Meeting of:	**Audit Committee**
Date of Meeting:	**Thursday, 24 September 2020**
Relevant Scrutiny Committee:	Corporate Performance and Resources
Report Title:	Corporate Risk Register Quarter 1 Update
Purpose of Report:	To update Audit Committee on the quarter 1 position of Corporate Risks for April 2020 - June 2020 contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report
Report Owner:	Rob Thomas, Managing Director
Responsible Officer:	Rob Thomas, Managing Director
Elected Member and Officer Consultation:	Consultation has been undertaken with designated Corporate Risk Owners, and the Strategic Leadership Team.
Policy Framework:	The proposals are within the Council's Policy Framework.

Executive Summary:

- This report provides members with an overview of the Corporate Risk Register for Quarter 1 (April 2020-December 2020). A risk analysis is incorporated within the Corporate Risk Summary Report (Annex A). This enables officers and Members to identify and assess trends and the cross-cutting nature of risk with the ability to drill down to the detail of risks as and when required.

   The report recommends that Audit Committee:

- Note the quarter 1 position of corporate risks for the period April 2020- June 2020 and the emerging issues contained within the report.

- Review and recommend endorsement of the inclusion of the COVID-19 (Coronavirus) risk on the Register via Cabinet; and

- Refer the Risk Register to Cabinet for their consideration and endorsement.

Recommendations

1. Note the Quarter 1 position of corporate risks for the period April 2020-December 2020 as outlined in Annex A (including the inclusion of the new risk related to Coronavirus);

2. Refer this report to Cabinet for their consideration and endorsement.

Reasons for Recommendations

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

2. To ensure Cabinet receives a quarter 1 position on the Corporate Risk Register and endorses the recommendations contained within this report.

1. Background

1.1   The risk reporting format incorporates a risk analysis in the form of a Corporate Risk Summary Report (Annex A) which provides a more concise way of flagging the headline issues and risk considerations. By separating this from the Corporate Risk Register itself, it enables officers and Members to be able to have a good overview of the status of risks across the Register as well as the emerging issues whilst giving them the ability to drill down to the detail if required.

2. Key Issues for Consideration

2.1   The Corporate Risk Summary Report is split into the following sections:

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

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

2.4   Members will note that a new risk relating to Coronavirus (COVID-19) is proposed for inclusion in the Corporate Risk Register and details regarding this are included in the Summary Report and Register.

2.5   **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.

2.6 **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.

2.7 **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 risk category enabling a better understanding of the inter-relationship between risk thematics. This also enables officers and members to view risk in a more cross-cutting/strategic light to identify if there is any need to address facets of risk through council-wide mitigating activity.

2.8 **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 will contain a series of actions to help mitigate the risk. By monitoring the status of these Risk Management Plans and in particular the RAG status of the mitigating actions we are able to identify areas where progress against actions are having a positive effect on the risk or in some cases is having little effect. Equally the Risk Management Plan enables officers and members to flag risks where progress against actions has been slow/which may warrant further investigation.

2.9 **Section 6 Risk Action Exceptions:** This section follows on from section 5 and provides reporting by exception (i.e. mitigating actions aligned to each corporate risk that have been assigned a red status for their progress). This enables officers and members to quickly identify and interrogate actions reporting a red status in relation to each risk. It lists each corporate risk and any corresponding actions that have a red RAG status and provides the corresponding commentary relating to that quarter.

2.10 **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.

2.11 There are 16 corporate risks on the Register one of which is a new risk for inclusion on the Register CR16: COVID-19. In addition to engaging officers in the development of the COVID-19 risk, we consulted with the Audit Wales to gain their input and opinion. Feedback from Audit Wales has been considered and incorporated into the risk. The COVID-19 pandemic has had a significant impact on all aspects of risk on the Register and in particular on our progress in relation to mitigating actions. In acknowledgement of this, all risks on the Register have been reviewed and risk descriptions have been redefined where applicable to reflect the influence the pandemic has had on various aspects of risk.

2.12 Attached at **Annex A** is the **Quarter 1 Risk Summary Report**.

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 Register Annex B.   **Corporate Risk Management Strategy**

VALE OF GLAMORGAN COUNCIL

CORPORATE RISK SUMMARY REPORT

QUARTER 1 APRIL 2020- JUNE 2020

CORPORATE RISK EXECUTIVE SUMMARY:

Overview:

There are 16 corporate risks on the Register one of which is a new risk for inclusion on the Register CR16: COVID-19 **(see Section 1).** In addition to engaging officers in the development of the COVID-19 risk, we consulted with Audit Wales to gain their input and opinion. Feedback from Audit Wales has been considered and incorporated into this risk.

