 | 3 | **12** | 2 | 1 | **2** | 2 | 3 | **6 (Medium)** | ↔ | ⬇ |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| ISR/FIT001 (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. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | CL | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The information Governance Board continues to meet on a monthly basis. Key issues dealt with in the period included ensuring the changes in working practices remain compliant with all information governance requirements and the increasing risk posed in relation to cyber security. | | | | | | | | | | | | |
| ISR/FIT002 ISR/SL002 | Continue to work with colleagues across the Council to ensure compliance with relevant security standards, including GDPR, PCI and PSN. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | CL/NW | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Within Strategy, Community Learning and Resources division, the school admin network options were appraised during a recent meeting where the consensus was to develop on the existing 'valelearning.com' infrastructure, making best use of the newly acquire school servers. The next step of this process is to engage with a selection of Head Teachers to progress with a pilot.<br><br>The Information Governance Board continues to meet on a monthly basis. Key issues dealt with in the period included ensuring the changes in working practices remain compliant with all information governance requirements and the increasing risk posed in relation to cyber security. | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| ISR/HR001 | Review the business requirements for governance, information management controls and policies and procedures as part of the review the HR business partner structure. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | TD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The review of the HR Business Partner Function is ongoing and further work will take place during Q3, in parallel with the overall senior management structure. | | | | | | | | | | | | |
| ISR/LS001 (LD/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. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | DM | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The UK has secured an adequacy decision. This requirement was to ensure that the Council was compliant with its responsibility under data protection law. A watching brief will be maintained on any future developments regarding any potential review of the adequacy decision. | | | | | | | | | | | | |
| ISR/SRS001 | Undertake a review of information security against GDPR regulations. | ☑ | ☑ | ☑ | ☑ | | | | ☑ | ☑ | DH | March 2022 | **RED (Slipped)** |
| **ACTION UPDATE:** | This activity has yet to start. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk 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/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. | | ☑ | ☑ | | ☑ | | ☑ | ☑ | ☑ | TB | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | The information Governance Board continue to meet and make decisions and recommendations in relation to current Information Governance topics and issues. A ransomware prevention system has been evaluated and funding is currently being reviewed with a view to implementation this financial year. | | | | | | | | | | | | |
| ISR/SL003 (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. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | TB | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | 1. 941 Windows devices have been enrolled into Microsoft InTune MDM for remote management.<br><br>2. 234 Apple IOS devices have been enrolled into Microsoft InTune MDM for remote management.<br><br>3. 1,394 new devices have been ordered under the Hwb funding for 2021/22, Apple devices have been shipped, we are currently awaiting delivery of the Windows and Google devices. | | | | | | | | | | | | |

| 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.<br><br>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.<br><br>Following the publication of the Inter-governmental Panel on Climate Change's (IPCC) Special Report on Global Warming of 1.5°C, the Welsh Government declared a Climate Emergency in Wales in April 2019. In response to this, the Leader and Deputy Leader submitted a motion to full Cabinet stating that the Council should also seek to declare a climate emergency in the Vale of Glamorgan. This motion was upheld by Full Council on 29th July 2019.<br><br>As part of this commitment the Council resolved it will:<br><br>• 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.<br>• 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.<br>• 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.<br>• Work with local stakeholders including Councillors, residents, young people, businesses and other relevant parties to develop a strategy in |

line with a target of net zero emissions by 2030 and explore ways to maximise local benefits of these actions in other sectors such as employment, health, agriculture, transport and the economy.

In response to the Climate Change Emergency Declaration, the Insight Board has undertaken work to identify key areas of activity across the Council that are contributing to this declaration. It is proposed that the development of a Charter will encapsulate our response to the climate change emergency and is a key action depicted in the Council's Annual Delivery Plan for 2020/21 aligned to the Corporate Plan 2020-25. Our Tree, Energy and Electric Vehicle Strategies will also have a key role to play in contributing to delivering this Charter.

COVID-19 has impacted on our capacity to progress a number of climate change initiatives including the development of a Charter. The Council remains dedicated to Climate Emergency Declaration and is committed to reducing carbon emissions. As the Council transitions from its response to recovery, we will resume work on development of these initiatives and the Charter.

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

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

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

### 1.4 Risk Categories

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

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | Inability and capacity of the Council and its key partners to work effectively together to meet its climate change commitment by 2030 and contribute to the climate change agenda locally.<br><br>Failure to fully utilise our land use planning framework and other policy levers to become more resilient to climate change and its effects.<br><br>Impact of COVID-19 on our ability to sustain momentum and buy in from key partners to address climate change issues collaboratively. |
| *Resources* | Yes | Limited asset renewal funding could result in the Council not being able to meet its $CO_2$ reduction target set out in the Carbon Management Strategy and Implementation Plan.<br><br>Increased pressure on limited resources as a consequence of increased areas of maintenance.<br><br>Insufficient funding availability to fully implement programmes/initiatives to reduce our carbon footprint.<br><br>Annually shrinking budgets will impact negatively on consistently achieving high standards of cleanliness of the local environment.<br><br>Impact of our failure to meet our commitments under the CRC Energy Efficiency Scheme and its associated financial benefits.<br><br>Council incurs fines as a result of failing to meet statutory waste reduction targets.<br><br>Impact of COVID-19 puts additional strain on our resources and effects our ability to progress commitments outlined in the Council's Climate Change Emergency Declaration E.g. Charter. |
| *Service Delivery and Wellbeing* | Yes | Failure to deliver key flood alleviation schemes across the Vale and exposing flood prone areas to a greater risk of flooding.<br>Failure to implement the Shoreline Management Plan impacting on our ability to monitor and manage coastal erosion.<br>Failure to reduce our carbon footprint by not reducing our $CO_2$ emissions and improving our energy efficiency.<br><br>Disruption and financial cost of flooding to homes and businesses.<br><br>Failure to engage and encourage to residents to participate in Active Travel (use alternative forms of transport to the car).<br><br>Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates. |

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

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| *Political & Legislative* | • Supplementary planning guidance on sustainable development in new builds is in place. <br>• Planning Policy Wales has been updated to take account of the Well-being of Future Generations Act <br>• Development Management – ensuring decisions on new development proposals have regard to sustainability. <br>• The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment) <br>• review of the LDP underway which will further look to promote sustainable development until 2036. <br>• Submitted bids to Welsh Government for Environment Grants to implement environmental and countryside programmes locally. <br>• The Corporate Plan 2020-25 sets out our priorities relevant to promoting and enhancing sustainability. <br>• Implementation of the requirements of the Environment Act 2016. <br>• A Regional Transport Authority to govern and promote transport matters including Active Travel. <br>• Motion passed by Full Council declaring a 'Climate Emergency' and a Nature Emergency in the Vale of Glamorgan and our commitment to reducing our carbon emissions to net zero. <br>• Insight Board taken lead role on discussions and progressing work on the development of Charter in response to the Climate Change Emergency Declaration. The Climate Challenge Plan was approved by Council in July and a nature emergency has also been declared. Meetings are taking place to ensure alignment across the workstreams. A Project Zero Project Plan has been developed and a Project Board has been established | 2 | 1 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • Responded to the Welsh Government White Paper on Clean Air (Wales) Bill and the consultation on Reducing Emissions from Domestic Burning of Solid Fuels. | | | |
| *Resources* | • Development of updated Carbon Management plan (CMP). Zero Carbon surveys are being undertaken in buildings to create a programme of works which help towards meeting the Carbon Management Plan targets.<br>• Space Programme and Asset Management Strategy<br>• Automatic meter readings for utilities for all Vale owned buildings.<br>• 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.<br>• Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel.<br>• Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally.<br>• Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally.<br>• 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.<br>• Council owned & leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term. | 2 | 2 | 4 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • Vehicle & plant applications are being reviewed at the time of purchase; in-line with the needs of the department.<br>• New vehicles have been purchased in-line with current environmental and health & Safety legislation. We continue to analyse vehicle utilisation via the vehicle management system and where possible vehicles are being replaced with a more suitable alternative or not being replaced at all.<br>• 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.<br>• Biodiversity Forward Plan approved by Cabinet and aims and targets for services have been agreed – Nature Emergency action plan is under development<br>• Green infrastructure Strategy in development.<br>• PSB Climate Emergency Charter was launched in February and accompanied by a social media campaign highlighting work being undertaken by partners.<br>• Social Services have evaluated ways of working to inform the development of a new operating model that takes account of climate change and sustainability. | | | |
| *Service Delivery & Well-being* | • Prioritise maintenance in all council services – including gritting, drainage, etc.<br>• Sustainable procurement outlined in procurement guideline documents<br>• Green travel plan established and publicised to all staff<br>• Active Travel – ensuring walking and cycling routes are provided.<br>• 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. | 2 | 1 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | <ul><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 assessed. New licences will incorporate biodiversity gains wherever possible.</li><li>Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation.</li><li>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>Full review of LDP commenced in 2021 and will be completed 2025.</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</li></ul> | | | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | utilising modern methods of construction. <br>• Grant funding from Welsh Government has been secured to support carbon reduction and tackle fuel poverty in relation to our housing stock. <br>• 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, <br>• Planning policy Wales has been updated by Welsh Government and will focus on sustainable development including biodiversity and flood risk and an update to Technical advice note (TAN) 15: development and flood risk Has been released and will come into force in 2022 <br>• 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. <br>• Active Travel maps have been completed and published. The Council is seeking finance to implement routes where opportunities arise. <br>• Review of the Active Travel maps is currently underway with consultation being undertaken on existing and proposed routes in quarter 3 and 4. <br>• 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 <br>• Successful delivery of grant funded biodiversity programme. Projects have | | | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | 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.<br>• Ten of our Parks, eight urban parks and two Country Parks have been awarded Green Flag Status. Penarth Marina and, Southerndown. have maintained their Blue Flag status. We have successfully maintained our Seaside Awards for Jackson Bay, Whitmore Bay  Cold Knap.<br>• 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.<br>• Council promotes the 'All Wales Concessionary Travel Scheme' and the 'My Travel Pass' on digital platforms.<br>• Recruited volunteers to assist in the delivery of transportation initiatives.<br>• Investment of S106 monies have improved walking and cycling access.<br>• Delivered a programme of Biodiversity Projects funded by the Welsh Government's Single Environment Grant.<br>• Submitted a planning application for a reuse shop at Atlantic Trading Estate in Barry. | | | |
| *Reputation* | • Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns.<br>• Provision of child pedestrian and cycling training in Vale schools.<br>• Promotion of Active travel.<br>• Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision-making processes. | 1 | 2 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| **Overall Effectiveness of Controls** | | **2** | **2** | **4** |

## 2.3 Residual Risk Scoring & Direction of Travel

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

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| ESR/RP001 (RP/A033)<br><br>ESR/FIT001 (FS/A015)<br><br>ESR/HS001 ESR/LS001 | Contribute to the Council's response to the declared climate change emergency and develop specific plans and strategies to support this work.<br><br>Contribute to the Council's work with partners to take collective action to tackle the climate emergency and implement our Climate Emergency Action Plan.<br><br>Support the Council's work to take collective action to tackle the climate emergency and implement our Climate Emergency Action Plan. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG<br><br>CL<br><br>MI & DM | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Work on the draft Green Infrastructure strategy is ongoing. The intention is to consult with relevant internal colleagues on the document in November. Following on from this we plan on reporting the draft strategy to Cabinet in the new year and seek approval for a 6-week public consultation. Adoption of the Green Infrastructure Strategy is anticipated in April 2022.  Work has also commenced following declaration of a Nature Emergency on an action plan for Nature recovery. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | Officers continue to attend meeting on the implementation of the Climate Emergency Action Plan. The Carbon Management Plan is to be updated to reflect the requirements of the Council<br><br>All new Council Housing Developments achieve Energy Performance Certificate rating of A (most efficient), £103m identified in the  Housing Departments 30-year Business Plan. Retrofit of pilot programme of air source heat pumps underway utilising local contractors. Staff being trained in the assessment of PAS35 (specification for the energy retrofit of domestic buildings). | | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | TBowring | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The Climate Challenge Plan was approved by Council in July and a nature emergency has also been declared. Meetings are taking place to ensure alignment across the workstreams.  A Project Zero Project Plan has been developed and a Project Board has been established and will meet for the first time in October. The board will prioritise actions in the plan and report on progress.   As part of the staff Healthy Travel Charter a range of activities have been developed including cycle 2 work, cycle maintenance sessions, promotion of walking, cycle champions. | | | | | | | | | | | | | |
| ESR/RP002 (RP/A022) | Start the Local Development Plan review before June 2021.<br><br>*(That includes Milestone for annual monitoring review)* | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG | March 2022 | **GREEN (Completed)** |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | | | | | | | | | | | | | Action completed and will be reflected as a control in the Register |
| **ACTION UPDATE:** | Work started in May 2021 on the LDP Review, Service Plan Action complete. Regarding an update on LDP Review progress, the draft Review Report and draft Delivery Agreement was report to 27th September Cabinet which was recommended for a 6-week consultation subject to the Environment and Regeneration Scrutiny on 19th October. A 6-week consultation will take place depending upon the outcome of Scrutiny. | | | | | | | | | | | | |
| ESR/RP003 (RP/A036) ESR/NS001 <br><br><br><br><br> ESR/SL001 (SL/A024) | 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. Support development of a Green Infrastructure Strategy with a focus on | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG <br><br><br><br><br><br> TBaker | March 2022 | **GREEN (On Track)** |

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## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | maximising the contribution made through the education estate. | | | | | | | | | | | | |
| **ACTION UPDATE:** | Work on the draft Green infrastructure strategy is ongoing. Consultation with relevant internal colleagues on the document is planned in November. Following on from this we plan on reporting the draft strategy to Cabinet in the new year and seek approval for a 6-week public consultation. Adoption of the Green Infrastructure Strategy is anticipated in April 2022.  Work has also commenced following declaration of a Nature Emergency on an action plan for Nature recovery.<br><br>Continuing to work with the Council's Ecologist and Local Nature Partnership Co-ordinator. We continue to promote and consult on and modify 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.<br><br>Within Strategy, Community Learning & Resources we relaunched our resources in September and reminder sent for audit return. We will continue to collate audit responses and use this information to identify common opportunities and barriers and will continue to link with schools with relevant grants and resources (e.g. Local Nature Partnership) as part of pilot projects. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG<br><br>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/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. | | | | | | | | | | CL/LC | | |
| 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 tenancy agreements and renewals as appropriate and maximising the biodiversity value of untenanted land by reducing cutting regime of hedgerows. | | | | | | | | | | | | |
| ACTION UPDATE: | The Biodiversity Forward Plan was conceived as a 3-year plan 2019 - 2022. Consideration needs to be given as to its next iteration especially in the light of the Nature Emergency declaration by the Council and who drives and collates it. Work in relation to Biodiversity Forward Plan, including the drafting of a Tree Management Strategy and an action plan to manage Ash Dieback will now be progressed with circulation to wider group of individuals including councillors and other interested parties | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk 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 new farm business tenancy agreements and renewals, no new tenancies have been granted in Q2 | | | | | | | | | | | | |
| ESR/RP005 (RP/A025)<br><br>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). | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG<br><br>ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | WOW project launched in 6 schools.  Officer support from Cardiff School AT team secured from PHW funding to allow them to work with 15 schools in the Vale to write Active Travel plans. On-going upgrades to bus shelters throughout the VOG on-going. | | | | | | | | | | | | |
| ESR/RP006 (RP/A035) | Deliver the statutory planning function in order to protect, preserve and where possible enhance our natural and built environment and cultural heritage<br>*Milestone:*<br>*Ensure new developments deliver appropriate recreation and sports facilities and protect existing facilities where necessary.* | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| ACTION UPDATE: | 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. | | | | | | | | | | | | |

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.

During Q2 420 planning applications have been determined, 348 of these applications were approved (82.9% of decisions). Out of the approved applications, 3 related to Listed Building Consents (LBCs). A further 47 Tree applications were also determined; 47 TCA's (Work to trees in a conservation area) and 17 TPO's (Work to trees covered by a Tree Preservation Order).  No new Tree Preservation Order have been confirmed. 146 planning enforcement cases were resolved during the quarter.

Out of the 348 approved planning applications the following decisions related to decisions within planning designations: 36 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; 5 applications were approved in Green Wedges but neither approval impacted upon the openness of the green wedge or the other reasons for their designation; 11 applications were approved within the Glamorgan Heritage Coast. The 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; No applications were approved in a SSSI; 0 applications were approved within a SINC.