Risk Statuses:

- 6 risks scored medium/high, 9 risks scored medium and 1 risk scored medium/low. Although there has not been any significant movement in risk statuses during the first quarter of the year, the COVID-19 pandemic has had a significant impact on all aspects of risk on the Register and in particular on our progress in relation to mitigating actions. In acknowledgement of this, all risks on the Register have been reviewed and risk descriptions have been redefined where applicable to reflect the influence the pandemic has had on various aspects of risk. Despite not seeing more impact on the risk scoring this quarter we anticipate there will be some further movement in risk scores over the coming months as the impact and repercussions of COVID are fully realised. **(See Section 2)**

Direction of Travel:

- The majority of risks on the Register have remained static with the exception of CR11: Integrated Health and Social Care which has increased its risk position from a score of 4 to a 6 on the Register. However, this change in risk score has not changed its overall medium risk status.
- The risk score was amended to reflect the impact COVID-19 is having on our ability to progress the integrated health and social care agenda, particularly in the context of the emerging political/legislative and resource aspects of the risk.
- In the political and legislative context, throughout the pandemic key decisions had to continue to be made that were outside of our ordinary decision-making processes. Although, this has enabled a degree of continuity for key projects, it does heighten the risk as we try to ensure we meet the outcomes of service users and of funding commitments.
- The COVID-19 pandemic has also significantly impacted on resources, as it has seen some of our staff and our health colleagues to be redeployed to support business-critical functions . This as a consequence has diverted resources away from progressing some aspects of our transformation projects and service development plans which also impacted on project timescales. A risk score of 6 was deemed accurate, as despite the impact of COVID the risk continues to be controlled well through existing mitigations**.**

Forecast Direction of Travel:

- The forecast direction of travel for risks on the Register have predominately remained the same, with the exception of the Brexit risk that is forecast to rise whilst the information security, waste and Integrated Health and Social Care risks are anticipated to decrease over the next quarter. Both the Environmental Sustainability and Welfare risks continue to maintain their forecast upward trajectory as reported previously.
- The Brexit risk is forecast to escalate as the UK Government approaches the December 2020 trade negotiations deadline. The growing pressure that COVID has placed on our resources, will impact our capacity to adapt and put in place preparations following the Brexit negotiations. As a consequence, there is the danger that our response could become reactive rather than proactive. A further analysis of the key issues associated Brexit are explored below.
- The Information Security risk has maintained its Medium/High status to reflect the increased threat from cyber-attacks over the last 12-18 months. In the last update it was noted that in light of this our controls needed to be review especially with the introduction of Microsoft 365 (MS365) due to a number of emerging threat areas. It was previously identified that this would require further investment in Advanced Threat Protection systems to further strengthen our existing controls. During quarter 1, Advanced Threat Protection in the form of additional security modules were purchased for MS365. Although the risk score at present has remained static, these additional security controls will be rolled out to all MS365 users during quarter 2. As a consequence of putting in place this additional mitigation, we forecast that this risk will decrease to more acceptable levels by quarter 2.

- We forecast that the risk score for Integrated Health and Social Care will decline. This risk continues to be well controlled through existing mitigations and it is anticipated that the disruption caused by the pandemic on our projects will diminish as our service transitions from response to recovery. **(See Section 2)**

Risk Management Plans:
- Overall good progress has been made during Quarter 1 in relation to the actions associated with the Risk Management Plans across all aspects of the Register.
- In total there are 142 mitigating actions currently being monitored via the Register, the majority of which are also aligned to a Corporate Plan activity. During quarter 1, we have been able to assign a RAG status to 128 of these mitigating actions. Where it has not be possible to note a RAG status for an action, this is noted as N/A (not applicable) against the action and an explanation provided in the relevant Risk Management Plan.(**See Section 5**)
- During quarter 1, a total of 2% actions (2) were completed, 66% (85) were on track and allocated a Green status. 10% (13) of actions were allocated an amber status for minor slippage and 22% (28) slipped and were allocated a red status. A breakdown of these individual exceptions is provided in **Section 6**.

Emerging risks and issues:

COVID-19 (Coronavirus)

- COVID-19-is an infectious disease caused by a newly discovered Coronavirus. The first cases of the disease initially emerged in China during December 2019 but very quickly spread throughout the rest of the world, with the UK, Brazil, United States, Italy and Spain amongst the worst affected Countries and the greatest number of deaths. Consequently, the World Health Organisation declared Coronavirus (COVID-19) to be a global pandemic in March 2020. The first cases were initially seen in the UK during February 2020, but by the middle of March (23rd March) the United Kingdom was put under lockdown restrictions.
- At the latter end of March, it quickly became apparent that COVID-19 pandemic was becoming the greatest global public health crisis of our lifetime. The restrictions imposed as a result of the crisis have significantly impacted and disrupted just about every aspect of our daily lives on a scale that has never been seen before. It is felt that the magnitude of COVID-19 pandemic and its cross-cutting impact on all aspects of life such as the economy, health, social care, community safety, arts, culture, sport and education warrants its inclusion on the Council's Risk Register.
- There are two overarching aspects of the COVID risk, the first being the risk associated with our response in terms of how we maintain service continuity by prioritising the use of our resources in terms of our assets, finance, technology and our workforce to business-critical areas. The second aspect of this risk is aligned to our recovery post-COVID-19. This considers the longer-term aspects of the risk in terms of the pandemic's impact on us in terms of a down turn in the economy, unemployment, poverty, lower educational attainment, long term health and social care issues, as well as the emergence of inequalities across disadvantaged and BAME groups.
- An initial draft analysis of the COVID-19 risk is presented in the Register for member consideration. Outlined within are the multi-faceted aspects of the COVID risk across the four risk thematics of political & legislative, resources, service delivery & well-being and reputation. Given the cross-cutting nature of this risk, COVID-specific risk perspectives have also been identified within all other corporate risks contained within the Register.
- The pandemic has put council services under enormous pressure which has significantly challenged how we deliver our services and fulfil our statutory roles and functions. Sustaining and improving levels of service delivery and performance whilst managing demand for services at a time when resources are stretched as a result of the pandemic has been increasingly more challenging**.** These challenges along with many others are likely to be with us for many months ahead. Our response to these challenges and how our organisation evolves and adapts to a rapidly changing policy and legislative landscape will be critical.
- Our response to the pandemic to date has been very much guided by the Welsh Government, the skills of officers and their knowledge and understanding of our citizens and the communities we serve. This