During this Quarter, 1 application has been received which increases the amount of open space within the Authority. The increase in open space is 0.04ha. However, 1 application was also approved which resulted in the loss of 0.0016ha of open space. This resulted in an overall gain in open space of 0.038ha. 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

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
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| | SPG; Public Art SPG and; Trees, Hedgerows, Woodlands and Development SPG. The Council also 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | |
| **ACTION UPDATE:** | S106 funding secured in Q2 to assist with the installation of a toucan crossing in Wenvoe. Further schemes in Cowbridge, Barry and Llantwit Major to be discussed in Q3. On-going bus shelter upgrades continue to be progressed. | | | | | | | | | | | | |
| ESR/RP008 (RP/A038) | Establish a Local Nature Partnership to work together to improve the local natural environment. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| ACTION UPDATE: | The LNP has now started work on the Nature Recovery Action Plan for Vale of Glamorgan. It has run a number of events in the last quarter and there is much activity in both seed collection and cut and remove on grasslands. The first round of Community Grants will be awarded soon. The LNP has now started work on the Nature Recovery Action Plan for Vale of Glamorgan. It has run a number of events in the last quarter and there is much activity in both seed collection and cut and remove on grasslands. The first round of Community Grants will be awarded soon. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | Welsh Government Core Active Travel Funding has been provided in financial year 2021/22 to continue surveys and design work for a proposed active travel route from Waycock Cross, Barry to Cardiff Wales Airport. | | | | | | | | | | | | |
| ESR/FIT003 | Continue to meet our commitments under the CRC Energy Efficiency scheme and achieve annual certification. | ☑ | ☑ | ☑ | ☑ | | | | ☑ | ☑ | CL | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | Data collection for Net Zero guidance is underway and on track to be completed by 31st October 2021. Feedback on capital schemes has been provided which established opportunities to increase or alter the schemes to account for the decarbonisation agenda. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
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| Risk Action Ref. | Action | Risk 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/FIT004 | Progress an energy efficiency improvement programme across council services in line with the Council's climate change priorities. | | ☑ | ☑ | ☑ | | | | ☑ | ☑ | CL | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | A programme of works continues to be 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | CL | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | A programme of energy works continues to be developed to assist with the Councils aims of reducing our carbon emissions.  The alteration to funding mechanisms to allow more efficient use of schemes has been supported by the Education.  The installation of Electric Vehicle charging points is underway with work undertaken to the buildings infrastructure to accommodate the charging points at the Alps and Civic Offices.  The property and fleet teams are continuing to work together to assess the options of electrifying vehicles. | | | | | | | | | | | | |
| ESR/HS002 | Deliver a range of environmental projects through the Community Investment scheme to include communal space improvements at Fairoaks, Dinas Powys; Trebeferad, Llantwit Major and Buttrills, | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On Track)** |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
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| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | Barry to enhance the local area and improve neighbourhoods. | | | | | | | | | | | | |
| **ACTION UPDATE:** | The planned schemes continue to progress. | | | | | | | | | | | | |
| 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.<br><br>*Milestone: Develop a co-ordinated approach to tackling fuel poverty*. | ☑ | ☑ | ☑ | | | ☑ | ☑ | ☑ | | MI | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | External wall insulation and other fabric first measures continue to take priority whilst other technologies such as air source heat pumps and solar panels are being trialled before commitment.  Welsh Government are working on WHQS2 which is expected to set standards and targets of performance and this is expected to drive key technologies. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
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| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | Delivery of the Optimised Retrofit Project is enabling properties with the worst performing heating system to be upgraded and improved for energy performance.  Officers have also held an introductory conversation on alternative low carbine fuel supply." | | | | | | | | | | | | |
| ESR/HS004 | Develop a sustainable alternative sewage arrangement for residents at Channel View, Marcross and Croft John, Penmark. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | Tenders have been received and examine. These are considerable above the cost estimates first provided because of the recent increases in material and transport costs.  This project is now being further consulted with residents following these increased costs. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | In contract, but start on site delayed until Mar'22 due to uncharted below ground BT fibre cables detected. | | | | | | | | | | | | |
| ESR/HR001 | Review our corporate policies to invest in supporting  infrastructure  to  encourage | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | 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 |
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| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | more encourage more freedom, trust and empowerment | | | | | | | | | | | | |
| **ACTION UPDATE:** | The introduction of the Staff Travel Day to promote healthy travel and reduce the carbon emissions and support the green infrastructure strategy | | | | | | | | | | | | |
| ESR/NS005 (NS/A032) | Continue to develop a more environmentally sustainable fleet including the use of hybrid, alternatively fuelled and electric vehicles<br>*Includes Milestone actions:*<br>• *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.* | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | ER | March 2022 | **RED (slipped)** |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
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| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| **ACTION UPDATE:** | On-going. Energy Service Wales report on fleet options and zero emission infrastructure still being put together by Welsh Government (being chased). Bio-gas fuelled vehicles project not progressed at this stage. Demo hybrid pool car being used in Q3. £300k WLGA funding for EV charging points at Council depots being investigated. However, EV refuse vehicles cost prohibitive and long delivery times. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Nextbike now rebranded as OVObikes. Additional Active Travel funding received for two additional nextbike stations in Penarth. On-going consultation for new active travel maps. | | | | | | | | | | | | |
| 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 | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ER | March 2022 | **GREEN (On Track)** |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
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| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | fuelled vehicles, installation of electric charging points review of pool cars and technological improvements to bus shelters. Milestone: Open a reuse Shop in Barry. | | | | | | | | | | | | |
| **ACTION UPDATE:** | Bus shelters throughout the VOG continue to be upgraded including digital bus information boards. Electric charging points have been installed at car parks and on street for e-taxis. EOI to run passenger transport vehicles on bio-gas was not progressed. Additional Active Travel funding received for two additional nextbike stations in Penarth. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Radar and ecology surveys and further design delayed due to issues around getting consent to access land. Query is currently with Legal and Welsh Government. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
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| Risk Action Ref. | Action | Risk 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/NS009 (NS/A033) | Complete the Main Road LED Street Lighting Replacement programme with the use of SALIX finance. | ☑ | ☑ | ☑ | ☑ | | | | ☑ | ☑ | ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Salix scheme is near completion with only very few to complete. These are either bespoke columns or service connections that have proved to be problematic. This will be resolved within next few weeks. | | | | | | | | | | | | |
| ESR/NS010 (NS/A28) | Improve cycle and pedestrian facilities and revise the Active Travel Integrated Network Maps for the Vale of Glamorgan in accordance with Welsh Government Requirements.<br><br>*Includes milestone actions:*<br>• *Ensure all transport improvement schemes include active travel measures.*<br>• *Promote the shift to more environmentally friendly modes of transport.* | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ER | March 2022 | **GREEN (On Track)** |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
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| **Risk Action Ref.** | **Action** | **Risk 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) | • Continue undertaking route optimisation of school transport services.<br><br>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. | | | | | | | | | | MG | | |
| **ACTION UPDATE:** | Active Travel Network Map statutory 12 week consultation ran until 24 October.  Draft maps will be submitted to Welsh Government by 31 Dec.<br><br>WOW project launched in 6 schools.  Officer support from Cardiff School AT team secured from PHW funding to allow them to work with 15 schools in the Vale to write Active Travel plans. Nextbike now rebranded as OVO bikes. Additional AT funding received for 2 additional nextbike stations in Penarth. Fairfield Primary Safe Routes in Communities scheme and other Active Travel schemes progressing. (https://www.valeofglamorgan.gov.uk/en/living/transportation/Active-Travel-and-Safe-Routes-in-Communities-Projects.aspx) | | | | | | | | | | | | |
| ESR/NS011 (NS/A042) | Ensure there are sufficient and appropriate end designations for the resale and reuse of recycled material and | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 |
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| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | minimise the export of recycling and waste wherever possible. | | | | | | | | | | | | |
| **ACTION UPDATE:** | The service area has now set up contracts for all source separated recycling material and they are based on Welsh Government guidance to ensure materials remain in the UK wherever possible. There is still a need to reduce comingled recycling and the introduction of flats and apartments source separated recycling will help with this and will commence in quarter 3 and 4 and the remaining Penarth service change will be implemented in 2022/23. | | | | | | | | | | | | |
| ESR/NS012 (NS/A043) | 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.<br>• *Milestones: Monitor and review the existing waste collection rounds.*<br>• *Promote recycling and waste elimination via social media campaigns.* | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 |
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| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| **ACTION UPDATE:** | The re-use shop has received planning permission and delivery is expected October 2021. The construction of the Resource Recovery Facility in underway but due to the impact of Covid and the availability of materials, the operational date is expected August 2022. The development of a new western Vale HWRC is progressing and land options identified. A preferred site for consideration will be identified in quarter 3. | | | | | | | | | | | | |
| ESR/NS013 (NS/A049) | Maintain environmental standards by retaining our awards for Green and Blue flags. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | 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 - all parks retained their Green Flag Status; we are progressing with modifying our cutting regimes to increase biodiversity within our environment. We have reduced 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: <br>• Monitor the actions contained in the Shoreline Management Plan. | | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | | ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The collection of wave, water level and meteorological data continuing at Penarth Pier. Additional beach surveys were carried out during Q2 at south of Forest Road, Penarth; Aberthaw; and Llantwit Major (Cwm Col-huw). | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
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| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| 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)** |
| **ACTION UPDATE:** | Update on hold pending guidance from Welsh Government. | | | | | | | | | | | | |
| ESR/NS016 (NS/A051) | Implement the Llanmaes Flood Risk Management Scheme. | | ☑ | ☑ | ☑ | | | ☑ | ☑ | ☑ | ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Detailed planning application has been submitted for the scheme ref 21/01082/REG3 for the and is registered after a lengthy and complicated design process and awaits determination later in 2021. A works contract for the scheme has also been tendered via an appropriate procurement framework, however, due to a number of contractors declining to submit a tender due to the timescales stipulated and risks associated with working through the winter, the tender was withdrawn. It is now intended to recommence the tender process in early Q3 amending the contract details to relax timescales for completion and avoid risk of working through winter period. It is therefore now anticipated the scheme will be tendered in Q3 and awarded in Q4 with a proposed construction phase during the Spring and Summer period 2022 to provide best chance of securing a quality, reliable and cost-effective tender contract. WG, Ward members and the local community have all been updated on the situation with Welsh Government still committed to the scheme, but unable to confirm formal funding offer until completion of tender process | | | | | | | | | | | | |
| ESR/SL003 (SL/A021) | 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 | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | TBaker | March 2022 | **GREEN (On Track)** |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
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| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | adaptable and scalable school design in partnership with the construction industry. | | | | | | | | | | | | |
| **ACTION UPDATE:** | Low and net zero carbon projects on track. Data from Whitmore High School and Ysgol Bro Morgannwg projects starting to be returned. | | | | | | | | | | | | |
| ESR/SL004 (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)** |
| **ACTION UPDATE:** | Carbon Trust and Welsh Government Energy Service to conduct survey of 5 schools, noting opportunities for decarbonisation. This will inform decarbonisation methodology to roll out across educational estate. | | | | | | | | | | | | |
| ESR/ALN001 | Ensure specialist provision continues using online technology for assessments and reviews where possible ensuring that ALN needs are addressed | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The platform is continuing to be developed and is being trailed this term. The platform is a work in progress and will be adapted based on the findings of the trial. | | | | | | | | | | | | |
| ESR/ALN002 | Continue to support staff to work from home where possible to reduce travel, | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | ☑ | 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 | | | |
| ESR/NS017 ESR/LS002 | carbon emissions and use of cars and pool cars. 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. Continue to support staff to work from home where possible to reduce travel, carbon emissions and use of cars and pool cars. | | | | | | | | | | ER DM | | |
| ACTION UPDATE: | As in Q1 the majority of staff continue to work from home. Consultation with staff has been completed and findings reported back to Senior Leaders for consideration. The corporate strategy on the future of working practices is expected in Q3. Healthy Staff Travel Charter day held 23 September and staff were offered a bike repair session and e-bike trials. Cycle2Work scheme launched to coincide with this event. | | | | | | | | | | | | |
| ESR/RMS001 (RMS/A021) ESR/CS001 | Optimise agile working practices to enable us to define a more sustainable operating model. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| (CS/A020)<br><br>ESR/AS001<br>(AS/A008) | Review our working practice to operate more sustainably.<br><br>Contribute to the development of a new HR Strategy that reflects the new ways of working within Adult Services. | | | | | | | | | | RE<br><br><br><br>SC | | |
| ACTION UPDATE: | Within Children and Young People Services, work is continuing to inform the Council's future operating model / use of space and sustainability is central to these discussions<br><br>Within Adult Services, 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.<br><br>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. | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The Head of Service has liaised with Operational Managers to consider our operating models post covid, and seeking to inform the accommodation strategy for our teams moving forward. We have engaged with this process and ensure full participation to shape the future accommodation needs fit for the purpose to deliver high quality services to those we support. The integrated nature of the Adults Division has required Cardiff and Vale UHB and Swansea Bay UHB as key delivery partners are appraised of the accommodation review. | | | | | | | | | | | | |

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | The UK Government's Welfare Reform has introduced the greatest change in the administration of welfare benefits for a generation.  In addition to a significant change in the way in which the council will run the housing and council tax benefits service, the changes also affect Social Services and Housing Services and ultimately have an impact on the overall finances of the authority.<br><br>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.<br><br>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.<br><br>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.<br><br>As a result, the nature of this risk has shifted more towards the detrimental financial and social impact these changes are having and likely to have on the Council and on our residents. This can be evidenced through the significant rise that has been seen in rent arrears amongst Universal Credit claimants. The ongoing risk this poses to the Council is one of a financial risk to our resources if rent arrears continue to rise and the increased demand it places on our housing and in particular homelessness services if preventative measures are not successful. Failure to get to grips with managing debt prevention and recovery could ultimately lead to an increase in possession and impact more widely no homelessness across the County. Therefore, the focus going forward is maximising opportunities to proactively support and engage tenants to effectively manage their budgets, prevent rent arrears and any potential homelessness.<br><br>In relation to the private rented sector, there are a number of reasons why a tenant may lose their accommodation, one of which includes rent arrears. It is difficult to establish the true reason for the loss of private rented accommodation, as both tenants and landlords are often reluctant to share this information. As a result, the Housing Solutions Team will record the homelessness presentation as a generic loss of rented accommodation. However, with the roll out of Universal Credit, it is anticipated that rent arrears in the Public Rented Sector will rise. The impact of this is likely to be |

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

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

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

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

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

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

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

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

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | which incorporates homeless prevention and housing support requirements. Alongside this a Housing Support Grant Delivery Plan has been developed. | | | |
| *Service Delivery & Well-being* | • Improved the management and access to and use of Discretionary Housing Payments.<br>• 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.<br>• Supported the effective roll out of Universal Credit across the Vale of Glamorgan.<br>• 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.<br>• 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.<br>• 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.<br>• Universal Credit went live on the 10 October 2018. Citizens requiring digital or personal budgeting support are assisted by the Citizens Advice Bureau.<br>• 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.<br>• 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 | 2 | 1 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | cancelled correctly when we are notified of Universal Credit claims and send the notifications back to DWP.<br>• 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.<br>• 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.<br>• 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.<br>• 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.<br>• Social media has been used throughout the Pandemic to communicate with businesses/citizens in relation to grants and support available.<br>• 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.<br>• 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. | | | |
| *Reputation* | • Council's website is updated with information guides on Welfare Reform for Vale residents. | 2 | 2 | 4 |
| **Overall Effectiveness of Controls** | | **2** | **2** | **4** |

## 2.3 Residual Risk Scoring & Direction of Travel

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

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| WRR/FIT001 (FS/A001) | Expand the range of methods used to engage and communicate with Vale of Glamorgan citizens about our services, using digital technology. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | CL | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The Capita single sign on has now been integrated 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/FIT002 | Continue to signpost applicants to enable them to fully access support on the digital service for UC applications. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | CL | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Customers continued to be signposted to support for Universal Credit access. | | | | | | | | | | | | |
| WRR/FIT003 (FS/A012) | Work across the Council and with partners to support residents as changes to the welfare system are rolled out. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | CL | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The council's 'Vale Heroes' project team continue to meet to introduce new initiatives 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/HS002 | Prioritise tenants receiving Universal Credit for Money Advice. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | All tenants who submit a new claim for UC are contacted by a Money Advisor. In addition, tenants in arrears are referred to Money Advice for tailored assistance to ensure they maximise their income and claim all eligible benefits. | | | | | | | | | | | | |
| WRR/HS003 (HS/A026) | Maximise any grant funding opportunities for longer term accommodation to address the increased homelessness demand. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | New opportunities for temporary and permanent accommodation continue to be explored, including conversion of existing buildings and developing more MMC units following the success at Court Road. The higher rents charged on temporary accommodation, mean that new schemes can be financially viable over 20 years without grant funding. | | | | | | | | | | | | |
| WRR/HS004 (HS/A012) | Work across the Council and with partners to support residents as changes to Welfare Reform are rolled out. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Money Advisors continue to support and assist tenants experiencing financial hardship. The ending of the £20 a week Universal Credit top up from the end of October, combined with increased utility costs, make it a very challenging time for tenants on low incomes. In addition to the in-house Money Advisors, the CAB is assisting an increasing number of people locally with money and debt issues. A number of local level anti-poverty initiatives are being developed to assist, including the new Food Pod at St Luke's Avenue in Penarth. This provides a range of food on a 'pay what you can' basis and is already making a difference to several tenants. | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk 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/HS005 (HS/A009) | Enhance people's skills and readiness for work through community investment opportunities including the Council housebuilding programme, Supporting People Scheme 21st Century Schools and training opportunities. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | There is an established process in place for adding community benefit clauses to large development contracts and the Community Investment teamwork with local people to match them into training, apprenticeship and employment opportunities. The CI team continue to work with partners via the Opportunity Knocks scheme to provide training and support to get individuals into employment. | | | | | | | | | | | | |
| WRR/HS006 (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 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The majority of actions within the Community Investment Strategy have need fully implemented and the outcomes have been recorded. Work has commenced drafting a new Community Strategy which will include revised aims for the CI service as well as the physical regeneration aspects which were previous set out in the Environment and Neighbourhoods Strategy. The new 'Community' Strategy will be a holistic way of driving further improvement in tenants lives and the quality of Council housing estates. | | | | | | | | | | | | |

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | Public Buildings Compliance relates to our responsibilities and duties as a public organisation for ensuring that all our assets are satisfactorily compliant with all current legislative building requirements. The primary risk associated with public buildings compliance is that we fail to comply with our statutory responsibilities for ensuring the health, safety and welfare of both staff and the public when using our premises.

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

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

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

The arrangements for the management of compliance and specifically the 'compliance data' for the Council's Corporate Building Stock has significantly improved and work continues to control identified gaps in compliance. Data on compliance of our corporate buildings was not previously held centrally, and this has been a matter of concern raised by the Wales Audit Office in a recent review and was subsequently identified as a proposal for improvement in the Council's Corporate Assessment. In response to these concerns it was agreed to manage corporate compliance through a central team. |
| **1.2 Risk Owner** | **Director of Environment and Housing (MP)** |

| 1.3 Alignment with Well-being Goals | | | | | | |
|---|---|---|---|---|---|---|
| A Globally Responsible Wales | A Prosperous Wales | A Resilient Wales | A Healthier Wales | A More Equal Wales | A Wales of Cohesive Communities | A Wales of Vibrant Culture and Thriving Welsh Language |
| Yes | No | Yes | Yes | No | No | No |

| 1.3 Risk Categories | | |
|---|---|---|
| Categories | Yes/No | Definition |
| *Political & Legislative* | Yes | Political and legislative repercussions of failing to ensure the Council owned corporate buildings are not compliant with current duties/requirements as part of the Health and Safety at Work Act 1974. |
| *Resources* | Yes | Limited availability of accurate and up to date compliance data in relation to both Council-owned assets and Third-Party provision results in the Council not being able to meet its building compliance obligations.