has enabled us to quickly and effectively tailor a response to support our communities most in need and protect the must vulnerable in society. By reprioritising and repurposing our resources and redirecting to business-critical areas we have been able to enhance our capacity to respond quickly to issues as they emerged. Equally, our capacity to respond to the crisis has been further enhanced by our collaborative efforts with our partners in health and the Third Sector. This can be seen evidently through the creation of the Vale Heroes work and our collaborative arrangements with GVS, Age Connect, Education and local Food Banks to support the most vulnerable are support and can access the help they need. Our ability to mount a rapid response to the crisis is also evident through our sourcing and distribution of PPE supplies to Care Homes and other front-line workers. We also effectively engaged with local businesses that switched their usual business operations to the manufacture of PPE and hand sanitiser in order for us to source and secure additional supplies. Other mitigations to this risk have also included the establishment of a Vale Heroes Crisis Fund aimed at community and voluntary groups as well as local businesses who are supporting local communities throughout the crisis. Throughout the crisis, one key mitigation has been the support provided to our local businesses in the form of rate relief, co-ordination of the administration of business grants and the offer of additional advice and support. Our Learning and Skills directorate worked closely with schools to co-ordinate the provision of 14 Childcare Hubs for children of key workers at schools across the Vale. We also worked alongside our Hub schools such as Romilly, Cadoxton, Gladstone and Ysgol Y Ddraig schools to co-ordinate the distribution of food parcels and cleaning and care packs.

- Based on our response (mitigations) to date, and the evolving nature of the risk it is recommended that this risk is scored Medium/High (8) status in recognition of the scale and impact that the pandemic has had and will continue to have on our services and communities. Given the unpredictable nature of the risk, we currently forecast that this will continue to escalate as the longer-term impact of the pandemic is realised.

- We are mindful that the nature of this risk will change again which will warrant a review of the evolving risks and the associated scoring. A full review of this risk will take place at the end of quarter 2 to assess the status of the risk again and to forecast the future direction of travel. We acknowledge that the volatile nature of the situation can change rapidly, therefore through our Strategic Leadership Team, our existing emergency planning mechanisms and the monitoring of this risk we can remain vigilant and prepared for any future spikes/'second wave', so that we are ready to reinstate measures where necessary to control the risks associated with the virus.

- During quarter 2 we will see a transition from our response to recovery phase, that will include the commencement and delivery of a Recovery Strategy (and accompanying impact assessment) that will act as a key mitigating action to sit alongside the Council's Annual Delivery Plan. It is anticipated that this Recovery Strategy and the associated Impact Assessment will be presented to Members in September for their consideration and input.

- Despite COVID-19 having a profound impact on how we deliver services, it has also presented us with a unique opportunity to reflect on how we operate services in the future by understanding what matters most to our citizens. With this in mind, as part of the Recovery Plan a key consideration will be how our organisation can evolve and adapt to the changing policy and legislative landscape whilst balancing this against the needs of our citizens. The Recovery Strategy will also help to inform future planning (Annual Delivery Plan and associated Service Plans) in terms of how we shape and develop services that are sustainable and fit for the future.

Brexit

- The Pandemic struck at a time when the UK was still in talks with the European Union on a potential Brexit trade deal. Much of the attention in the last quarter has inevitably been focused on our emergency response to the COVID-19 pandemic. At present, the UK Government has not requested an extension to the trade negotiations with Europe that are due to come to an end in December 2020. The uncertainty and implications of Brexit continue to be a cause for concern, especially in light of COVID-19. Whilst our attention and resources have been directed towards addressing the immediate priorities arising from COVID-19, there is chance this could impact on our capacity to prepare and adapt to the forthcoming policy and legislative changes as a consequence of Brexit. Given the volatility of the situation, COVID has the potential to further augment the risks associated with Brexit.

- A down turn in the economy as a consequence of COVID could further compound the risk associated with attracting private sector investment post-Brexit. As a consequence of COVID there has been a rise in the numbers of Universal Credit claimants across the UK including the Vale of Glamorgan. This further adds to the concerns post-Brexit associated with a down turn in the economy and any loss of jobs, which in turn could put Council housing and homelessness services under increased pressure. Another key risk associated with Brexit is the potential loss of staff from EU countries, which is more likely in the health and social care and hospitality sectors which tends to employ a greater proportion of EU nationals. There is the danger that the impact of COVID combined with Brexit could exacerbate labour supply issues within these sectors.

- The risks associated with the supply chain continue to be an area of concern, when viewed in the context of the national PPE supply chain issues experienced during COVID. There is the risk that whilst COVID-19 remains high on the political and policy agenda, this crisis could further aggravate supply chain issues post-Brexit.

- There is existing volatility within the social care sector, due to a lack of capacity and resilience in local markets to fulfil requirements of Residential Nursing and Domiciliary Care and the availability of placements for Children Looked After. Brexit presents an additional threat to this already vulnerable sector as there is the risk that this could further impact on their operational capacity. Added pressure from COVID that has put the care sector under immense strain from both a capacity and financial perspective, which in turn has the potential to threaten the future viability of some service providers.

- Considering the emerging aspects of risk as a consequence of the COVID-19 pandemic and the proximity of the trade talks coming to an end in December, the Brexit risk continues to maintain its medium/high status to reflect these growing pressures. We forecast that the political & legislative, resource and service delivery and well-being risks will potentially elevate this risk over time and as such, the risk has been given an upward trajectory in terms of its forecast direction of travel. In light of the pandemic, our mitigating actions as defined within our Risk Management Plan will need to be reviewed to consider the Council's Recovery Strategy and any impact COVID will continue to have on this risk.

SECTION 1: RISK DESCRIPTIONS

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

SECTION 2: CORPORATE REGISTER SUMMARY

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

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

[1]**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.

[2] **Forecast direction of travel** anticipates the future direction of the risk by taking into account factors that are likely to impact on it

↑ Risk increasing,   ↓ Risk is decreasing,   ↔ Risk remaining static

SECTION 3: OVERALL RISK HEAT MAP