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

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

Insufficient resources available to effectively, monitor, prioritise and project manage completion of building compliance work. |
| *Service Delivery and Wellbeing* | Yes | Failure to fully deliver our building compliance responsibilities. This is pertinent in the context of COVID-19 when contact and access to buildings has been problematic which in turn has made the monitoring compliance more difficult.

Failure to put in place adequate quality assurance mechanisms to assure the Council the Third-Party providers and Schools are effectively managing any building compliance issues and associated risks. This is relevant in the context of COVID-19, as contact with sites has become more difficult due to school closures.

Failure to safeguard the wellbeing of our service users/residents/pupils in Council-owned assets and other associated public buildings as a result of an incident arising from non-compliance.

Inability to sustain service delivery/business continuity from premises as a result of an incident associated with non-compliance. |
| *Reputation* | Yes | Erosion of public confidence and trust in the Council as a result of a compliance failure which would damage its reputation and attract negative criticism from Welsh Government our regulators. |

| 1.3 Risk Categories | | |
|---|---|---|
| Categories | Yes/No | Definition |
| | | Reputational risk of failing to address/monitor compliance in any buildings where the Council has a vested interest/stake in the premises and/or the services that are being delivered. |

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | **Effectiveness of controls** | | |
| | | Likelihood Score | Impact Score | Total Score |
| *Political & Legislative* | • Regular reporting of progress/updates via Insight Board, CMT and Schools Operational Investment Board.<br>• Regular operational meetings with project team.<br>• Monthly reporting to the School Investment Operational Board on compliance status.<br>• Monthly compliance review meetings within Social Services Directorate to consider and review any compliance issues.<br>• Effective monitoring of compliance in relation to schools. Regular updates continue to be received and are having the required impact with schools. This is operating well and being monitored effectively by the School Investment Operational Board. Monthly reporting received by the Learning and Skills Directorate via the School Investment Operational Board on compliance status. | 2 | 2 | 4 |
| *Resources* | • Successful appointment of a Compliance Officer and two administrators. | 3 | 2 | 6 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact Score | Total Score |
| | • Building Compliance Service is fully funded through central recharges and fee recovery on additional work delivery<br>• Effective mechanism for the collection of compliance data from schools.<br>• Process/mechanism established for the collection/reporting of data from Schools.<br>• Service is now fully funded through central recharges and fee recovery on additional work delivery.<br>• 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.<br>• IPF database has been populated and relevant paperwork scanned onto the system.<br>• 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.<br>• 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.<br>• Effective Monitoring of building compliance within Schools. Raised awareness with Premises Managers of compliance risks.<br>• Regular compliance updates provided to School Investment Operational Board (SIOB).<br>• Building compliance arrangements in relation to our Social Services buildings is in place and compliance status up to date. | | | |
| Service Delivery & Well-being | • Site visits are conducted on all school sites and corporate (Council owned) assets where Corporate Compliance team have been engaged.<br>• IPF database is fully populated and documentation is entered onto the system to capture compliance evidence/information with service dates being updated at the same time. Individual site managers are | 2 | 2 | 4 |

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

| 2.3 Residual Risk Scoring & Direction of Travel | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | 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 | ↔ | ↔ |
| **Average risk score/ direction of travel** | 3 | 3 | **9** | 2 | 2 | **4** | 2 | 2 | **4 (Medium)** | ↔ | ↔ |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| BCR/FIT001 | Continue to support the monitoring of corporate building compliance data including supporting managers to use the CIPFA (IPF) asset management system to record asset information. | ☑ | ☑ | ☑ | ☑ | | | | ☑ | ☑ | CL/LC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE**: | This work continues to be progressed as business as usual. | | | | | | | | | | | | |
| BCR/HS001 | Monitor corporate building compliance within Schools to raise awareness with premises Managers of any compliance risks. | ☑ | ☑ | ☑ | ☑ | | | | ☑ | ☑ | MI/AT | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE**: | 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. | ☑ | ☑ | ☑ | ☑ | | | | ☑ | ☑ | 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 | | | |
| ACTION UPDATE: | Still on track , All PAT is now undertaken with Calbarrie. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | TB | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | Regular monthly reporting on all aspects of School compliance continues to take place via the School Investment Operational Board. Identification of areas of possible weakness are explored and raised with individual schools. | | | | | | | | | | | | |
| BCR/HS002 | Provide regular compliance updates to the School Investment Operational Board (SIOB). | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | MI/AT | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | Monthly updates and attendances continue to occur. | | | | | | | | | | | | |
| BCR/LS001 | Provide the required legal support for the Council's work in relation to Public Buildings Compliance. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | 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 | | | |
| ACTION UPDATE: | 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | AT | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | 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 upend coming issues. | | | | | | | | | | | | |

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | The Council has produced a Corporate Safeguarding policy including the Safer Recruitment Policy, the Staff Supervision Policy and the Referral of Safeguarding Concerns procedure.  These policies and procedures are in place to ensure the Council meets its safeguarding responsibilities in relation to the protection of children, young people and adults at risk by ensuring that recruiting managers comply with pre-employment DBS and reference checks and once in post, employees are supervised in terms of their practice with people considered to be 'at risk'.  The Council will also have a responsibility to comply with the Wales Safeguarding procedures when they are launched in November 2019.<br><br>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.<br><br>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.<br><br>Of huge concern is the impact that the pandemic will have on children and young people at risk of abuse and or child sexual exploitation. During the pandemic, children may be at a higher risk as traditional face to face contacts with statutory services such as teachers, health care professionals, which help mitigate and respond to any emerging risks have been reduced.  Although, services have adapted their processes to operate digitally, it does not replace the benefit of regular face to face contact when it comes to safeguarding matters. The pandemic has heightened our awareness of the 'Duty to Report' and we have undertaken a Facebook campaign to enhance the public's awareness of Social Services and the '101 telephone number' to report any concerns about the safety/welfare of children, young people and adults. The concern is that the impact of COVID-19 and the associated restrictions will contribute to a surge in demand for our children and young people services. |
| | |
| **1.2 Risk Owner** | **Head of Resource Management and Safeguarding (AP)** |

## 1.3 Impact on our contribution to the Wellbeing Goals

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

## 1.4 Risk Categories

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

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

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

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | • Established a corporate-wide policy on safeguarding covering all council services that provides a clear strategic direction and clear lines of accountability across the council.<br>• Six monthly reporting to Cabinet of application of the safer recruitment policy and corporate safeguarding arrangements.<br>• 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.<br>• 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.<br>• 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.<br>• SRS- Audit recommendations have been mainstreamed into the core business of the SRS Management Board.  Evidence of progress against the recommendations is presented to the Joint Committee through the quarterly update reports. | | | |
| *Resources* | • Safer Recruitment Policy is in place to ensure safeguarding checks are carried out on staff working with the public and vulnerable people. All schools in the Vale | 2 | 2 | 4 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | of Glamorgan have also adopted the policy. <br>• The Council's Duty to Report Safeguarding Concerns procedure is in place to provide employees with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V. <br>• Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable people. <br>• 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. <br>• Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy. <br>• 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. <br>• 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. <br>• 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. | | | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • Staff continue to be supported via training sessions to ensure all staff are trained in the four core modules of the new Act.<br>• The Regional safeguarding board has facilitated the opportunity to attend updated APSO training for nominated adult services staff.  This training has enabled designated personnel to maintain their requirement for annual training.  The Welsh Community Care Information System (WCCIS) has streamlined the adult safeguarding process in terms of recording enquiries and decision making within 7 days.<br>• The iDev mandatory module for Safeguarding was rolled out to all Vale of Glamorgan employees in November 2017.<br>• 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.<br>• The new Wales Safeguarding Procedures were launched in November 2019, led by Cardiff & Vale Safeguarding Board with the chair of the Project Board being the Director of Social Services from the Vale of Glamorgan.  These national procedures will be formally adopted and then implemented by regional safeguarding boards by March 2020. | | | |
| *Service Delivery & Well-being* | • Provider Performance Protocol procedures are embedded in relation to the managing of commissioned services.<br>• Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely and appropriate action.<br>• Obtain the views of children and adults at risk/their families and implement protocols in respect of abuse and neglect | 2 | 2 | 4 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | • A Child Sexual Exploitation Strategy has been developed and a Sexual Exploitation Risk Assessment Framework referral process is in place.<br>• Information sharing protocols are in place and used appropriately.<br>• 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.<br>• 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.<br>• Developed a mechanism to utilise learning associated with safeguarding.<br>• CPR/APR/DHR learning is regularly disseminated, mechanisms for sharing within various platforms to be explored.<br>• Good compliance with Safeguarding training.<br>• 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.<br>• CPR/APR/DHR learning is regularly disseminated, mechanisms for sharing within various platforms to be explored.<br>• Regional Exploitation Strategy has been ratified by the Regional Safeguarding Boards.<br>• As part of 21st Century Schools Investment Programme, safeguarding is a | | | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | regular agenda item at design team meetings.<br>• Policies for schools visits and safer recruitment in schools are supported via iDev that has been rolled out to all schools. | | | |
| *Reputation* | • Obtain the views of children and adults at risk /their families and implement protocols in respect of neglect and child sexual exploitation.<br>• Information sharing protocols are in place and used appropriately. | 2 | 2 | 4 |
| **Overall Effectiveness of Controls** | | **2** | **2** | **4** |

| 2.3 Residual Risk Scoring & Direction of Travel | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | **Inherent Risk Scores** | | | **Effectiveness of controls Score** | | | **Residual Risk Score** | | | **Direction of Travel** | **Forecast Direction of Travel** |
| **Category** | **Likelihood** | **Impact** | **Total** | **Likelihood** | **Impact** | **Total** | **Likelihood** | **Impact** | **Total** | | |
| Political & Legislative | 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 | ↔ | ↔ |
| **Average risk score/ direction of travel** | 3 | 3 | **9** | 2 | 2 | **4** | 2 | 2 | **4 (Medium)** | ↔ | ↔ |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | |
| **ACTION UPDATE:** | All Adult Services staff have access to the All Wales Safeguarding Mobile App and are encouraged to use and discuss its use and application in supervision and team meetings. All staff have undertaken training on the App and Adult Services are preparing for a further roll out of Adult Safeguarding Training to all case management staff during Q3 and 4 of 2021/22. | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| SR/ALN001 | Implement the Wales Safeguarding Procedures within all education settings and in-house and monitor and challenge compliance. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Training programme continues to be delivered with completion compliance rates average +90% in both schools and the Learning & Skills directorate. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Corporate Safeguarding Group has continued to meet and currently work is ongoing to update the workplan with audit recommendations and further developments of safeguarding activity and priorities across the LA. | | | | | | | | | | | | |
| SR/RMS003 | Support implementation of the Regional Safeguarding Board Priorities. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| **ACTION UPDATE:** | Regional Safeguarding Board Annual Plan has been completed and submitted to WG. The areas of priority have been identified for 21/22. These priority areas are known and understood by VOG representatives with the regional safeguarding board and activity to support these priority areas are monitored via CSG. | | | | | | | | | | | | |
| SR/HR001 | Support the Corporate Safeguarding Group to monitor and challenge compliance with the Council's Safeguarding Policy in line with our responsibilities. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | TD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | During Q2 an Audit took place on the DBS and Safeguarding process relating to Safer Recruitment. A number of low priority actions were including in the audit report, with one medium action, which will be reviewed during Q3. | | | | | | | | | | | | |
| SR/SRS001 | Support the three Councils to meet the Wales Audit Office recommendations placed upon them in respect of safeguarding. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DH | March 2022 | **GREEN (Completed)** Action completed and will be reflected as a control in the Register |
| **ACTION UPDATE:** | These recommendations have now been mainstreamed into the core business of the SRS Management Board. Evidence of progress against the recommendations is presented to the Joint Committee through the quarterly update reports. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DH | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | Two intelligence led underage sales operations were conducted in Qtr 2, during which 14 retail premises (7 Cardiff, 7 Vale) were visited with an underage volunteer who attempted to purchase age restricted products including alcohol and e-cigarettes.  Four premises sold to the underage volunteer (3 x alcohol, 1 x e-cigarette).  In addition, the service received 69 service requests during the quarter relating to scams, doorstep crime and safeguarding. | | | | | | | | | | | | |
| SR/SP001 & SR/SL001 SR/HS001 (HS/A014) SR/LS001 SR/PB001 SR/SRS001 (SRS/A006) SR/SP001 | Contribute to the implementation and delivery of the Corporate Safeguarding Work Plan. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MH | 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 | | | |
| SR/RP001 (RP/A029) SR/FIT001 (FS/A014) | | | | | | | | | | | | | |

| ACTION UPDATE: | The Learning & Skills directorate makes a significant contribution to the Vale of Glamorgan's Corporate Safeguarding Report on an annual basis and form part of the Corporate Safeguarding Group, engaging in work plans .Learning & Skills directorate form part of the Local Authority Corporate Safeguarding Group and as part of this a Corporate Safeguarding Annual Plan is produced and at this time work is underway to put in place a Corporate Safeguarding Work Plan.

The rollout of Violence Against Women Domestic Abuse and Sexual Violence (VAWDASV) leadership training was scheduled in October as part of the statutory VAWDASV training programme.

Within Legal Services contribution to the Corporate Safeguarding Work Plan continues to be an ongoing priority throughout 2021/2022.  The OM of Legal Services attends the Corporate Safeguarding Board meetings and ensures compliance with mandatory safeguarding training via iDev. Within all service areas, staff have access to training material on iDev and are reminded that safeguarding training is a mandatory module.

Safeguarding is mainstreamed into SRS service delivery. A series of training programmes are being prepared for Q3 and will include safeguarding awareness for new officers. |
|---|---|

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| SR/SL001 | Continue to work in partnership to maintain rigorous safeguarding protocols as part of the 21st Century School Investment programme governance scheme and monitor compliance. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | TB | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | Continue to liaise with contractors and safeguarding is discussed as part of the monthly progress meetings. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | CL | March 2022 | **GREEN (On track)** |
| ACTION UPDATE: | The service contributes to this work as required via inclusion in various working groups and supporting individual service as required. | | | | | | | | | | | | |
| HS/A014 | Implement the Corporate Safeguarding Work Plan and ensure all staff complete the relevant safeguarding training. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On track)** |
| ACTION UPDATE: | The rollout of Violence Against Women Domestic Abuse and Sexual Violence (VAWDASV) leadership training was scheduled in October as part of the statutory VAWDASV training programme. | | | | | | | | | | | | |

Return to Risk Summary Report

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

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

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| *Political & Legislative* | Yes | Inability and capacity of key partners to work effectively together to deliver integrated health and social care services across the region. This is particularly pertinent in the context of COVID, as our resources and the resources of our health partners have been reprioritised and redirected to address pressures related to COVID.<br><br>Failure to put in place effective governance structures to ensure accountability and transparency in decision making which could have a detrimental impact on the ability to integrate health and social care services. |
| *Resources* | Yes | Failure to effectively project plan, manage and communicate changes to models of service delivery resulting in delays and/or compromising the quality and delivery of integrated health and social care services.<br><br>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.<br><br>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.<br><br>Failure to agree further pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny.<br><br>Ineffective scrutiny of the utilisation and expenditure of properly pooled budgets.<br><br>The volatility of grant funding streams impacts on our ability to develop, commission and sustain integrated health and social |

| 1.4 Risk Categories | | |
| --- | --- | --- |
| Categories | Yes/No | Definition |
| | | 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.<br><br>Capacity to deliver fully integrated service models with existing assets and infrastructure and in line with the University Health Board's 'Shaping our Future Well-being' agenda that will see the development of Well-being Hubs/Health Centres. This is applicable in the context of COVID, when our resources and those of our health partners have been diverted to the frontline. This could potentially impact on our capacity to progress transformation projects including service developments such as implementing the 'Shaping our Future Well-being' Agenda particularly in relation to timelines. |
| *Service Delivery and Wellbeing* | Yes | Failure to maintain business continuity and strengthen service resilience as a result of changes made to service delivery models during the transitionary period.<br><br>Risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics.<br><br>Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services.<br><br>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.<br><br>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.<br><br>Failure to adequately resource the Customer Contact Centre for dealing with health and social care queries impacting on access to services and waiting times. |
| *Reputation* | Yes | Failure to manage expectations of service delivery as part of the new delivery models impacting on the Council's reputation. |

## 2 – Risk Evaluation

### 2.1 Inherent Risk Scoring

| Category | Likelihood | Impact | Total Inherent Risk Score |
|---|---|---|---|
| **Political & Legislative** | 3 (Probable) | 3 (High) | **9 (Medium/High)** |
| **Resources** | 3 (Probable) | 3 (High) | **9 (Medium/High)** |
| **Service Delivery & Well-being** | 3 (Probable) | 3 (High) | **6 (Medium/High)** |
| **Reputation** | 3 (Probable) | 3 (High) | **6 (Medium)** |
| **Overall Inherent Risk Score** | **3 (Probable)** | **3 (High)** | **9 (Medium/High)** |

### 2.2 Controlling Inherent Risk

| Category | Current Controls | Effectiveness of controls | | |
|---|---|---|---|---|
| | | Likelihood Score | Impact score | Total Score |
| *Political & Legislative* | • Information Sharing Protocols developed and operational.<br>• Integration of Health and Social Care is considered at all levels of the organisation through the leadership group and the strategic implementation group.<br>• Arrangements are reviewed through regular reports to Scrutiny Committee Healthy Living and Social Care Committee.<br>• Significant changes to structure and staff arrangements are considered by Cabinet.<br>• 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.<br>• 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. | 2 | 2 | 4 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| *Resources* | • Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board.<br>• Developed the ability to view both database systems via Vale IT.<br>• Implemented WCCIS within the Vale of Glamorgan Council whilst awaiting regional implementation by partner organisations.<br>• IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development.<br>• Joint Commissioning Board meets regularly to progress work for pooled arrangements.<br>• 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.<br>• 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.<br>• 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.<br>• 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.<br>• Work on Exit Strategies from short term funding is ongoing to ensure we are able to effectively plan for the future.<br>• Joint Commissioning Strategy for Adults with learning Disabilities continues to be the focus of all developments with Learning Disability services. | 1 | 1 | 1 |
| *Service Delivery & Well-being* | • DEWIS Cymru Portal is providing more effective signposting for service users to adult services. | 2 | 2 | 4 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • 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.<br>• Effectively use funding including the Integrated Care Fund and Transformation Fund to explore new models/ways of working to further enhance integrated service delivery.<br>• 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.<br>• All Community Mental Health Teams are based at Barry Hospital to form the Integrated Mental Health team.<br>• Joint Commissioning Strategy for Adults with learning Disabilities continues to be the focus of all developments with Learning Disability services. Workstreams were restarted September/October 2020 to review activity over the period of the pandemic and refocus on commitments for the next year. | | | |
| *Reputation* | • Senior Officer and Councillor representation on the Regional Partnership Board. | 1 | 2 | 1 |
| **Overall Effectiveness of Controls** | | **2** | **2** | **4** |