The heat map below uses a risk matrix quadrant to plot the residual risk scores (based on likelihood and impact) of each Corporate Risk to provide an illustration of the groupings of risks within the heat map.
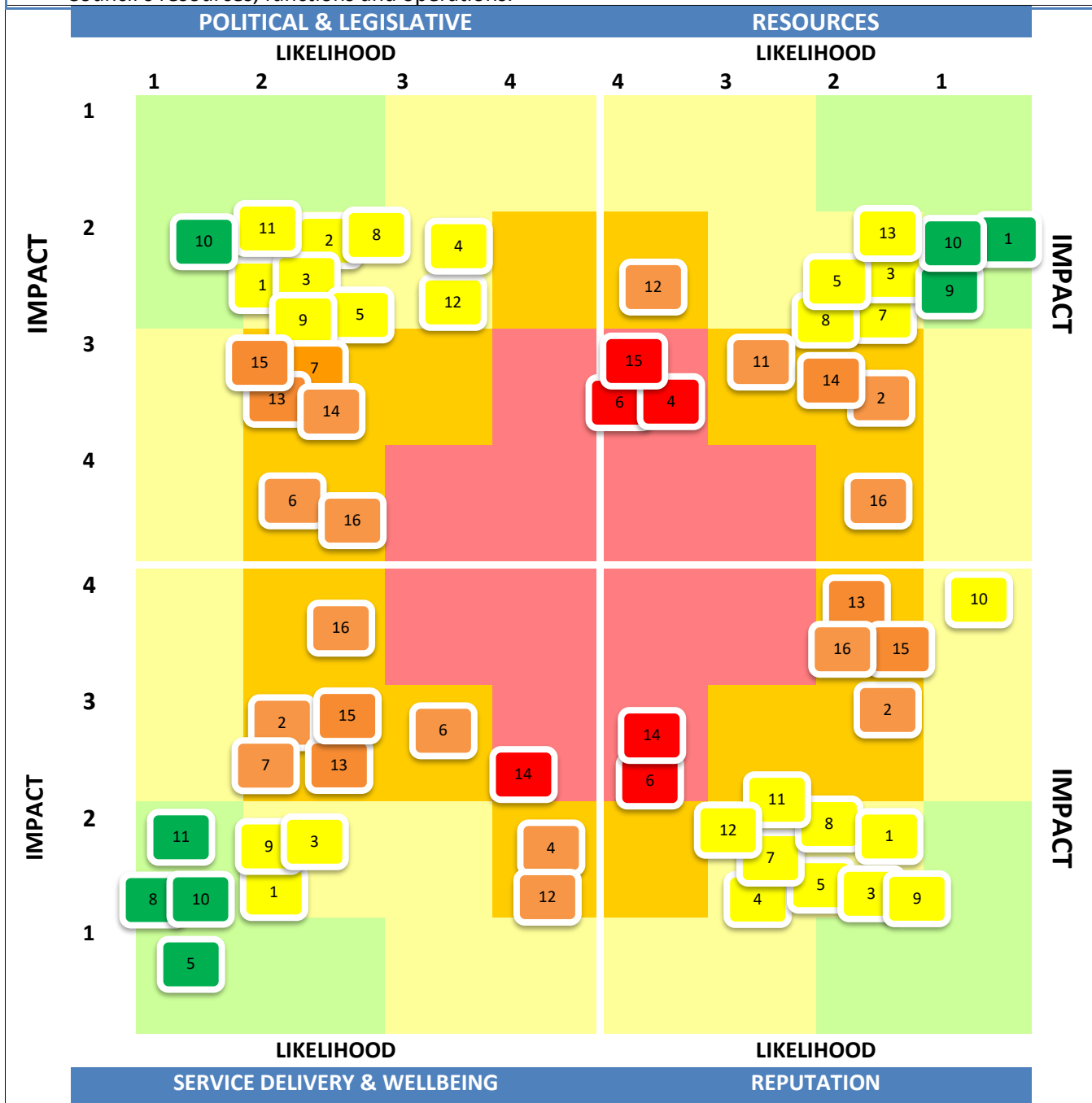
- The heat map for quarter 1 shows that the greatest number of risks congregate at a medium status.
- Information Security, Additional Learning Needs, Brexit, Deprivation of Liberty Safeguards and Waste risks have maintained their Medium/High status.
- COVID-19 is a new risk that has been added to the Register at a Medium/High (8) status.
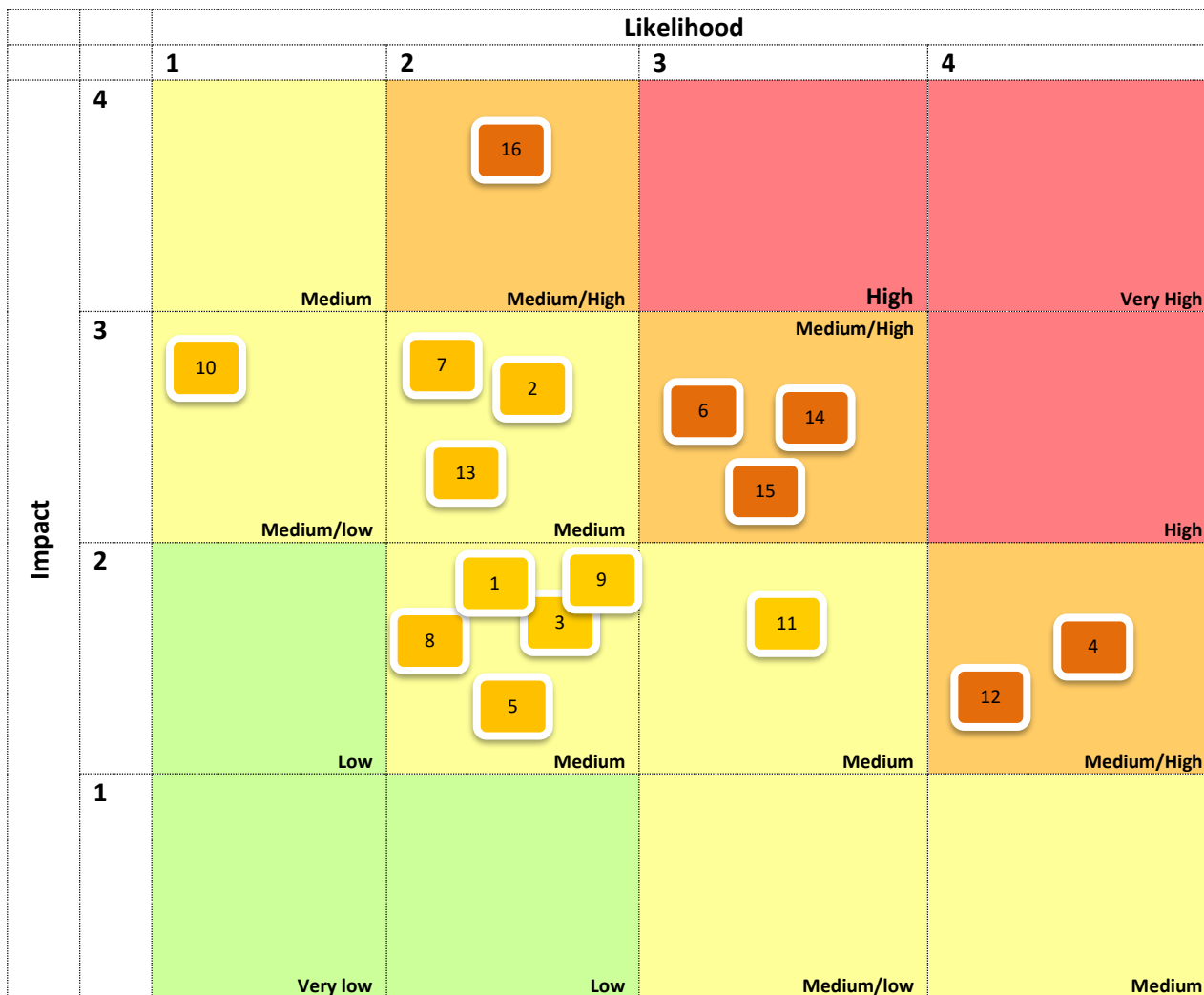
Risk Reference Glossary			
1	Reshaping Services	9	Public Buildings Compliance
2	Legislative Change and Local Government	10	Safeguarding
3	School Reorganisation & Investment	11	Integrated Health and Social Care
4	Waste	12	Unauthorised Deprivation of Liberty
5	Workforce Needs	13	WCCIS
6	Information Security	14	Brexit
7	Environmental Sustainability	15	Additional Learning Needs
8	Welfare Reform	16	COVID-19

SECTION 4: THEMATIC RISK HEAT MAP

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

POLITICAL & LEGISLATIVE	RESOURCES

LIKELIHOOD   LIKELIHOOD

IMPACT

(Heat map grid with plotted risk numbers across four quadrants: Political & Legislative, Resources, Service Delivery & Wellbeing, Reputation)

LIKELIHOOD   LIKELIHOOD

SERVICE DELIVERY & WELLBEING	REPUTATION

SECTION 5: RISK MANAGEMENT PLAN- RAG STATUS OVERVIEW

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

- 68% (91) of actions were allocated a Green status (either completed or on track for completion), 10% (13) were given an Amber status and 22% (29) were allocated a red status at Quarter 1.
- 100% of risk actions contained in the Risk Management Plan for CR4: Waste, CR8: Welfare Reform and CR10: Safeguarding have either been completed or are on track for completion so have been allocated a green status.
- COVID-19 is a new entry to the Risk Register, where 100% (4) actions have been allocated a green status (on track for completion).

Corporate Risk	RAG Status				Total number of Actions	Total number of actions where RAG is applicable.
	Completed	Green (On track)	Amber (Minor Slippage)	Red (Slippage)		
CR1: Reshaping Services	N/A	40% (4)	20% (2)	40% (4)	12	10
CR2: Legislative Change & Local Government Reform	N/A	33% (3)	N/A	67% (6)	9	9
CR3: School Reorganisation & Investment	N/A	83% (5)	N/A	17% (1)	6	6
CR4: Waste	N/A	100% (2)	N/A	N/A	4	2
CR5: Workforce Needs	N/A	59% (10)	18% (3)	23% (4)	18	17
CR6: Information Security	N/A	50% (2)	N/A	50% (2)	5	4
CR7: Environmental Sustainability	N/A	76% (16)	14% (3)	10% (2)	21	21
CR8: Welfare Reform	17%(1)	83% (5)	N/A	N/A	6	6
CR9: Public Building Compliance	14% (1)	57% (4)	N/A	29% (2)	8	7
CR10:Safeguarding	N/A	100% (10)	N/A	N/A	11	10
CR11: Integrated Health & Social Care	N/A	83% (5)	N/A	17% (1)	6	6
CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs)	N/A	40% (2)	20% (1)	40% (2)	5	5
CR13: Welsh Community Care Information System (WCCIS)	N/A	50% (1)	50% (1)	N/A	2	2
CR14: Brexit	N/A	43% (3)	28.5% (2)	28.5% (2)	8	7
CR15: Additional Learning Needs (ALN)	N/A	76% (13)	6% (1)	18 (3)	17	17
CR16: COVID-19	N/A	100% (4)	N/A	N/A	4	4
Totals	1% (2)	67% (89)	10% (13)	22% (29)	142	133

SECTION 6: RISK ACTION EXCEPTIONS (RED STATUS)

Risk	Action Ref	Action Description	Commentary
CR1: Reshaping Services	RSR/FIT002 RSR/RMS002 RSR/LD003 RSR/NS002 RSR/NS003 RSR/RP003 RSR/SL005 RSR/SL006	Maximise opportunities to support income generation and commercial opportunities.	The Finance Division's work associated with income generation has been delayed by COVID-19, but work will resume again as our services return to normal. A similar situation has arisen within Regeneration and Planning where addition work created by COVID-19 has hindered progress in relation to optimising income generation opportunities. However, for established income generation services, collection of income was able to be maintained appropriate to the level of service delivery.
	RSR/FIT003	Engage with Vale of Glamorgan citizens on budget issues to inform the Council's budget and Reshaping Services Strategy priorities for 2021/22.	Due to reprioritisation of resources during the COVID crisis, this work has been rescheduled to be undertaken during the Autumn.
	RSR/FIT005	Lead on embedding the Council's approach to sustainable procurement by working with services to ensure a consistent approach to applying the WBFG Act to our procurement activities.	Due to Covid 19, this work has stalled as the procurement team has been dealing with procurement issues that have arisen during the period. This work will be completed later in the year.
	RSR/HR001	Continue to support organisational-wide change as part of the next stage of the Council's Reshaping Services programme including any HR issues that may arise.	Work has stalled as a result of COVID-19. Work will commence later this year.
CR2: Legislative Change and Local Government Reform	IHSR/AS004	Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).	Much of the preliminary work has had to pause in this project due to the pandemic. Many Health staff have been repurposed to support testing functions. Also, many of our Council staff have been relocated and are either working from another base, or home - this means that we will need to revisit the engagement programme and the timelines for this project. However, this project is very much one that managers and staff across the partnership of C1V, UHB, Third Sector and Adults Social Care remain committed to undertaking and progressing when the time is right, and it is envisaged that the project will recommence in Qtr. 2.
	LCR/CS003	Work with partners to deliver the Corporate Strategy for children who need care and support. (in	Due to the COVID-19 circumstances, we have been required to revise our priorities, but still with a focus on delivering care and support. We will review our progress against the action plan in Q2.