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

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| IHSR/AS001 (AS/A011) | Recommence engagement plan in relation to 'Wellbeing Matters' project and develop implementation plan dependent on outcomes. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | This project has progressed despite the uncertainty of future funding in recognition of the need to develop our offer and enhance support for our citizens. We also recognise the need to manage our demand effectively across health and adults social care. We have held workshops to scope out the project and the services we would like to incorporate into the Wellbeing Matters Service. We now have a list of services to work through how we might be able to accommodate them within the former SPoA. We have been considering developing the nursing model to support our community triage service alongside VCRS and District Nursing services. Our focus this quarter has been to also develop a robust response to Telecare Review and action plan. Finally, we have been engaging in the work with Customer Relations re the new IT platform to support our ambitions and explore how we can integrate our systems effectively. To compliment this work the project team have been exploring the work on the national data repository to ensure that we are aware of the national plan and cognisant of this direction so that we compliment and embed. This Project is embedded firmly in the Access workstream of the @home locality programme, and we are working in partnership with C & V UHB and Cardiff Council to ensure that we work towards a regional solution to ensure equity for all citizens accessing health care services across the C & V UHB footprint. | | | | | | | | | | | | |
| 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 | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| | of funding for those deemed effective, and identify the risks associated with ceasing these projects. | | | | | | | | | | | | |
| **ACTION UPDATE:** | Officers continue to engage in the evaluation of the ICF and Transformation Grant funding schemes, conducted by an external organisation to inform WG decision making re future funding alternatives. The Division has identified the financial and service risks if funding is removed. The DMT have included this risk in the cost pressures submission for the directorate and remains concerned should replacement funding not be identified. Working with the Health and Social Care Partnership, we have prepared for the development of new business cases in anticipation of future funding and how we wish to operate  and deliver services as articulated under the current '@home locality model. | | | | | | | | | | | | |
| IHSR/AS003 (AS/A010) | Progress the work of the Alliance Model through the extension of Transformation funding by 12 months. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | This has gained approval in principle to work up an implementation plan, we are currently working with legal representatives to consider possible mechanisms for setting up such models for future operating. Before sharing more widely, we are seeking to discuss with WG officials to test out the high level proposal. It is planned that a proposal will be completed and ready to present to Cabinet and the Cardiff and Vale UHB Board early in Qtr. 4. Resources to support the project management have been identified and are in post. | | | | | | | | | | | | |
| IHSR/AS004 (AS/A014) | Develop new models of joint working with the Health Board with a particular focus on sustainable integrated services. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| ACTION UPDATE: | As per Qtr. 1 No further plans to integrate services, but to enhance what we already have in place. We continue to celebrate our integrated services and build upon the models. The evolving Wellbeing Matters Service is a great example of where we are developing the model following successful foundation of the Single Point of Access, by adding additional services to the offer and ensuring we maximise the skills and resources available, minimising duplication for our workforce and reducing the number of hand offs experienced by a citizen. The development of the Vale Alliance seeks to further embed the integrated models that are well established in this area. | | | | | | | | | | | | |
| IHSR/AS005 (AS/A012) | Implement actions arising from Vale Community Resource Service review. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | We were able to recruit to the position of Business Improvement Manager, and the successful candidate commenced in September. VCRS are working to finalise the document to capture the decisions made during the course of the Review exercise. In addition, the projects relating to VCRS have been reviewed along with the grant funding exercise outlined in AS/A013 and we have prepared to write business cases as WG outline the future funding opportunities. We have also worked closely with C & V UHB to develop the nursing structure to support VCRS moving forward, and links with the Community Triage that is being developed under the wellbeing matters service, as an extension to the current day time services offer, located at C1V. Also, secured additional funding for therapies resource. All of this has been in the context of the service continuing to operate with high demand and complexity. In addition, there has been developments with the Falls service, and working in partnership with colleagues in the Welsh Ambulance Service Trust (WAST). | | | | | | | | | | | | |
| IHSR/AS006 (AS/A015) | Create a sustainable and integrated model for single point of access to Well-being Matters services (via the Contact Centre). | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| ACTION UPDATE: | Adult Services are working in partnership with the Health Board and VOG Customer Services to develop a sustainable and integrated model for a single point of access to Well-being Matters Services. This is in an early stage of development, but already progress is being made, through improved working relationships and information sharing to resolve complex social and health problems that citizens experience. Regular and ad hoc MDT discussions are taking place to resolve such complex situations to unblock progress to people's wellbeing. | | | | | | | | | | | | |
| IHSR/AS007 (links to AS/A016) | Explore alternative care and support commissioning and delivery models to enable us to safely support discharges from hospital. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | Vale Integrated Discharge Service continues to operate a Discharge to Assess model where appropriate, utilising interim placement while longer term domiciliary care arrangements are source. This frees up hospital beds and allows people to try living in a less clinical environment while benefitting from 24-hour support. Additionally the team is encouraging a greater range of flexibility of care calls where it is safe to do so to give domiciliary care agencies the best chance to use their care worker resource to support discharges. | | | | | | | | | | | | |
| IHSR/RMS001 (RMS/A010) | Review the Regional Commissioning Work Plan to support the Healthier Wales agenda. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Monitoring sign-up to regional contract to be completed.<br>Monitoring framework in draft via Regional Commissioning Board members.<br>Review of contract documents being arranged for September 2021. and workshop held. | | | | | | | | | | | | |
| IHSR/RMS003 (RMS/A012) | Review and roll out of the 'Your Choice' model in co-ordination with other operational services. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Roll out has commenced with 3 agencies, blended rates are currently being formulated. | | | | | | | | | | | | |

Return to Risk Summary Report

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | **Deprivation of Liberty Safeguards**<br>The Deprivation of Liberty Safeguards (DoLS) (2009) introduced a legal mechanism to protect people who do not have the mental capacity to consent to their care and support in registered care homes and hospital wards. Specifically, the DoLS safeguards aim to prevent breaches of Article 5 of European Convention of Human Rights – *The Right to Liberty and Security*. They acknowledge that care and support arrangements sometimes are required to deprive a person of their liberty to ensure the person's best interests and safety, but that any deprivation of liberty must be in accordance with a prescribed legal procedure (Art 5(1)) and shall entitle the deprived person to take legal proceedings to determine lawfulness of the deprivation ((Art 5 (4)).<br><br>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.<br>In March 2014, the Supreme Court (P v Cheshire West and Chester Council and P & Q v Surrey County Council) made a ruling, effectively setting a new and much lower threshold for determining a deprivation of liberty which has led to a substantial increase in the number of requests for DoLS Authorisations. In the Vale of Glamorgan, this has meant an increase from 6 requests in 2013/14 to an average of over 500 in each of the last three years.<br><br>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.<br><br>**Deprivation of Liberty in 'Domestic Settings'**<br>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.<br>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.<br><br>Adhering to the Deprivation of Liberty (DoLS) continues to place significant pressure on Social Services in terms of officer workload/capacity and |

| | budgets. This has continued to be an ongoing risk that has been further compounded by the COVID-19 pandemic. Unlike other areas within Social Services, there a greater likelihood of us defaulting on our statutory responsibilities in relation to DoLs. This has continued to be a concern during the Pandemic as health and social care resources needed to be reprioritised and redirected to the frontline to deal with COVID-related issues. |
|---|---|
| **1.2 Risk Owner** | **Head of Resource Management and Safeguarding (AP)** |

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

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

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

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

| Overall Inherent Risk Score | 3 (Probable) | 3 (High) | 9 (Medium/High) |
|---|---|---|---|

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| *Service Delivery & Well-being* | Ongoing prioritisation of cases based on levels of risk and deprivation assisted by an effective case management system.<br><br>The CMHT for Older People has relocated from Ty Jenner to Llanfair Unit at Llandough Hospital.<br><br>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.<br><br>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.<br><br>Established a robust monthly monitoring mechanism to provide effective monitoring of DoLS across the partnership with quarterly reporting via the Deprivation of Liberty Safeguarding Partnership Board. | 1 | 2 | 2 |
| *Reputation* | We have formed good relationship with Welsh Government, Regulators and Key Partners and feed into the Association of Directors of Social Services (ADSS). | 1 | 2 | 2 |
| **Overall Effectiveness of Controls** | | **1** | **2** | **2** |

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

| 3. Risk Management Plan – Mitigating Actions | | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| DOLR/RMS001 | Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On track)** |
| ACTION UPDATE: | Implementation for Liberty Protection Safeguards (LPS) has been further delayed due to code of practice not being published.  It is anticipated that the new LPS requirements will be in place from October 2022, however, this is still subject to change.  We have undertaken some preparatory work in relation to identification of training in relation to Mental Capacity Act; Best Interests across the workforce.  An implementation group has been established and there is representation with the WG LPS workstreams | | | | | | | | | | | | |
| DOLR/RMS002 | In partnership with legal services, progress DoLS community applications to ensure the least restrictive practice is utilised and assessments proportionate | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On track)** |
| ACTION UPDATE | This work continues, mapping work has been completed in relation to the scale of community deprivations of liberty.  LPS will integrate deprivations within community with anticipated outcome that this reduces the need for Court of Protection involvement. | | | | | | | | | | | | |
| DOLR/AS001 | Progress DoLS community applications to ensure the least restrictive practice is utilised and assessments proportionate. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| ACTION UPDATE: | In preparation for the impending implementation of the Liberty Protection Safeguards, all team managers are encouraged to raise awareness within their teams of the 'acid test' for deprivation of liberty to ensure all people living in domestic setting but are deprived of their liberty have the opportunity for their situation to be assessed to ensure that their care arrangement is in their best interests. This has enabled the teams to identify individual Care and Support Plans that require the authorisation for the Court of Protection. The team is currently working with legal in preparation of Court for a small number of individuals. | | | | | | | | | | | | |

Return to Risk Summary Report

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | The Social Services & Wellbeing (Wales) Act 2014 has integration of health and social care at its core. The effective sharing of information is a fundamental foundation of integrated working and should be applied on a "once for Wales" basis. Welsh Government has significantly invested in the capital programme to support the development and implementation of an integrated information system across health and social care services. This system is known as Welsh Community Care Information System (WCCIS) and is the replacement to the social care information system known as SWIFT.<br><br>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.<br><br>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.<br><br>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.<br><br>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'.<br><br>The next phase of development will focus on exploring the financial functionality of WCCIS to ensure all our social care charging and invoicing is one place, but this requires further work and additional consultancy costs to |

| | explore and implement. The arrival of COVID-19 will to of some extent delayed progress in developing the new financial module and the system's functionality. But once the Council's emphasis shifts towards recovery, we will have capacity to resume and progress its development. |
|---|---|
| **1.2 Risk Owner** | **Head of Resource Management and Safeguarding (AP)** |

| **1.3 Alignment with Well-being Goals** | | | | | | |
|---|---|---|---|---|---|---|
| **A Globally Responsible Wales** | **A Prosperous Wales** | **A Resilient Wales** | **A Healthier Wales** | **A More Equal Wales** | **A Wales of Cohesive Communities** | **A Wales of Vibrant Culture and Thriving Welsh Language** |
| No | No | Yes | Yes | Yes | Yes | No |

| **1.3 Risk Categories** | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| *Political & Legislative* | Yes | Political and legislative repercussions of failing to fully implement WCCIS across the Directorate fully within required timescales. Delays in developing key aspects of the system as a consequence of COVID-19 are likely to add to the likelihood of this aspect of risk.<br><br>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.<br><br>Failure of other regional partners to implement the system, thus not maximising the benefits of the systems particularly in relation to integrated teams. |
| *Resources* | Yes | Failure to fully maximise and mobilise our existing resources to ensure full implementation/development of WCCIS across the Directorate. Delays in developing key aspects of the system as a consequence of COVID-19 are likely to add to the likelihood of this aspect of risk.<br><br>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.<br><br>Limited skill resilience to extract and report relevant data from the system. |
| *Service Delivery and Wellbeing* | Yes | Failure to fully develop WCCIS and its potential could impact the ability of service users to access services readily. Delays in developing key aspects of the system as a consequence of COVID-19 are likely to add to the likelihood of this aspect of risk. |

| 1.3 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | Loss of data could impact of the delivery of key services as well as the impact this has on service users.

Failure to safeguard our citizens across Cardiff and the Vale as result of not implementing an integrated case recording system over a regional footprint which will impact on our ability to share information effectively across organisational boundaries. |
| *Reputation* | Yes | Reputational impact arising from findings from Adult Practice and Child Practice Reviews as a result of failing to record/share information effectively using WCCIS.  This could result in a loss of confidence and trust in our ability to safeguard our citizens resulting in negative publicity. And ultimately have a detrimental impact on our credibility and leaves us open to potential criticism from our external regulator CIW, the Welsh Government and the Ombudsman. |

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

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • Regular reporting of progress/updates via Insight, CMT and Cabinet. | | | |
| *Resources* | • WCCIS system is now fully embedded across all of Social Services.<br>• Identified Super users for the system maintain links with the national and regional team.<br>• Successfully trained all staff on using WCCIS now that it is operational.<br>• Training has been delivered on performance reporting and officers continue to access support from other local authorities to develop their expertise on the system.<br>• Performance staff have been trained in SQL to build performance related reports.<br>• 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.<br>• Senior Systems Support Officer is responsible for progressing WCCIS project delivery.<br>• Welsh Government Performance Measurement Framework guidance is designed to be referenced by Local Authorities when undertaking or commissioning work on both the "Understanding Experiences and Outcomes" element and the "Using Evidence to in Inform Improvement" element of the Performance and Improvement Framework. | 1 | 2 | 2 |
| *Service Delivery & Well-being* | • Directorate adheres to the Council's Information Management Strategy.<br>• 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.<br>• Data disclosure agreements in place with all other organisations that are using WCCIS.<br>• Information Manager attends Information Governance Groups to ensure the IAA is signed and fit for purpose to give us an additional layer of protection. | 1 | 2 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • Representatives Attend Regional and National Operational Meetings to identify and discuss any operational issues with the system and impact on service delivery.<br>• 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.<br>• Established a 'clinic' for users to attend to discuss their forms and requirements.<br>• Dashboards within WCCIS have been developed to enable staff to manage their own data have been completed.<br>• A WCCIS Wizards Group for Superusers is well established to help practitioners with the development of the system.<br>• WCCIS Operational Group is well established that enables the identification and resolution of areas of concern.<br>• Financial assessments are also undertaken virtually. | | | |
| *Reputation* | • Effectively managed expectations and raised awareness with our Regulator (Care Inspectorate Wales) and Welsh Government regarding any limitations associated with reporting.<br>• 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.<br>• 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.<br>• Work regarding the implementation of the Finance Module will be restarted when the Covid 9 response has dissipated. | 1 | 2 | 2 |
| *Overall Effectiveness of Controls* | | **1** | **2** | **2** |

| 2.3 Residual Risk Scoring & Direction of Travel | | | | | | | | | | Direction of Travel | Forecast Direction of Travel |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | Inherent Risk Scores | | | Effectiveness of controls Score | | | Residual Risk Score | | | | |
| Category | Likelihood | Impact | Total | Likelihood | Impact | Total | Likelihood | Impact | Total | | |
| Political & Legislative | 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 | ↔ | ↔ |
| **Average risk score/ direction of travel** | 4 | 3 | **12** | 1 | 2 | **2** | 4 | 2 | **8**<br>**(Medium/High)** | ↔ | ↔ |

| Risk Action Ref. | Action | Risk 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) | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | | ☑ | AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | There have been significant national performance issues with WCCIS which has not enables this work to progress as necessary. | | | | | | | | | | | | |
| WCSR/RMS 002 | Contribute to WCCIS development via the NWIS Board and support the development of a reporting mechanism for system issues. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | | ☑ | AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | We continue to participate in WCCIS development via the NWIS Board. There continue to be challenges associated with developing and updating forms. The supplier Advanced have been investigating and issues continue to be discussed in bi-weekly WCCIS CRM Issue Resolution workshops. A series of engagement sessions are planned to inform the next stage of the programme development and implement outstanding functionality. A strategic review of the WCCIS programme has begun, with recommendations due to be reported early into 2022. | | | | | | | | | | | | |

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | This risk focuses on how we respond to uncertainty and emerging issues surrounding Brexit that has the potential to impact on how we deliver services to our citizens. There is a risk that we fail to effectively identify and respond to the changing policy and legislative landscape as a result of the 'Brexit' process. This could also impact significantly on our ability to deliver our Well-being Outcomes and strategic objectives of our Corporate Plan. By developing a better understanding of the potential pressures Brexit places on specific services this will enable us to better prepare and respond to the changing climate and minimise disruption to service delivery.

The uncertainty and implications associated with Brexit have been the subject of much discussion across the Council. The Council has maintained a watching brief as the process has continued and this has been documented to date as part of the legislative Change risk on the Register. However, at Audit Committee in February 2019 a suggestion was made that Brexit should now be identified as a risk in its own right on the Register.

CMT have adopted a proportionate approach for planning for Brexit and service areas have undertaken an impact assessment in the context of overall business continuity planning.

The WLGA have provided grant funding to all Local Authorities to support the preparatory work associated with Brexit. The Local Resilience Forum have also committed resources to support coordination and communications across the region.

A response was submitted to the Wales Audit Office in terms of our readiness work, which included a series of discussions at Insight to formulate an Impact Assessment and a presentation to CMT/Cabinet by the WLGA.  It is this preparatory work that has helped to inform how we define and understand this risk. As a result of this impact assessment work, an Action Plan has been developed to mitigate against the potential risks associated with Brexit (and in particular a no-deal scenario). Progress against this action plan is monitored by the Strategic Leadership Team (SLT) and feeds into regional reporting we provide to the WLGA as part of EU Preparedness Advisory Panel.

Grant Thornton have been commissioned by the WLGA to explore the impact of Brexit on trade in Wales. The findings from this work will be published during the quarter 3 period. The findings from this work along with the current Brexit position will be used to inform a risk analysis and a refresh of the Brexit Action Plan (aligned to the Risk Management Plan attached to this risk).

We recognise that residents and businesses will look to us a community leader for advice, support and assistance whilst the negotiations remain ongoing. Therefore, since the referendum, our focus has been on ensuring that we participate in opportunities to feed into discussions at both the national and local level regarding the potential impact of Brexit on Council services. For example, the Council is represented by the Director of Environment and Housing Services on the Local Resilience Forum, a regional emergency |

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

The Pandemic struck at a time when the UK was still negotiating with the European Union a Brexit trade deal. These talks stalled whilst the UK and the rest of Europe, shifted their attention towards tackling the Pandemic. Although talks between the UK and EU have now resumed it is still uncertain as to whether a trade deal will be secured in time before the end of the transition period (December 2020). There is a risk that whilst our attention and resources are drawn to immediately address the priorities arising from the pandemic, compromises our capacity to prepare and adapt to the uncertainty associated with Brexit and any future policy and legislative changes that arise as a result of either deal or no trade deal. |
|---|---|
| **1.2 Risk Owner** | **Head of Policy & Business Transformation (TB).** |

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

| **1.4 Risk Categories** | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| *Political & Legislative* | Yes | Significant political uncertainty associated with Brexit and the impact this has on our ability to forward plan.

Failure to comply with any legislative changes arising from the UK leaving the EU and impact this has at the local level. This risk is of particular relevance at a time when the Council is beginning its work to recover from the pandemic.

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

Failure to represent the Council's position in relation to the policy developments/changes associated with Brexit, which could impact on our ability to maximise opportunities for future investment and to deliver our strategic objectives outlined in the Corporate Plan.

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

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

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

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | impact on how we tender for and access products/services from EU markets. |
| *Resources* | Yes | Financial impact of leaving the European Union on the Council's European funded projects/initiatives (regeneration). Leaving the EU could impact our ability to secure funding to further progress the development/investment in regeneration projects e.g. Creative Rural Communities.<br><br>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.<br><br>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.<br><br>Loss of staff from EU countries impacting not just on the council's operational capacity but also on the wider business community e.g. health and social care, construction, tourism etc. A reduction is labour supply could have a detrimental impact on the local economy. COVID has highlighted the value and significance of health and social care sector during the crisis, which is also a sector that employs a greater proportion of EU nationals. There is the risk that the impact of COVID combined with Brexit could exacerbate labour supply issues which is currently being seen in relation to domiciliary care and availability of HGV drivers.<br><br>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.<br><br>Inability to put in place effective civil contingency plans (emergency planning) to take account of the potential impact of Brexit.<br><br>Market volatility, inflation and financial uncertainty could impact on council revenue budgets and borrowing costs for capital schemes.<br><br>Inability to effectively manage demand and sustain service delivery post Brexit.<br><br>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. |

| 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. |
| *Service Delivery and Wellbeing* | Yes | Uncertainty in the economic/financial climate as a result of the Brexit process impacts on our ability to attract inward private investment and lever fewer jobs in the area.<br><br>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.<br><br>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.<br><br>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.<br><br>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.<br><br>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.<br><br>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.<br><br>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. |

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

| 1.4 Risk Categories | | |
|---|---|---|
| Categories | Yes/No | Definition |
| | | |

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| *Political & Legislative* | • Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.<br>• 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.<br>• Developed strong links with the WLGA to access specialist advice, information and briefings.<br>• 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.<br>• Data flows exercise to map and identify any potential IT systems/databases where data is held by Third parties outside of the UK. To date no significant areas of concern have been identified. | 2 | 1 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| *Resources* | • Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.<br>• Completed a Directorate-wide impact assessment of Brexit.<br>• Business Continuity Plans have been reviewed and updated for priority one services.<br>• 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.<br>• Links with the Welsh Government and WLGA regarding economic development.<br>• 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.<br>• 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.<br>• 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.<br>• Continue to work closely with mangers across all service areas to help them to support potential employees who may need to apply for settled status Worked with our local Trade Unions, we have provided the ability for staff to access advice and support from HR to support them to apply for settled status.<br>• 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.<br>• 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. | 2 | 1 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • 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.<br>• A review of the impact of Brexit on SRS functions was undertaken and all officers are properly authorised to continue their statutory duties.<br>• 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.<br>• All ESF funded projects are designed with an exit strategy and will be looking to implement these from June 2022.<br>• Established a mechanism/tool for monitoring cost pressures in relation to supplies as result of Brexit.<br>• Council staff have been attending several briefings and meetings with UK Government officials with a view to submitting a bid in June to access grant funding for interim projects. | | | |
| *Service Delivery & Well-being* | • Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.<br>• Brexit Impact Assessment Action Plan was developed and approved by CMT in September and is monitored on a regular basis.<br>• Commenced a Directorate-wide impact assessment of Brexit.<br>• 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.<br>• 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). | 1 | 1 | 1 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • Developed a [Preparing for Brexit](#) web page for the website to signpost our businesses to advice and information to the Business Wales website.<br>• Two pilot awareness raising webinars on the EUSS scheme were held with housing and homelessness services staff and external partners.<br>• Established an exploratory group that meets on a regular basis to explore potential food poverty projects in Llantwit Major.<br>• Worked with the Citizens Advice Bureau to provide training to front line staff in supporting residents to apply for settled status.<br>• 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. | | | |
| *Reputation* | • Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service.<br>• 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.<br>• EUSS scheme promoted both internally and externally. This was undertaken via Staffnet and the Council's social media accounts. | 1 | 1 | 1 |
| **Overall Effectiveness of Controls** | | **2** | **1** | **2** |

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

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| BXR/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.  *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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | CL/MG/MI/DM/DH/T Baker   T Bowring | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | During Q2 a wide review of the implications of Brexit was undertaken across the summer to identify any issues associated with Brexit post-transition (for example, the supply of materials or labour). The findings from this review were reported to SLT and Scrutiny.  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. | | | | | | | | | | | | |
| BXR/ALN001 BXR/SP001 | Ensure that appropriate exit strategies are in place for ESF funded projects. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 20202 | **GREEN (On track)** |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| ACTION UPDATE: | WEFO have confirmed a 10-month extension to CfW funds - taking the project into end of 2022 delaying the WG ESF exit plan (now devised) and allowing more time to develop any replacement project ideas. News on CRF has not been forthcoming and suggested end of September 2021. SPF guidance has been delayed until 2022.<br><br>Discussions within Insight Board and with regeneration teams are ongoing and the risks have been included on the Corporate Brexit Risk Register. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 2022 | GREEN (On Track) |
| ACTION UPDATE: | Continuing to work regionally with the LA Cluster Employment and Skills group exploring opportunities for new funding initiatives. CRF and SPF have been delayed so no progress. The region has developed an employability report to be shared with the Directors within the CCR and these will go to all LA Cabinets to highlight areas to consider for joint work. An idea put forward is for the CCR LAs to work on a Challenge Fund bid to develop a single company model to bid for regional and national contracts although early in discussion with a purpose of securing LAs place in the employability market, the impact of the recent launch by Whitehall/DWP schemes is having a detrimental impact on referrals to WG funded schemes like CfW. As a kick-start provider we are progressing well having seen 59 young people enter a placement . | | | | | | | | | | | | |
| 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, | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MH | 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 | | | |
| | including the delivery of initiatives for young people such as Inspire to Work (I2W) and Inspire to Achieve (I2A). | | | | | | | | | | | | |
| **ACTION UPDATE:** | Further discussions are being initiated regarding the shared prosperity fund which will be implemented in light of ESF ending. There are also plans for core Youth Service budget to be allocated to the NEETs agenda to address I2A/I2W related workstreams. | | | | | | | | | | | | |
| 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.<br><br>*Milestone action: Work with the PSB and partners to deliver a food poverty pilot in Llantwit Major. Utilise lessons learnt from pilot to further develop the model, so that it can be applied to other areas post transition.* | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| ACTION UPDATE: | Work continues to progress on the Llantwit Major pilot project with phase 1 of the public engagement being underway. This phase has seen a short anonymous survey launched to help the project team better understand who is struggling to access food in Llantwit. The weeklong Bro Radio campaign aired on the W/C 2nd August prompting the project and its survey, and local support services. All sessions are available to 'listen again' via the new project website www.foodvale.org/llantwit . Work will continue to engage with local residents and food support services to understand the current picture and need in the area and develop initiatives/actions to help improve food access in Llantwit. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Bowring | March 2022 | GREEN (On Track) |
| ACTION UPDATE: | Initial focus remains on 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. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk 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/PB005 | Refresh the communications plan for the public and our staff on key Brexit developments post- transition. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | T Bowring | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | During Qtr2, the Council has continued to use its communication platforms and links with partnerships, forums and business networks to share relevant/emerging Brexit-related developments and information to our citizens, partners and local businesses. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Regular meetings continue with colleagues across Wales in Regeneration and Finance and the WLGA to discuss progress on existing and upcoming business support measures.  This has allowed us to develop and implement grant schemes at short notice. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk 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/RP003 | Work with UK Government, Welsh Government and Cardiff Capital Region to support and promote inward investment projects. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Tendering process is underway for 3 substantial pieces of work in preparation for the UK Government Shared Prosperity and Levelling Up fund. Ongoing meetings are taking place with UK Government and consultants will be appointed in November. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The Council expects to bid for the Levelling Up Fund from March 2022 onwards. This fund is likely to focus on Barry so the Council is keen to see what opportunities the Shared prosperity Fund might bring to Penarth and the rural Vale. There remains uncertainty over the exact date of the launch of this fund, however, contacts with the new UK Governments funding officers in Cardiff has been established. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Risk Action Ref.** | **Action** | **Risk 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/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 community led local development funding. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Although the rural programme in the Vale is coming to an end, the Council continues to lobby policy makers around the benefits of community led local development. The Council also hopes to mainstream much of this approach going forward because many of the innovative initiatives within the Council are rooted in Creative Rural Communities and their work. | | | | | | | | | | | | |
| 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 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The Tension Monitoring Form distribution list has been expanded to include members of the Community Cohesion Group who have subsequently promoted its use among their community groups. There were 6 Tension Monitoring forms received across the quarter. The Community Cohesion group's membership has increased to include new members representing LGBT+ members. ASB awareness week was successfully carried out during the month of July. The Community Safety Team attended Barry Island alongside the Police Youth Volunteers and Police & Fire Crime Unit where | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | posters and leaflets were distributed to raise awareness on antisocial behaviour including information on E-Scooters and on how to report crimes using the new 101 QR code Reporting leaflets were also given out to highlight different and easier ways to report ASB. The partners also attended Rhoose, Ogmore by Sea and Holton Road to talk to residents, listen to concerns, give out safety advice and raise awareness on ASB and the work of the Safer Vale Partnership. 8 cohesion meetings to work on resolving cohesion issues and 5 task and finish group meetings were held in a multi-agency setting across the Qtr. | | | | | | | | | | | | |
| 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. *Milestone action: Identify mechanisms to support those in the greatest of need/poverty to continue to be able to access food supplies (for example Food Banks).* | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | The Penarth Food Pod is now open and making a positive impact to local people by providing essential food supplies on a 'pay what you can' basis. The POD is open twice a week and is staffed by Housing colleagues and volunteers. Further funding has been secured to expand the POD and to assist with a volunteer coordinator to recruit more local people into volunteering at the POD. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Risk Action Ref.** | **Action** | **Risk 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/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.<br><br>*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.* | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | DM | March 2022 | **N/A** |
| **ACTION UPDATE:** | Legal Services involvement has not yet been requested. But legal resource is available when advice is required to feed into any review of procurement practices and policies. | | | | | | | | | | | | |
| BXR/NS002 (NS/A007) | Work with contractors (providers) to gain assurance for their readiness for the impact Brexit post transition. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | 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 | | | |
| ACTION UPDATE: | A continued shortage of components has seen delays on certain stock items from main dealers being delayed (a mix of Brexit, Covid and shortage of HGV drivers seems to be the main reasons for this). 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.<br><br>The Additional Learning Needs and Education Tribunal (Wales) Act 2018 aims to create:<br><br>• 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)<br>• an integrated, collaborative process of assessment, planning and monitoring which facilitates early, timely and effective interventions; and<br>• a fair and transparent system for providing information and advice, and for resolving concerns and appeals.<br><br>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.<br><br>**Core aims of the new ALN system**<br>• **Introduce the term Additional Learning Needs (ALN)** – to replace the terms Special Educational Needs (SEN) and Learning Difficulties and/or Disabilities (LDD).<br>• **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.<br>• **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.<br>• **Increased participation of children and young people** – learners' opinions, along with those of their parents, should always be considered<br>• **High aspirations and improving outcomes** – delivering tangible outcomes that contribute to the learner's achievement of their full potential.<br>• **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.<br>• **Increased collaboration** – improved multi-agency working and information sharing<br>• **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

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

| | | | | | | Welsh Language |
|---|---|---|---|---|---|---|
| Yes | Yes | Yes | Yes | Yes | Yes | Yes |

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| *Political & Legislative* | Yes | Political and legislative repercussions of failing to meet the requirements of the *Additional Learning Needs and Education Tribunal Act 2018* could lead to litigation, fines and/or political instability. |
| *Resources* | Yes | Extending the duty of care to a wider age range of children and young people (0-25), impacts on our workforce capacity and our ability to widen our service provision to bring in more specialist skills/support. The legislation will require a significant amount of additional provision to be created without sufficient additional financial resources.<br><br>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.<br><br>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.<br><br>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.<br><br>Inability to undertake/progress preparatory work in readiness for the legislative changes due to serious disruption to education services resulting in widespread school closures and the diversion of resources in response to major business continuity issue e.g. pandemic. |
| *Service Delivery and Wellbeing* | Yes | There is a risk that the local authority will fail to meet its statutory duties in delivering the requirements of the Additional Learning Needs and Education Tribunal Act 2018.<br><br>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 |

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | provision across the service and a failure to meet both the requirements of the legislation and the needs of our learners.<br><br>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.<br><br>Lack of sufficient provision to meet the increasing numbers of children and young people across the three key growth areas of children and young people with complex autism, physical and medical difficulties and those experiencing social and emotional health difficulties. There is the concern that COVID-19 could further compounds this risk, as a consequence of school closures there is an increased likelihood of a rise in social and emotional health needs of children and young people.<br><br>There is a financial risk associated with providing ongoing bespoke transport solutions to a growing number of children and young people with complex needs in order to access education. |
| *Reputation* | Yes | Reputational damage associated with non-compliance with the Additional Learning Needs Education Tribunal Act and the negative criticism this could attract from our Regulators (Estyn). |

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

| Overall Inherent Risk Score | 3 (Probable) | 3 (High) | 9 (Medium/High) |
|---|---|---|---|

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | • Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | vision for the inclusion of learners with additional learning needs post 16.<br>• Dispute resolution training has continued to be delivered.<br>• Central training delivered and well attended on the wider implication of the ALN Act for local authority staff. IDP and PCP training will be offered to EOTAs staff and Social services. PCP training has been offered to CLA coordinators. | | | |
| *Service Delivery & Well-being* | • A three-year ALN Implementation Plan for the Central South Consortium Region was agreed in August 2018. Delivery of the Implementation Plan is monitored by the transformational lead for the Vale of Glamorgan with progress reported back to the Director of Education.<br>• 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.<br>• 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.<br>• Early Years meetings continue to be attended, regionally and with Cardiff in order to plan early years provision.<br>• An Early Years Forum has been established and the Early Years toolkit has been published and is being shared with Early Years providers.<br>• 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.<br>• Transition Protocol has been developed and agreed in conjunction with Social Services and Health. | 2 | 1 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | • **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • Partners have advocated for the educational needs of learners in the 7 different vulnerable groups.<br>• Proposals have now been through all stages of the consultation process for the development of an additional resource base at Whitmore High.<br>• 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.<br>• Outreach services have worked regionally to consult on barriers to learning and provision to address these barriers.<br>• New policies on pupil well-being have been well received by schools and are going to Governing Bodies for adoption.<br>• 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.<br>• 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.<br>• 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 | | | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| Category | • Current Controls | Effectiveness of controls | | |
| | | Likelihood Score | Impact score | Total Score |
| | quickly to mental distress as pupil assessments generate activity/intervention plans tailored to the emotional health profile of the individual.<br><br>In order to build emotional resilience of staff and schools have been provided with the following:<br>• 2 x 45 minutes 'Recovery from Trauma' webinar Dr Coral Harper for all staff working in schools<br>• Action for Happiness initiative across all schools including resources and training for staff self-care, Keys to Happier Living journal<br>• Increased provision of clinical supervision for education staff working as trauma informed practitioners<br>• Subscription to The Happy Newspaper for all staffrooms<br><br>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:<br><br>• 'Supporting the Return to School' Trauma Informed Schools 3 hr training for all education staff<br>• Additional Senior Leaders Trauma Informed Schools 2-day course for all pastoral leads/heads of year in secondary schools<br>• Mental Health first Aid training available for all schools<br>• Therapeutic workshops, Play, music, OT understanding the functions of behaviour<br>• DDP Level 1 training – for all secondary schools<br><br>The following resources have also been made available to schools:<br><br>• Action for Happiness Schools Toolkit – All primary schools and Year 7 pilot group | | | |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **• Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • Rainbow Pathway – Trauma informed PSE curriculum - all primary schools<br>• Comprehensive library of books and resources to support emotional wellbeing<br>• Additional Welsh language books and resources<br>• Resources to support co and self-regulation including drum kits, balance boards, exercise balls, stretchy bags/tunnels and bands, floor surfers, spinners<br><br>• The Centre for Learning and Wellbeing will be opening in September 2021, albeit on the current site of the PRU. Also, the autism resource base will be welcoming pupils in September in the newly constructed Whitmore High School | | | |
| *Reputation* | • A communication strategy in relation to the ALN Act is being developed. | 1 | 1 | 1 |
| **Overall Effectiveness of Controls Score** | | **2** | **1** | **2** |