Risk	Action Ref	Action Description	Commentary
		line with the Social Services and Well-being Act)	
	LCR/FIT001	Establish a Corporate Governance & Audit Committee to review the Council's response to self-assessment, peer assessment and combined assessment and governance reviews in line with the requirements of the Local Government and Elections (Wales) Bill.	As a result of the pandemic, Stage 2 scrutiny of the Local Government and Elections (Wales) Bill (the Bill) has been suspended by Welsh Government. It is anticipated that scrutiny of the Bill will resume in October 2020. Two options are being considered, 1 to introduce the new legislation for April 2021 or 2 delay the implementation to April 2020. WLGA has recommended option 2. We will need to track the decisions by Welsh Government and respond accordingly.
	LCR/LD001	Undertake a Funding Assessment and allocation to deliver legislative changes.	Due to the pandemic, progress has been delayed. This action will be addressed during 2020/21 as the legal department makes the transition to recovery following the easing of the COVID-19 Lockdown.
	LCR/LD002	Review the work flowing from Local Government and Elections (Wales) Bill to enable electoral reform and ensure a robust governance framework.	Stage 2 of the bill began on 09/04/20 but due to the pandemic, the deadline for stage 2 proceedings has been extended to 09/10/20.
	LCR/RP001	Minimise impact of Local Government Bill and Planning Law Consolidation Bill on service delivery.	As a result of the pandemic, Stage 2 scrutiny of the Local Government and Elections (Wales) Bill (the Bill) has been suspended by Welsh Government. It is anticipated that scrutiny of the Bill will resume in October 2020. Two options are being considered, 1 to introduce the new legislation for April 2021 or 2 delay the implementation to April 2020. WLGA has recommended option 2. We will need to track the decisions by Welsh Government and respond accordingly.
CR3: School Reorganisation and Investment	SRR/SL004	Lead on implementing the Vale of Glamorgan Welsh in Education Strategic Plan (WESP), focusing on the six key priority areas.	The new Welsh in Education Strategic Plan (WESP) regulations that came into force in January 2020 laid down the timetable and requirements for the introduction on the new ten-year strategic plans. Welsh Government due to COVID-19 have relaxed the timetable for the introduction of the new ten-year strategic plans. This means that plans will now need to be in place by September 2022, rather than September 2021. All Councils in Wales are awaiting a full revised timetable with more detailed information regarding any proposed changes from Welsh Government.
CR5: Workforce Needs	WFR/HR004	Review recruitment practices to increase diversity within the Council's workforce.	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 1. As the Council transitions from its response to recovery phase, this work will commence later on in the year.

Risk	Action Ref	Action Description	Commentary
	WFR/HE007 WFR/ALN001	Lead on the development and delivery of a Well-being Strategy for the Council.	Progress in relation to this action has been hindered by the pandemic as our resources have been focused on our emergency response to COVID-19.
	WFR/HR009	Work with our schools, further education establishments, public sector agencies and local businesses to increase opportunities for all with particular focus on underrepresented 16-24-year olds to participate in work experience, work placements, apprenticeships and other training opportunities in line with the Council's strategy.	Action could not be progressed due to the pandemic and the associated school closures.
	WFR/HR010 WFR/SL001 WFR/HS001	Expand the Council's Apprenticeship Scheme to provide a greater number and range of opportunities	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 1. As the Council transitions from its response to recovery phase, this work will commence later on in the year. Despite the impact of COVID-19, an apprenticeship position was advertised within Housing and Building Services and applicants were shortlisted. Interviews will take place once social distancing measures relaxed to allow interviews and training to take place.
CR6: Information Security	ISR/HR001	Review the business requirements for governance, information management controls and policies and procedures as part of the review the HR business partner structure.	The timing of the COVID Pandemic has significantly disrupted this planned activity and as a result this action was not progressed during quarter 1.
CR7: Environmental Sustainability	ESR/NS005 ESR/RP003	Improve cycle and pedestrian facilities and revise the Active Travel Integrated Network Maps for the Vale of Glamorgan in accordance with Welsh Government Requirements. Ensure new developments deliver appropriate sustainable travel facilities either via direct provision or through the section 106 process.	As a result of our resources being focused on our emergency response to COVID-19, this action was not progressed during quarter 1. As the Council transitions from its response to recovery phase, this work will commence later on in the year.
	ESR/NS008	Implement the Llanmaes Flood Risk Management Scheme.	Land negotiations with third party land owners have recommenced but were severely interrupted by the introduction of pandemic restrictions during the period. No specific agreements over the necessary works has yet been confirmed or formalised. Additional survey and ground investigations were

Risk	Action Ref	Action Description	Commentary
			also delayed by the onset of the pandemic and associated lockdown. Notices are being prepared to gain access and undertake investigations in Q2. Detailed design is on hold pending agreement of a new contract and results of ground investigations. The programme is under review, but construction is now programmed to commence in Spring 2021, subject to land negotiations, all necessary consents, including future grant application to Welsh Government.
CR9: Public Buildings Compliance	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.	Due to COVID-19 this has slipped but will be picked up later in the year.
	BCR/HS003	Review funding arrangements to ensure long term building compliance sustainability.	No progress made as our emergency response to COVID has taken precedence.
CR11: Integrated Health and Social Care	IHSR/AS004	Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).	Much of the preliminary work has had to pause in this project due to the pandemic. Many Health staff have been repurposed to support the testing functions. Also, many of our Council staff have been relocated and are either working from another base, or home - this means that we need to revisit the engagement programme and the timelines for this project. However, this project is very much one that managers and staff across the partnership of C1V, UHB, Third Sector and Adults Social Care remain committed to undertaking and progressing when the time is right, and it is envisaged that the project will recommence in Qtr. 2.
CR12: Deprivation of Liberty Safeguards (DoLS)	DOLR/RMS001	Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards.	Code of Practice to support Liberty Protection Safeguards are still awaited. The COVID-19 pandemic has meant that Welsh Government has pushed back the original implementation date of Oct 2020 and we are awaiting further information. Work has begun on reviewing team structure, resource and the Partnership Board meet regular to have a strategic overview.
	DOLR/RMS002	Implement, with the advice of Legal Services, the requirements of the Liberty Protection Safeguards (subject to publication of the relevant Code of Practice)	Code of Practice to support Liberty Protection Safeguards are still awaited. The COVID-19 pandemic has meant that Welsh Government has pushed back the original implementation date of Oct 2020 and we are awaiting further information. Work has begun on reviewing team structure, resource and the Partnership Board meet regular to have a strategic overview.