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

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## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk 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/SP001 (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) | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MH | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Person Centred Planning meetings enable the Vulnerable Groups Team to create One Page Profiles for complex vulnerable learners. The nature of these meetings ensures democratic decision making about the learner's needs and identified provision. The is very good feedback from families who, speak English as an additional language in relation to them being more actively involved in the decision making around their child's education.  Pupil Engagement Team now implemented to ensure pupils on EOTAS pathways have effective family engagement and guidance on pastoral support plans in all EOTAS settings is monitored effectively with meaningful engagement with parents. | | | | | | | | | | | | |
| ALNR/ALN001 (ALN/006) | Continue to develop early years ALN provision in line with the expectations of the ALNET (Wales) Act. (ALN/A006) | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The EY team , have continued to successful run the multi-agency EY forum, offering support to EY settings, pupils, working with settings to ensure that pupils needs are identified and met.  EY officer and transition worker have worked with settings to produce one-page profiles and  IDPs. EY officer has continued to offer training to schools and settings.  EY  have worked with health to agree process for requesting/ sharing information from health | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | professionals. (S65 & S20) (KG) and the involvement for all relevant Health Professionals as part of the IDP (2C) (KG) EY team have worked effectively with EY CYPP team , around funding and ALN . | | | | | | | | | | | | |
| ALNR/ALN002 (ALN/A008) | Develop additional specialist resource base and special school places to meet current and projected need. (ALN/A008) | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The Specialist Resource Base is now operational and pupils within the base are settling well. Work is ongoing to further develop the provision and prepare for additional pupils to be placed in September 2022. | | | | | | | | | | | | |
| ALNR/SP002 (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) | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MH | 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 | | | |
| ACTION UPDATE: | Education Other Than At School (EOTAS) strategy developed and established. Pupil Engagement Team within the Youth Service now established with a rigorous and robust quality assurance process implemented of all EOTAS providers. Pupil Engagement will oversee all EOTAS contracts brokerage ensuring commissioned arrangements are underpinned with legally agreed documentation. | | | | | | | | | | | | |
| ALNR/SP003 (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) | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MH | March 2022 | **AMBER Minor Slippage)** |
| ACTION UPDATE: | This project is now due to be delivered by Spring 2023. Y Daith closed on the 31/8/21 and the Centre of Learning and Wellbeing will open on 1/9/21 in preparation for January 2023. | | | | | | | | | | | | |
| ALNR/ALN003 (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) | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| **ACTION UPDATE:** | An ALN Officer have been appointed to work with schools on IDPs and the processes around IDPS . IDP processes and timeframes have been shared with ALNCos in training days. Officers work with schools to produce IDPs and draft IDPs . IDP champions from each ALNCo Custer have been identified and a 6 week training course put into place to upskill the ALNCOs to support their clusters with developing IDPs. Training has been offered to wider education settings and social services around the ALN Act and IDPs. A group of independent schools and setting is being developed in order to provide further training around the ACT and IDPs. | | | | | | | | | | | | |
| ALNR/ALN004 (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) | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Collaboration between Cardiff and the Vale has been agreed for another year and an action plan developed to prioritise next steps. My transition plan and protocol are to be trailed in secondaries this year and further consultation reported on the easy read protocol document. CAVAC forum for transition continues to identify ALN pupils barriers to learning, whose FE pathway will be in CAVAC. Support for pupils has been mapped out but funding has not yet been agreed. Travel training is being reviewed between Cardiff and the Vale to ensure parity, where possible. | | | | | | | | | | | | |
| ALNR/ALN005 (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) | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| | Milestone action: Improve the quality and availability of information to parents/carers, young people and all service users about additional learning needs provision. | | | | | | | | | | | | |
| **ACTION UPDATE:** | A PowerPoint for schools to use with parents to share information about the ALN act , has been shared with schools. Regional IDP leaflets for pupils and parents have been developed and shared with schools. Information and training has been shared with supporting organisations such as SNAP , Index , social services. EY officer have developed leaflets and information around the EY forum. | | | | | | | | | | | | |
| ALNR/ALN006 (ALN/A003) | Develop a shared understanding between the Health Board and LAs for identifying and supporting the needs of learners with ALN (ALN/A003). | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Health  processes around input into IDPs have been outlined and a designated inbox set up for school referrals for IDP processes. There continues to be some debate around  the health services that can be detailed on an IDP.  Meet the Declo sessions have been set up for ALNCos to attend. Health representatives will input to ALNCO training to outline the process for IDP involvement. Health meetings  continue to be attended. | | | | | | | | | | | | |
| ALNR/ALN007 (ALN/A005) | Develop and implement a regional approach to increase ALN provision available to Welsh medium schools to ensure sufficiency of provision. (ALN/005) | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | 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 | | | |
| **ACTION UPDATE:** | The implementation of the actions in Q2 is progressing and a reviewer to carry out the Review of Welsh medium provision has been identified and will begin work in Q3. | | | | | | | | | | | | |
| ALNR/ALN008 (ALN/A002) | 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)** |
| **ACTION UPDATE:** | The Engagement Service has expanded to include 2 further specialist teachers and a Welsh speaking specialist LSA. Additionally, currently recruiting a clinical psychologist. Referral criteria have been adjusted to reflect the increased knowledge and skills in mainstream schools resulting from Social, Emotional & Mental Health training and capacity building. | | | | | | | | | | | | |
| ALNR/SP004 (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 | **GREEN (On Track)** |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| ACTION UPDATE: | • Ongoing discussions held between Improvement Partners and school leaders to ensure the identification of appropriate priorities in SDP to address impact of Covid. A strong focus on addressing literacy concerns (oracy, particularly in the foundation phase, reading and writing), promoting pupils' social skills and enhancing wellbeing provision. In Welsh medium schools, an ongoing focus remains on supporting pupils who come from homes where Welsh is not spoken.<br>• Improvement Partners continue to work with schools in reviewing the effective use and impact of the Accelerated Learning Programme grant and the Pupil Development Grant (PDG). Report outlining use and impact of PDG for 2020-21 shared with Learning and Culture scrutiny in September 2021, as well as presentations from two schools. Impact captured include good engagement by eFSM pupils during lockdown, improved IT skills, good attendance and re-engagement of eFSM back in school has been good in over half of schools, and a more effective liaison and partnership in place with parents /carers.<br>• A comprehensive professional learning offer is in place for schools with a strong focus on oracy and reading in LLC provision. Discussions are ongoing between Improvement Partners and schools regarding the identification of appropriate key professional learning programmes.<br>• Two secondary schools (Pencoedtre and Whitmore) have been identified for the Raising the Attainment of Disadvantaged Youngsters (RADY) pilot project, where initial work has just begun. | | | | | | | | | | | | |

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | COVID-19 is an infectious disease caused by a newly discovered coronavirus. The first case of the disease was first reported in China during December 2019, but very quickly spread throughout the rest of the world. Consequently, the World Health Organisation declared Coronavirus (COVID-19) to be a global pandemic that required a consistent and collaborative response.

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

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

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

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

|  | There are two key aspects to the COVID-19 risk as outlined in this Register focuses firstly on our response in terms of how as a local authority the Council will prioritise the use of our resources (our assets, finance, technology and our workforce) at this volatile time to ensure that we are in the best position to respond to the constantly changing landscape. The emphasis here is on our capacity to maintain service continuity of business-critical services so that we can protect the organisation against legislative, financial, and reputational repercussions/consequences. As this risk evolves over time, and our focus moves more towards our recovery phase the risk going forward is the local authority's capacity to address the longer-term impacts of the pandemic on our services, citizens, and communities.<br><br>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. |
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| 1.2 Risk Owner | Corporate Management Team |
|---|---|

## 1.3 Impact on our contribution to the Wellbeing Goals

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

## 1.4 Risk Categories

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

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | Failure to utilise our expert knowledge of our communities to make timely decisions in how we deliver services to meet the needs of our most vulnerable communities.

The pandemic brings with it an increased risk of challenge and the potential for litigation.

Inability to adapt our democratic/governance processes quickly and effectively to ensure timely decision-making and effective business continuity. Any adaptations to decision making/governance processes as a result of lock down restrictions would need to be robust an in keeping with our constitutional requirements, ensuring openness and transparency. |
| *Resources* | Yes | Insufficient funding available that can be used to meet unprecedented demand in our most critical services e.g. social care services. Effective financial management will be essential to respond monitor and prioritise the resourcing of a breadth of services where there are competing demands.

Uncertainty regarding the ongoing funding support from Welsh Government. Welsh Government has continued to financially support Local Authorities through grant funding. To date payments have been made in relation to increased costs and lost income to the end of September 2020. Whilst it is assumed that there will be funding for the remainder of this financial, the only confirmation of that is currently in relation to social care and homelessness costs.

Collection of income for the Authority maybe a considerable risk as

- households may find the payment of their Council Tax a significant financial burden If their employment status has changed as a result of the pandemic.
- Businesses may struggle to pay business rates due to financial pressure.

Rising costs associated with sourcing supplies via our supply chain (e.g. Personal Protective Equipment (PPE) etc.) and services (contracted out services/agency staff costs) will place further pressure on budgets.

Financial viability of some of our key service delivery partners as we move from response to recovery. |

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

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | COVID-19 presents an increased risk of cyber-attacks and the potential for fraud. During the crisis, threats have been increasingly targeted at those working from home with more sophisticated attacks being identified and reported more frequently. This not only undermines the integrity of our systems, but places increased pressure on our resources to keep a step ahead of cyber threats and fraudulent activity. |
| *Service Delivery and Wellbeing* | Yes | Failure in our duty to ensure the safety and well-being of our most vulnerable citizens and an inability to meet their basic needs.<br><br>Failure to provide education to school pupils, via distance learning and in-school learning.<br><br>Failure to maintain/oversee quality assurance mechanisms associated with managing and monitoring service delivery by Third Parties to citizens in our communities.<br><br>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.<br><br>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.<br><br>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.<br><br>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.<br><br>Failure to effectively support and safeguard the most vulnerable in society who have been advised to shield.<br><br>Increased pressure and lack of capacity of reablement services in the community to support the step down from critical care in |

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

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

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

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

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | • Investment in ICT developments to enable home working.<br>• Updated guidance on annual leave, flexi leave, and TOIL that has been published to reflect and adapt to the changing circumstances.<br>• Recovery Strategy approved by Cabinet that has been used to inform recovery focused Annual Delivery Plan actions.<br>• Localised Recovery Planning priorities have been identified and reflected within the Annual Delivery Plan for 2021/22. | | | |
| *Service Delivery & Well-being* | • Worked with our schools to co-ordinate the establishment of childcare hubs for the children of key workers across schools throughout the Vale.<br>• Worked with schools to enable catch up and check in facilities during the latter part of the summer term.<br>• Worked with schools to facilitate risk assessments associated with reopening schools from September.<br>• 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.<br>• 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.<br>• Worked in collaboration with GVS to launch Vale Heroes, a new service directory that brings together information regarding volunteering in our communities and sources of assistance with food and other supplies.<br>• Established a Crisis Support Team has who are contacting individuals who have been advised to shield, to establish their | 2 | 1 | 2 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | support needs and if they need any assistance with accessing additional help, food and medications.<br>• Coordination of food parcel deliveries to shielding people with no other form of support.<br>• 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.<br>• Housing/Homeless Service secured temporary hotel accommodation to provide shelter for homeless people.<br>• Secured donations from private and charitable organisations to support the provision of food to families and people who are vulnerable.<br>• 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.<br>• The Council's Communications Manager is the Communications lead for a range of regional groups responding to the coronavirus pandemic.<br>• 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.<br>• 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 | | | |

| 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.<br>• Recommended respite services to support resident's physical and mental health. | | | |
| *Reputation* | • Tannoy trucks have been used to broadcast the key messages to the public of #StayHome-StaySafe demonstrating that the Council is at the forefront of the response to COVID-19.<br>• Managing Director issues weekly communications/updates to staff on the ongoing developments and advice on any changes to working practice.<br>• Communications Plan has been developed in response to this crisis that ensures that regular updates are provided to public, business owners and other key stakeholders on key developments on a daily basis by maximising the use of all our key communication channels. | 2 | 1 | 2 |
| **Overall Effectiveness of Controls Score** | | **2** | **1** | **2** |

## 2.3 Residual Risk Scoring & Direction of Travel

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

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| CV/ALN001 CV/RP001 CV/HS001 CV/NS001 CV/SRS001 CV/SP001 CV/SL001 | Implement the Directorate Recovery Plan to address the impact of COVD-19 on our services, service users and their families and communities. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD MG MI ER DH MH T Baker | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | 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 via Scrutiny and Cabinet. Good progress has been made in delivering recovery priorities to date.  For example, within education in order to better meet the needs of our learners, we have re-structured workstreams and teams accordingly.  This includes the re-structure of the Inclusion Team and creation of Inclusion Officers whose remit is far broader than that of Education Welfare Officers.  In addition, the Attainment, Wellbeing and Engagement (AWE) Team provide much needed support for learners who are struggling to re-integrate into school as a result of the Covid pandemic. | | | | | | | | | | | | |
| CV/PB001 (PB/A018) | Work with GVS and other partners to build a legacy for Vale Heroes. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Bowring | March 2022 | **AMBER (Minor Slippage)** |
| **ACTION UPDATE:** | Work  has commenced to develop a third sector strategy and address the issues raised in the WAO report. Time, Grow, Gain continues to progress with activities being led by the Council's Housing dept, Benthyg and GVS to encourage and support volunteering. | | | | | | | | | | | | |

**3. Risk Management Plan – Mitigating Actions**

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| CV/PB002 (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 | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Bowring | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | Work continues to progress on the Llantwit Major pilot project with phase 1 of the public engagement being underway. This phase has seen a short anonymous survey launched to help the project team better understand who is struggling to access food in Llantwit. The weeklong Bro Radio campaign aired on the W/C 2nd August prompting the project and its survey, and local support services. All sessions are available to 'listen again' via the new project website www.foodvale.org/llantwit . Work will continue to engage with local residents and food support services to understand the current picture and need in the area and develop initiatives/actions to help improve food access in Llantwit. | | | | | | | | | | | | |
| 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.<br><br>Contribute to and support the local, regional and national response to the pandemic including TTP and mass vaccination and the Recovery Strategy. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Bowring | March 2022 | **GREEN (On Track)** |
| ACTION UPDATE: | 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 | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DH | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The service continues to manage the investigation of Covid cases and outbreaks in high-risk settings such as care homes, domiciliary settings and homeless hostels. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DH | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The work of the COVID enforcement teams continues to ensure compliance with detailed advice being given to individual businesses to support them in operating safely and enforcing the regulations where necessary. The team issued 15 Improvement Notices across the region during Qtr 2 | | | | | | | | | | | | |
| CV/PB004 (PB/A025) | Utilise the learning from the pandemic to define and establish new ways of working and | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | 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) | develop our management team across the service. | | | | | | | | | | SC RE | | |
| CV/NS005 | Review the way journeys are undertaken by staff including the use of pool cars. | | | | | | | | | | ER | | |
| ACTION UPDATE: | 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. <br><br> Within Adult Services, the Head of Service has liaised with Operational Managers to consider our operating models post -Covid, and seeking to inform the accommodation strategy for our teams moving forward. We have engaged with this process and ensure full participation to shape the future accommodation needs fit for the purpose to deliver high quality services to those we support. The integrated nature of the Adults Division has required Cardiff and Vale UHB and Swansea Bay UHB as key delivery partners are appraised of the accommodation review. Within Children and Young People Services, the learning from the pandemic continues to inform our practice and the Division's future operating model. <br><br> In response to changes in our working practice as a consequence of the pandemic, the Neighbourhood Services division will be undertaking a review of the need for pool cars during the Qtr3 period. | | | | | | | | | | | | |

| Risk Action Ref. | Action | Risk 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/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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Bowring | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | 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/RMS001 (RMS/A020) | Continue to support mechanisms to ensure care settings are following the latest prevention control processes in line with TTP requirements. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Discussed regularly at provider forums, plus emails as and when guidance changes. Incident tracker in place and outbreaks closely monitored. | | | | | | | | | | | | |
| CV/RMS003 (RMS/A011) | Review effectiveness of isolation beds with the view of reintroducing for reablement services. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Refurbishment complete and Bridging Unit established. | | | | | | | | | | | | |

**3. Risk Management Plan – Mitigating Actions**

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| CV/RMS004 (RMS/A015) | Recommence respite services to support resident's physical and mental health. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (Completed)** Action completed and will be reflected as a control in the Register |
| **ACTION UPDATE:** | Respite services have now recommenced. | | | | | | | | | | | | |
| 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) | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | There has been a delay in shipping the devices ordered this year under the Hwb funding, due to issues with the supply chain. The suppliers have informed us that the devices will be shipped by the end of 2021. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| CV/ALN003 (ALN/A013) | Seek further opportunities through the Children and Communities Grant (CCG) 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | CCG continues to fund a wide variety of C&YP services.  WG has provided additional Covid funds to increase services, proposal have been agreed to develop additional mentoring service for children, a project to support children who have experienced domestic abuse and a family support project and delivery of a course focussed on families with late diagnoses of ASD. Other Families First projects have had staffing increases.  All projects continue to report regularly and delivering what is expected although Covid19 continues to hinder direct 1-1 work.  Projects continue to respond positively continuing to use innovative methods to keep in contact with service users . Monitoring has been ongoing and RBA report cards are due early October 2021 and will reflect how well these continue to be managed in the current crises.  The Summer of Fun activities proved highly successful, and funds are being secured to continue some provision for half term for vulnerable children- this is not whole CCG but related as it directly links to 2 of the existing CCG grants streams. | | | | | | | | | | | | |
| CV/ALN004 | Support residents whose physical or mental health has been negatively impacted by coronavirus. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | DD | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The social emotional and mental health action plan continues to provide ongoing support to schools. Additional funding is being utilised to implement the Whole School Approach to mental health and well-being which is a major focus for the Directorate this academic year. Pilot schools have been identified to work with the regional implementation lead and all schools and governing bodies have been appraised of the guidance and will be supported to implement the guidance using a cluster based approach. | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk 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/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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MH  T Baker | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | <ul><li>Ongoing discussions held between Improvement Partners and school leaders to ensure the identification of appropriate priorities in SDP to address impact of Covid.  A strong focus on addressing literacy concerns (oracy, particularly in the foundation phase, reading and writing), promoting pupils' social skills and enhancing wellbeing provision.  In Welsh medium schools, an ongoing focus remains on supporting pupils who come from homes where Welsh is not spoken.</li><li>Improvement Partners continue to work with schools in reviewing the effective use and impact of the Accelerated Learning Programme grant and the Pupil Development Grant (PDG).  Report outlining use and impact of PDG for 2020-21 shared with Learning and Culture scrutiny in September 2021, as well as presentations from two schools.  Impact captured include good engagement by eFSM pupils during lockdown, improved IT skills, good attendance and re-engagement of eFSM back in school has been good in over half of schools, and a more effective liaison and partnership in place with parents /carers.</li><li>A comprehensive professional learning offer is in place for schools with a strong focus on oracy and reading in LLC provision.   Discussions are ongoing between Improvement Partners and schools regarding the identification of appropriate key professional learning programmes.</li><li>Two secondary schools (Pencoedtre and Whitmore) have been identified for the Raising the Attainment of Disadvantaged Youngsters (RADY) pilot project; initial work has just begun.</li></ul> | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | • There has been a delay in shipping the devices ordered this year under the Hwb funding, due to issues with the supply chain. The suppliers have informed us that the devices will be shipped by the end of 2021. | | | | | | | | | | | | |
| CV/SL003 | Continue to manage PPE provision, support and deployment for schools and Education staff. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | T Baker | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | No supply issues reported within Learning & Skills, function is managed centrally via the corporate PPE team. | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Baker | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | During Qtr2:<br><br>• 941 Windows devices have been enrolled into Microsoft InTune MDM for remote management.<br>• 234 Apple IOS devices have been enrolled into Microsoft InTune MDM for remote management.<br>• 1,394 new devices have been ordered under the Hwb funding for 2021/22, Apple devices have been shipped, we are currently awaiting delivery of the Windows and Google devices. | | | | | | | | | | | | |
| CV/SL005 (SL/A004) | Support schools with COVID-19 financial impact analysis and claims against the COVID Hardship Fund. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Baker | 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 | | | |
| **ACTION UPDATE:** | Schools continue to be supported to claim from the covid hardship fund and recent guidance from WG has been circulated to all schools. A full financial impact has not yet taken place; this was initially planned for quarter 2 but due to WG extending the covid grant until the end of the financial year, the full spend will be available at the end of quarter 4. | | | | | | | | | | | | |
| 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 | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Baker | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Schools have been advised of their actual accelerated learning grant allocations for the financial year which have been built into the school budgets. The expenditure is monitored by the school finance support officers. | | | | | | | | | | | | |
| CV/SL007 (SL/A014) | Work in partnership with Communities4Work to promote the Employability Hub. *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.* | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | T Baker | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Arranging construction employment events with C4W. Work experience and site tours have restarted. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk 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/RP002 (RP/A016)<br><br><br>CV/NS002 (NS/A014) | 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.<br><br>Support our town centres to recover and adapt following the effects of COVID-19, by improving green spaces, public areas and transport infrastructure. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MG | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | We will continue to focus on implementing 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. Further funding is being made available for revenue and capital projects in our town centres for the remainder of this financial year.  Projects are likely to include CCTV for Barry and further events in all Town Centres. | | | | | | | | | | | | |
| CV/RP003 (RP/A018) | Identify grant support for businesses and investment in regeneration project and deliver Welsh Government COVID-19 Grant Schemes as required. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | 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 | | | |
| **ACTION UPDATE:** | Implementation of Transforming Towns, Legacy Projects (20/21 committed spend) has continued during Q2. A Cabinet report presented to meeting on 25th October 2021, which covers the governance and budget management arrangements for Transforming Towns, Placemaking Grant 21/22 and Transforming Towns, Business Fund 21/22. | | | | | | | | | | | | |
| CV/FIT001 (FS/A005) | Monitor and tackle the financial impact that coronavirus will continue to have on the Council's finances. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | CL | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Claims for additional expenditure have been submitted to WG for April to August. Q2 claim submitted during October | | | | | | | | | | | | |
| CV/FIT002 (FS/A013) | 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. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | CL | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | 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 | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MI | 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 | | | |
| | fortnightly so that any issues are identified early, and the appropriate preventative action is taken. | | | | | | | | | | | | |
| **ACTION UPDATE:** | Meetings continue to take place monthly and review Covid 19 impacts, focussing in particular on homelessness and temporary accommodation and ensuring that preventative steps are taken to ensure that people in temporary accommodation are safe and have access to health and support services. | | | | | | | | | | | | |
| 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 Welsh Government Duty placed on Local Authorities. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Rooms at the three bed and breakfast hotels have been block booked till the end of March 2022 following a funding commitment received from Welsh Government. The Homeless Task and Finish Group are reviewing options for moving households on from the hotels and are due to finalise a report and recommendations to H&SC Scrutiny Committee, early in the new year. | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk 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/HS004 (HS/A024) | Work with partners to sustain the reduction in homelessness achieved during the crisis and implement a Housing Support Programme Strategy. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | MI | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Cell meetings continue to ensure key services are delivered to homeless households. The Task and Finish Group are developing options for increasing 'move on' of homeless households into more permanent accommodation. | | | | | | | | | | | | |
| CV/LS002 | Continue to review the impact of COVID on the Legal and Democratic Services and contribute to the Council's recovery objectives | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | DM | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | We continue to review the impact of COVID in line with Council policy. | | | | | | | | | | | | |
| CV/NS003 | Work with partners to mitigate the impact of COVID-19 by working with Legacy Leisure, Community Associations, Schools, Heath Authority etc. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Positive results of the work undertaken to protect services during lockdowns is now being seen with services starting to recover.  A clear indication of this has been the significant reduction in financial support now required by Legacy Leisure. Schools are being supported to reintroduce new physical | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| | activities through AYP funding stream whilst sports clubs supported via the Be Active Wales funding stream (clubs being supported to access this funding). | | | | | | | | | | | | |
| 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. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ER | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | The service continues to deliver the local environmental agenda in partnership with Keep Wales Tidy and also on a 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. | | | | | | | | | | | | |

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | Market fragility describes the weaknesses/vulnerabilities in the social care sector to provide social care services. Most of these vulnerabilities relate to operational capacity linked to financial and/or workforce related challenges. |
| | The overarching risk associated with market fragility is one of financial collapse. If an external care provider was to become insolvent this has potential implications for stability and continuity of care of our most vulnerable citizens. In turn, this places additional pressure on local authorities, as in line with Part 11 of the Social Services and Wellbeing (Wales) Act 2014, local authorities have a temporary duty to meet the needs of adults requiring care and support and the relevant support needs of carers. Therefore, in the event of a provider failure, local authorities have a temporary duty (as long as they see necessary) to ensure continuity of care and support of individuals. |
| | A key risk factor driving the fragility of the social care market is in relation to workforce capacity. External providers are facing the same national workforce pressures that are being experienced across the rest of our Social Services departments. Within the external provider market, before Brexit and the pandemic, there were challenges in recruitment and retention with longstanding issues in relation to high turnover of staff and unfilled vacancies. These workforce issues have been linked to low pay and limitations in career progression. Approximately 56% of the social care workforce in Wales earn below the real living wage (£9.50 an hour)[1] . Consequently, there is a high level of turnover of care workers to other sectors.  Due to poor rates of pay and career prospects, the external social care market is often in direct competition with retail/hospitality sector where there are more attractive rates of pay and benefits. In addition, there is also pressure from the NHS where rates of pay and terms and conditions are significantly better. |
| | Although the planned rise in National Minimum Wage to £9.50 from April 2022[2], will be largely welcomed amongst social care workers, it is likely to further add to the cost pressures of external social care providers in the context of diminishing funding and higher running costs. The Welsh Government have also signaled its commitment to paying social care staff a 'real living wage', which would be an added cost pressure to care providers who may already be financially struggling. |
| | A fundamental factor in market fragility is the financial viability of externally commissioned care providers. In ADSS Cymru's response to the Welsh Parliament's Inquiry into the impact of Covid-19 on the management of health and social care, they highlighted that there is 'acute awareness' of the |

[1] Cominetti N, Gardiner L, Kelly G, What happens after the clapping finishes? The pay, terms and conditions we choose for our care workers, Resolution Foundation,  April 2020
[2] UK Government Press Release, Large minimum wage increase to boost low-paid workers' incomes, 27th October 2021

| | anxieties that some care providers face regarding their survival in the short term[3]. |
|---|---|
| | In the context of rising demand for services, local authorities' budgets are increasingly being stretched and are subsequently constrained by what fees can be paid to externally commissioned care providers. This in turn can potentially challenge a care provider's financial sustainability. Consequently, residential care homes are more likely to become reliant on cross-subsidisation in order to remain viable[4].The Competition and Markets Authority reported that 24% of care home residents are self-funded and pay on average 36% more than their local authority counterparts for similar service provision[5]. |
| | Some externally commissioned care providers were already in a financially precarious situation prior to the pandemic which has been further compounded by the financial cost of Covid. In response to the Welsh Parliament Inquiry into the impact of Covid-19, ADSS Cymru highlighted additional cost pressures associated with sourcing PPE, insurance liabilities and the pressure associated with carrying empty beds (voids)[6]. These voids have been in part driven by the pandemic, as a result of more deaths and the reluctance of families to fill beds with new residents. Residential care homes need to maintain high levels of occupancy to remain financially viable. Therefore, there is a real risk that some care homes could financially collapse. Any failure could result in local authorities intervening to safeguard and ensure continuity of care for its citizens. However, ADSS Cymru acknowledge that this is at a time when local authorities have limited capacity, and they indicate this could have a knock-on impact on other aspects of care such as hospital discharge processes and greater pressure on domiciliary care[7]. |

| 1.2 Risk Owner | Lance Carver |
|---|---|

**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 |
|---|---|---|---|---|---|---|
| | | | | | | |

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[3] Welsh Parliament: Health and Social Care & Sport Committee, Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers, March 2021

[4] Short to Medium Term Operational and Cost Pressures Affecting Social Care in Wales, Final Report to Welsh Government, March 2020

[5] Short to Medium Term Operational and Cost Pressures Affecting Social Care in Wales, Final Report to Welsh Government, March 2020

[6] Welsh Parliament: Health and Social Care & Sport Committee, Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers, March 2021

[7] Welsh Parliament: Health and Social Care & Sport Committee, Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers, March 2021

| Yes | Yes | Yes | Yes | Yes | Yes | Yes |
|-----|-----|-----|-----|-----|-----|-----|

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| *Political & Legislative* | Yes | Political and legislative repercussions of failing to discharge our statutory functions and comply with statutory requirements under Part 11 and Sections 189 and 191 of the Social Services and Wellbeing (Wales) Act 2014 to enact its temporary duty to meet care and support needs in the event of a provider failure<br><br>Risk that external providers are unable to meet their responsibilities for responding effectively to situations where people are at risk of neglect or abuse.<br><br>Risk of judicial review as a result of the local authority not meeting its statutory requirement to ensure continuity of care and support in the event of a provider failure. |
| *Resources* | Yes | Insufficient operational staff capacity of externally commissioned care providers to operate high quality care and support sustainably and safely in communities and in care homes.<br><br>Financial viability of some of our externally commissioned care homes/care providers. Risk of financial collapse.<br><br>Lack of capacity within the external care market 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 jeopardise the viability and resilience of service delivery to meet future demand.<br><br>Financial and resource impact of care provider failure on our capacity to ensure continuity of care and support for individuals. |
| *Service Delivery and Wellbeing* | Yes | Lack of capacity and resilience within local markets to fulfil requirements within domiciliary care and the capacity within the council to monitor the quality of our externally commissioned service providers further compounds issue around volatility of the external market. This has a potential knock-on effect on the ability to discharge people safely from hospital with assessed levels of care and support in place.<br><br>Inability of external care providers to operate safe carer to citizen/resident ratios in care settings due to staff shortages/absences and or recruitment difficulties.<br><br>Lack of capacity for the local authority to step in following provider failure to provide continuity of care and support for our citizens. This could result in a failure in our duty to ensure the safety and well- |

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | being of our most vulnerable citizens and an inability to meet their basic needs.

Increase in voids 'empty beds' in residential care homes and/or reduction in self-funders impacts on the viability of externally commissioned care homes to continue to operate and provide residential care services. Impact of a provider failure on social services' capacity to provide alternative residential accommodation. |
| *Reputation* | Yes | Provider failure jeopardises the safety of citizens, residents and the negative reputational impact on the sector. Provider failure could result in serious harm to citizens, if there is no local authority capacity to ensure continuity of care and support.

Failure to ensure continuity of care and support and meeting the needs of vulnerable people would damage the reputation of the council and attract negative criticism from our regulators.

Loss of public confidence and trust in Social Services ability to meet the care and support needs of citizens and maintain their health and well-being. |

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| *Political & Legislative* | Reshaping Board meets monthly to discuss issues associated with market fragility and externally commissioned service provider matters.<br><br>Regular meetings between Director, Heads of Service and Cabinet Member to discuss emerging issues relating to fragility of the market. | 1 | 1 | 1 |
| *Resources* | Capacity planning workstream has been established with agree Terms of Reference and an action plan to address areas for improvement.<br><br>Development of a staff training project to recruit, fast track and train care staff to get them work ready for the market -work on principle of not competing for staff from neighbouring authorities or agencies or NHS, in order not to destabilise the market further. | 1 | 1 | 1 |
| *Service Delivery & Well-being* | Continue to expand roll out of Your Choice scheme. Next provider has been identified.<br><br>Regular Care Provider Forum meetings to identify and discuss provider issues.<br><br>Escalating concerns policy in place which is used to recognise where providers are struggling and used to put in place supportive action plans. | 1 | 1 | 1 |
| *Reputation* | CIW Action Tracker in place to enable us to track and manage any areas of improvement to CIW relating to fragility of market.<br><br>Joint regional action plan prepared and reviewed at Joint Management Executive in order to ensure strategic oversight of all system pressures. | 1 | 1 | 1 |
| **Overall Effectiveness of Controls Score** | | **1** | **1** | **1** |

| 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 | 1 | 1 | 3 | 3 | 9 | **N/A** | ↔ |
| Resources | 4 | 3 | 12 | 1 | 1 | 1 | 4 | 3 | 12 | **N/A** | ↔ |
| Service Delivery & Well-being | 4 | 3 | 12 | 1 | 1 | 1 | 4 | 3 | 12 | **N/A** | ↔ |
| Reputation | 3 | 3 | 9 | 1 | 1 | 1 | 3 | 3 | 9 | **N/A** | ↔ |
| **Average risk score/ direction of travel** | 4 | 3 | **12** | 1 | 1 | **1** | 4 | 3 | **12** | **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 | | | |
| MFR/RMS001 (ADM12) | Consider how to promote better use of Direct Payments to encourage use of non-agency carers. Review current arrangements and identify any areas that can be streamlined. Develop a database to monitor and track progress. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | Review of current Direct Payment arrangements has commenced to identify any blockages and a database is under development. | | | | | | | | | | | | |
| MFR/RMS002 (ADM13) | Agency recruitment/hours: Encourage providers to offer part-time staff extra hours on either a permanent or temporary basis until successful recruitment. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **AMBER (Minor slippage)** |
| **ACTION UPDATE:** | Conversations to be held between brokerage and providers to discuss potential extra hours for part-time workers, also to be discussed in provider meetings. | | | | | | | | | | | | |
| MFR/SS001 (ADM14) | Weekly discussion with Cabinet Member and Director of Social Services regarding pressures affecting service delivery to meet assessed needs of our citizens to escalate issues. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | LC/SC/RE/AP | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | Established and embedded weekly meetings with the Cabinet Member, Director of Social Services and Heads of Service to give opportunity and updates and to seek support, escalate issues and maintain an ongoing dialogue with a proactive management of issues. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Risk Action Ref.** | **Action** | **Risk Categories** | | | | **Demonstration of 5 Ways of Working** | | | | | **Officer** | **Completion Date** | **Status** |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| MFR/SS002 (ADM5) | Hold call to action meetings twice weekly with SITREP actions taken circulated twice per week outlining any movement in the market. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | SC/AP | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | Call to action meetings are taking place on a weekly basis, with a second if required and actions circulated to all attendees. | | | | | | | | | | | | |
| MFR/RMS003 (ADM9) | Actively engage with provider to discuss capacity and potential solutions- includes listing all packages available to be circulated to market, contingency arrangements for care packages | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | Brokerage have contacted providers daily with all available POC and will where possible group POC together in runs. Providers have reviewed their current care packages to determine if any hours can be clawed back. This interim arrangement is reviewed weekly at CTA meeting which are well established. | | | | | | | | | | | | |
| MFR/SS003 (BP3) | Align fee uplifts in C&YPS with those in Adults/RMS. Utilise financial and service pressure information from C&YPS to allow RMS to consider future fee uplifts. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | LC/RE/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 | | | |
| **ACTION UPDATE:** | Agreement that the process needs to shift to RMS and the Budget Programme Board. Increased details of commitments for considered at Budget Programme Board are required and this year's fee increases in CYPS completed retrospectively. | | | | | | | | | | | | |
| MFR/SS004 (BP1) | Monitor Welsh Government changes to grant funding and ensure prioritisation of services. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | LC | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | Indications from Welsh Government that some funding elements will continue although uncertainty remains. Prioritisation documents have been completed. | | | | | | | | | | | | |
| MFR/SS005 (YC1) | Relaunch and continue expansion of the 'Your Choice' programme. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP/SC | March 2022 | **GREEN (On track)** |
| **ACTION UPDATE:** | Identified next provider in respect of 'Your Choice' scheme. Awaiting guidance that will be rolled out to teams once approved. | | | | | | | | | | | | |
| MFR/RMS004 (YC3) | Agree blended rate calculations with providers with packages of care commissioned at greed rates. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **RED (Slipped)** |
| **ACTION UPDATE:** | No further progress to report this quarter | | | | | | | | | | | | |

| 1 – Risk Overview | |
|---|---|
| **1.1 Risk Description** | It is widely acknowledged that the social care system is under significant strain due to rising demand for our services and tackling challenges associated with our capacity. Progress on reforming social care has repeatedly stalled over the years. The pandemic has only served to further exacerbate the issues around demand and capacity to deliver social care services.

There is increasing pressure on local authorities to manage demand for social care services and this has become even more challenging during the pandemic. There has been a significant growth in demand our services and with that increasing cost pressures.

There are increasing numbers of children and young people and their families and adults that are presenting with more complex needs. In common with the position across Wales, there are increasing numbers of Children Looked After in the Vale with complex needs. Where a child has been assessed as needing to be looked after, the Council is responsible for placing that child in a placement appropriate to their needs. This is challenging in the current environment where placement demand is exceeding availability, and placements in the independent sector are costly.

Similarly, there is an increasing ageing population in the Vale of Glamorgan. Our citizens living longer, an increasing number will continue to present with more complex needs that in turn will place further pressure on our budgets and our ability to meet their care and support needs. The Health Foundation forecast that future demand pressures for social care will continue to increase and it is estimated that social care cost pressures will increase in Wales by 4.1% per year between 2015 and 2030-31 due to demographic trends, chronic conditions and rising costs of care and it is anticipated that these costs will reach £2.3billion in 2030-2031[1]. The increased demand for social care services has also been driven by the pandemic, as those recovering from Covid often have many weeks/months of recouperation ahead and may require some form of reablement package or residential care following discharge from hospital. In response to the Welsh Parliament Inquiry into the impact of Covid-19 on the management of health and social care, ADSS Cymru highlighted there is increased service demand and pressures being felt across domiciliary care in relation to individual's requiring rehabilitation post-Covid and they also noted that long Covid has the potential to put pressure on services in the longer term especially amongst those who prior to Covid would not have required social care[2]. In addition, the pandemic has also resulted in a delayed presentation of care, which in turn has meant opportunities to signpost to preventative services as at an earlier stage have been prohibited. Consequently, when citizens do |

[1] Watt T, Roberts A, The path to sustainability: Funding projections for the NHS in Wales to 2019/20 and 2010/31, The Health Foundation, October 2016
[2] Welsh Parliament: Health and Social Care & Sport Committee, Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers, March 2021

present in need of social care services, they often require greater levels of intervention/support as they have become frailer, and their care needs more complex. At this point, our interventions have a limited impact on their reablement and ability to regain independence. The reluctance of individuals to not seek appropriate health care treatment from health care professionals at the most critical time, has resulted in the presentation of more complex needs in our communities. The pandemic has created feelings of isolation and has negatively impacted on the mental health and wellbeing of individuals and informal. A consequence of this has been where informal carer arrangements breakdown, which places additional demand on our service to provide urgent care.

A key risk factor driving service capacity is the workforce pressures we face. A key indicator of a local authority's capacity to deliver social care can be seen in post vacancy rates. In keeping with the national picture, the Vale of Glamorgan's Social Services is experiencing higher staff turnover/shortages and difficulties within recruiting and retaining social workers (particularly Children and Young People Services) and residential and domiciliary care staff supporting Adults.

Challenges in recruitment and retention of social workers in Children and Young People Services remains an ongoing challenge, which is acutely felt within social work teams at the 'front door'. Even when there are opportunities to attract social workers, the lag time between interview, offer and start date impacts on teams. In the context of Children and Young People Service, there are known workforce pressures within the Integrated Family Support Team and the Care Planning and Proceedings Team. The workforce capacity pressures within CPP Team impact on the IFST, as the IFST will pick up on CPP cases but are unable to transfer to other teams that CPP would have normally dealt with.

Within Adult Services, the capacity of the residential and domiciliary care has been impacted by staff shortages/absences due to high Covid infection rates or impact of the pandemic on the mental health of staff. There are also significant recruitment and retention difficulties being experienced across Adult Services including commissioned care. Care Home and domiciliary care workers work in challenging and demanding roles, often on low pay and these positions are often perceived as having limited opportunities for career progression. There is also significant competition from the NHS where pay and conditions for similar skill sets are significantly better. There have been calls for greater parity in pay between the NHS and local authorities as this has been viewed as a driver behind recruitment and retention difficulties in local authority care roles. The Welsh Parliament's recent inquiry into the impact of Covid-19 on the management of health and social care highlighted the need to 'assure parity of esteem, treatment or conditions between the two sectors' and recommended the need for properly renumerated career pathways for social care workers to ensure that it is an attractive career option[3].

The key risk aspects of this risk can be defined as insufficient social care capacity to meet the significant growth in demand for social care services.

[3] Welsh Parliament: Health and Social Care & Sport Committee, Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers, March 2021

| | This is not just in the context of the volume of demand, but also the severity and complexity of need. |
|---|---|

| **1.2 Risk Owner** | **Lance Carver** |
|---|---|

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

| **1.4 Risk Categories** | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| *Political & Legislative* | Yes | Political and legislative repercussions of failing to discharge our statutory functions and comply with statutory requirements of service delivery. <br><br> Risk that 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. <br><br> Risk of judicial review as a result of insufficient capacity In our care settings to deliver services that effectively meet the identified care and support needs of service users. |
| *Resources* | Yes | Insufficient funding available that can be used to meet unprecedented demand in our most critical social care services. <br><br> Insufficient operational staff capacity to manage demand and operate services sustainably and safely . For example, within IFST and CPP, our residential care settings and our domiciliary care staff. <br><br> Impact of increased demand for adult and children's services coupled with complexity of need impacts on our ability to cost-effectively meet the needs of individuals. <br><br> Ability to fully operate preventive/early intervention is undermined by the impact of the pandemic and the strain on how we target our resources and build resilience in services. |

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | Uncertainty regarding the ongoing funding support from Welsh Government regarding recovery from the pandemic and social care reform. This impacts on the medium to longer term planning and sustainability of social care services in the future. |
| | | Inability to transform our services to mobilise our assets, technology and workforce, to deliver and operate services in new ways that are sustainable and resilient to future demand. |
| | | Workforce shortages of specialist key staff impacting on our ability to deliver statutory service functions where redeployment from other areas is not possible |
| | | 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 jeopardise the viability and resilience of service delivery to meet future demand. |
| | | Lack of available and affordable placements for children looked after with complex needs places a significant financial strain on budgets. |
| | | Risk that case managers are in situations where they are unable to obtain appropriate levels of care and support for their service users, resulting in the need for them to manage significantly higher levels of risk within their caseloads. |
| *Service Delivery and Wellbeing* | Yes | Capacity to meet the growing demand for children and families in need of crisis support. A lack of capacity 'at the front door' impedes our ability to undertake timely assessments of need and risk, support families and children through lower tier early intervention/prevention and signpost to other support services. |
| | | Inability to operate safe carer to citizen/resident ratios in our care settings due to staff shortages/absences and or recruitment difficulties. |
| | | Late presentation of care needs impacting on our ability deliver lower cost prevention and early intervention to citizens and families in need. |
| | | Impact of the pandemic on the voluntary sector's capacity and ability to continues to support vulnerable citizens in our communities. This has the potential to impact on demand for care with the presentation of more complex care needs in the future if there is a lack of early/preventative Third Sector support in communities. |

| 1.4 Risk Categories | | |
|---|---|---|
| **Categories** | **Yes/No** | **Definition** |
| | | Capacity to manage and respond to increased demand for care and support as a result of the pandemic. Increased pressures on domiciliary care services due to the emergence of an additional cohort of adults requiring reablement care following discharge from hospital as part of their recovery from Covid or as a result of long Covid. |
| | | Risk that unsafe/poorly planned discharges from hospital impacts on patient outcomes but also demand for social care services. This could result in discharge without the identification of home support they need and a lack of co-ordination result in delayed access to care packages. This in turn puts pressure unpaid carers (usually family member) to meet their care and support needs. |
| | | Failure in our duty to ensure the safety and well-being of our most vulnerable citizens and an inability to meet their basic needs. |
| | | Risk that 'burn out' of unpaid carers impacts on their ability to continue to fulfil their caring role, places additional pressure and demand on social care services. |
| | | Increased pressure and lack of capacity of reablement services in the community to support the step down from critical care in hospitals which will ultimately impact on an individual's ability to recover and regain their independence. |
| *Reputation* | Yes | Failure to provide critical services and meet the needs of vulnerable people would damage the reputation of the council and attract negative criticism from our regulators. |
| | | Loss of public confidence and trust in Social Services ability to meet the care and support needs of citizens and maintain their health and well-being. |

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

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| *Political & Legislative* | Reshaping Board meets monthly to discuss issues associated with demand management, workforce.<br><br>Regular meetings between Director, Heads of Service and Cabinet Member to discuss emerging issues relating to demand management and capacity. | 1 | 1 | 1 |
| *Resources* | To address some recruitment pressures. Some Registered Support Workers have agreed to increase hours temporarily.<br><br>VCRS reablement technicians to provide some care and support calls on a temporary basis.<br><br>Day Service staff approached to provide additional support to VCRS.<br><br>Capacity planning workstream has been established with agreed Terms of Reference and an action plan to address areas for improvement. | 1 | 1 | 1 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | Necessary use of agency staff to meet statutory responsibilities.<br><br>Development of the staff training training project to recruit, fast track and train care staff to get them work ready for the market -work on principle of not competing for staff from neighbouring authorities or agencies or NHS, in order not to destabilise the market further.<br><br>Consideration of incentivising care posts on completion of training and successful employment | | | |
| *Service Delivery & Well-being* | Case management teams have reviewed all cases in receipt of a current package of care, with a view to temporarily moving them to 'contingency' plans through asking family members to provide some additional support, reducing calls for sitting services, shopping etc in order to try to redistribute care hours to those awaiting any POC.<br><br>To manage capacity and service delivery within VCRS, staff have reviewed caseloads, apply screening criteria. Individuals that don't meet the criteria are signposted to alternative support.<br><br>Opening the Bay Unit as an isolation/bridging unit as interim measure agreed in principle with reopening planned mid-October. This supports discharge from hospital for those with low level support needs awaiting domiciliary care packages in the community to support their discharge. Provides support to domiciliary care and provides additional capacity and reduces length of hospital stay.<br><br>Prioritised time sensitive calls due to specific needs e.g. medication. Occupational Therapists closely monitor opportunities for reductions. | 1 | 1 | 1 |

| 2.2 Controlling Inherent Risk | | | | |
|---|---|---|---|---|
| **Category** | **Current Controls** | **Effectiveness of controls** | | |
| | | **Likelihood Score** | **Impact score** | **Total Score** |
| | Effective triaging within VCRS and signposting to other services where possible to manage demand for services.<br><br>Continued to expand roll out of Your Choice scheme. Next provider has been identified. | | | |
| *Reputation* | Social Services Reshaping Services Board Action Tracker in place to enable us to track and manage any areas of improvement to CIW relating to demand management and capacity issues.<br><br>Joint regional action plan prepared and reviewed at Joint Management Executive in order to ensure strategic oversight of all system pressures. | 1 | 1 | 1 |
| **Overall Effectiveness of Controls Score** | | **1** | **1** | **1** |

| 2.3 Residual Risk Scoring & Direction of Travel | | | | | | | | | | | Direction of Travel | Forecast Direction of Travel |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Inherent Risk Scores | | | Effectiveness of controls Score | | | Residual Risk Score | | | | | |
| Category | Likelihood | Impact | Total | Likelihood | Impact | Total | Likelihood | Impact | Total | | | |
| Political & Legislative | 3 | 3 | 9 | 1 | 1 | 1 | 3 | 3 | 9 | | N/A | ↔ |
| Resources | 4 | 3 | 12 | 1 | 1 | 1 | 4 | 3 | 12 | | N/A | ↔ |
| Service Delivery & Well-being | 4 | 3 | 12 | 1 | 1 | 1 | 4 | 3 | 12 | | N/A | ↔ |
| Reputation | 3 | 3 | 9 | 1 | 1 | 1 | 3 | 3 | 9 | | N/A | ↔ |
| **Average risk score/ direction of travel** | 4 | 3 | **12** | 1 | 1 | **1** | 4 | 3 | **12** | | 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 | | | |
| ADM12 | Consider how to promote better use of Direct Payments to encourage use of non-agency carers. Review current arrangements and identify any areas that can be streamlined. Develop a database to monitor and track progress. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Review of current Direct Payments has commenced to identify any blockages and database is under development. | | | | | | | | | | | | |
| ADM13 | Agency recruitment/hours: Encourage providers to offer part-time staff extra hours on either a permanent or temporary basis until successful recruitment. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | AP | March 2022 | **AMBER (Minor slippage)** |
| **ACTION UPDATE:** | Conversations to be held between brokerage and providers to discuss potential extra hours for part-time workers and to be discussed in provider meetings. | | | | | | | | | | | | |
| ADM18 | Recruitment of Registered Support Workers via campaign. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Recruitment drive for independent providers planned for mid-October. VCRS recruitment- agreed to continue to recruit to vacant hours for Registered Support Workers. Interviews for five potential new Registered Social Care Workers undertaken during Q2. | | | | | | | | | | | | |

| 3. Risk Management Plan – Mitigating Actions | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| ADM1 | Review process and roles and responsibilities within I&A to explore opportunities for improvement and capacity issues. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Completed review and restructure put in place to focus on allocation and waiting list. Monitoring progress and resource allocation. Vacancies have been filled to support this work with four agency Social Workers in the team. | | | | | | | | | | | | |
| ADM11 | Social workers to engage with clients to support them to manage care. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Providers can offer times outside those requested and there are ongoing conversations with service users and families to accept available times with a view to review at a future date. Liaised closely with service users and their families to outline the risks associated with a lack of care and have offered residential placement on a temporary basis where necessary. | | | | | | | | | | | | |
| ADM14 | Weekly discussion with Cabinet Member and Director of Social Services regarding pressures affecting service delivery to meet assessed needs of our citizens to escalate issues. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | LC/SC/RE /AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Established and embedded weekly meetings with the Cabinet Member, Director of Social Services and Heads of Service to give opportunity and updates and to seek support, escalate issues and maintain an ongoing dialogue with a proactive management of issues. | | | | | | | | | | | | |
| ADM2 | Review of response times to inform demand analysis. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | 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 | | | |
| **ACTION UPDATE:** | Analysing demands and trends in order to establish required levels of resources to meet forecast demand at the front door. Worked with partners within the Council and the Health Board to develop the well-established Single Point of Access (SPoA) into a broader Wellbeing Matters Service to ensure we use our integrated resources to meet the need at the right time with the right team/professional. Established and embedded weekly meetings with the Cabinet Member, Director of Social Services and Heads of Service to give opportunity and updates and to seek support, escalate issues and maintain an ongoing dialogue with a proactive management of issues. | | | | | | | | | | | | |
| ADM4 | Review process within OT Service to explore opportunities for improvement and capacity | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | During Q2, early discussions have taken place with the Operational Managers within Adult Services to progress this work forward. | | | | | | | | | | | | |
| ADM7 | Risk assessments of all requests and prioritisation/reprioritisation according to need, VCRS 'bridging' packages and hospital discharge. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Spreadsheet has been developed that is being actively managed and reviewed at Call to Action meetings with wide stakeholder involvement. Exception reporting in place and identification of enablers and barriers support solution focused discussion. | | | | | | | | | | | | |
| ADM8 | Monitoring of all packages awaiting domiciliary care agency availability to actively manage the position and ensure flow to protect prevention of hospital | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | AP/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 | | | |
| | admission/hospital discharge and VCRS capacity. | | | | | | | | | | | | |
| **ACTION UPDATE:** | Brokerage continues to give VCRS 'bridging packages' and hospital discharge cases the highest priority but are struggling with capacity particularly for those cases who have already been with a number of providers previously. | | | | | | | | | | | | |
| BP1 | Monitor Welsh Government changes to grant funding and ensure prioritisation of services. | ☑ | ☑ | ☑ | ☑ | ☑ | | | ☑ | ☑ | LC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Indications from Welsh Government that some funding elements will continue although uncertainty remains. Prioritisation documents have been completed. | | | | | | | | | | | | |
| WFP11 | Review current Workforce Plan for all service areas. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | LC/RE/SC /AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Information about posts have been advertised and labour stability to be available on easily accessible dashboard. Explore the possibility of PowerBi to produce an informative dashboard on a regular basis. Monthly information to be provided to senior managers to start development of the dashboard. Enhanced information on establishments will be available with the release of Oracle. | | | | | | | | | | | | |
| WFP12 | Understand levels of demand into the CYPS, RMS and Adult Services and any associated gaps. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | LC/RE/AP /SC | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Information on caseloads per case worker to be available on an easily accessible dashboard. Weekly caseload reports currently provided. | | | | | | | | | | | | |

## 3. Risk Management Plan – Mitigating Actions

| Risk Action Ref. | Action | Risk Categories | | | | Demonstration of 5 Ways of Working | | | | | Officer | Completion Date | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Political & Legl | Resources | Service & Well-being | Reputation | Integration | Collaboration | Involvement | Prevention | Long-Term | | | |
| R1 | Review recruitment practices and consider further opportunities to enhance recruitment and retention. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | LC/RE/SC /AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Information about posts recruited to be easily accessible on a dashboard. Ongoing monitoring currently taking place. | | | | | | | | | | | | |
| R5 | Consider opportunities for overseas recruitment. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | LC/RE/SC /AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | A recruitment agency was invited to a meeting during the quarter , where they presented to the Council what support they could provide as well as identified factors the Council would need to consider. Decision regarding progressing this has been put on hold pending consideration of other options. | | | | | | | | | | | | |
| R2 | Undertake a recruitment mapping process to understand trends and analyse areas of the market not yet explored. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | LC/RE/SC /AP | March 2022 | **GREEN (On Track)** |
| **ACTION UPDATE:** | Information about posts recruited will be accessible via a dashboard with ongoing monitoring taking place. | | | | | | | | | | | | |
| R4 | Consider wider employee wellbeing offering. | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | ☑ | LC/RE/SC /AP | March 2022 | **N/A** |
| **ACTION UPDATE:** | No progress update to be reported this quarter. | | | | | | | | | | | | |