Risk	Action Ref	Action Description	Commentary
CR14: Brexit	BXR/PB001 BXR/FIT001 BXR/HR001 BXR/SL001	Support the monitoring and reporting of the Brexit Impact Assessment Action Plan.	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 1. As the Council transitions from its response to recovery phase, this work will commence during quarter 2 in readiness for the outcome of Brexit discussions between the European Union and the UK Government regarding future trade arrangements expected in December.
	BXR/PB002	Provide communications and information to staff, customers/citizens and businesses on Brexit issues.	During quarter 1 much of our communication emphasis has been on communicating our emergency response to COVID-19, where our primary focus has been on ensuring that clear and consistent messages have been communicated through our various channels to both staff, our partners , local businesses, the Third Sector and our citizens. Now that the Council is looking towards the recovery of services, the communications plan associated with Brexit will be revisited and potentially reviewed in light of COVID. We anticipate that a full update on our communications work in relation to Brexit will be available during quarter 2.
CR15: Additional Learning Needs (ALN)	ALNR/ALN003	Support schools in the introduction of Person-Centred Planning (PCP), Individual Development Plans (IDPs) and to further develop Provision Mapping and tracking the progress of pupils with ALN.	It has not been possible to progress this work in schools due to school closures. Work on this area will now begin in the Autumn term 2020.
	ALNR/ALN005	Support development of the ALNCo role in schools as set out in the ALNET (Wales) Act.	It has not been possible to progress this work in schools due to school closures. Work on this area will now begin in the Autumn term 2020.
	ALNR/ALN007	Develop strategic links at a regional and local level with further education colleges to develop an agreed vision for the inclusion and supporting the needs of learners with additional learning needs post 16.	It has not been possible to progress this work in schools due to school closures. Work on this area will now begin in the Autumn term 2020.

SECTION 7: Risk Scoring Definitions

Inherent and Residual Risk Scoring

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

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

 See matrix below:

<table>
<tr>
<td rowspan="9" style="writing-mode:vertical">Possible Impact or Magnitude of Risk</td>
<td rowspan="2">Catastrophic</td>
<td>4</td>
<td>8</td>
<td>12</td>
<td>16</td>
</tr>
<tr>
<td>MEDIUM</td>
<td>MEDIUM/HIGH</td>
<td>HIGH</td>
<td>VERY HIGH</td>
</tr>
<tr>
<td rowspan="2">High</td>
<td>3</td>
<td>6</td>
<td>9</td>
<td>12</td>
</tr>
<tr>
<td>MEDIUM/LOW</td>
<td>MEDIUM</td>
<td>MEDIUM/HIGH</td>
<td>HIGH</td>
</tr>
<tr>
<td rowspan="2">Medium</td>
<td>2</td>
<td>4</td>
<td>6</td>
<td>8</td>
</tr>
<tr>
<td>LOW</td>
<td>MEDIUM</td>
<td>MEDIUM</td>
<td>MEDIUM/HIGH</td>
</tr>
<tr>
<td rowspan="2">Low</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>VERY LOW</td>
<td>LOW</td>
<td>MEDIUM/LOW</td>
<td>MEDIUM</td>
</tr>
</table>

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

Effectiveness of Controls Score

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

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

RISK REGISTER (SEE ANNEX B)

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

1 – Risk Overview

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

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

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

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

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

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

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

1.3 Impact on our contribution to the Wellbeing Goals

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

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

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

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

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Resources	• Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees. • Programme board and manager in place, with project team resources considered for each project. • Council's Financial Resilience considered good by WAO. • Business cases developed for projects and guidance in place. • The management development programme has concentrated on the introduction of the core competency and management competency frameworks. • Tranche 5 projects have been identified, with savings included in the revenue proposals for the budgets of 2020/21. • The Digital Strategy 2017-2020 sets out the strategic direction for the development of services to embrace new digital technologies to improve services whilst reducing costs. • Website refreshed Office 365 - roll out across the organisation. • A broader review to improve online processes from a customer view has been started. This involves hosting of dedicated digital days with services to identify improvements and potential efficiencies. • As part of the Procurement project, Third Party Spend targets have been established for service areas. Guidance has been provided and monitoring arrangements are being put in place. • The income generation and commercial opportunities project team and project board continue to identify opportunities for income generation. • Delivery of Space project New fee structures and reporting processes are in place for income generating services.	3	2	6
Service Delivery & Well-being	• Business cases consider non-financial implications of any proposed changes. • Equality Impact Assessments embedded within the overall programme's management approach. • Communications and engagement activities inform project development.	2	2	4

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

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/PB001 RSR/LD001 RSR/NS001 RSR/SL001	Lead on the development of Tranche 5 of the Council's Reshaping Services programme to ensure that the Council continues to use innovative ways to ensure services are sustainable. Continue to support delivery of the Tranche 5 related projects as part of the Council's Reshaping Service Agenda.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T Bowring DM ER T Baker	March 2021	**GREEN (On track)**
ACTION UPDATE:	The Reshaping Services Programme project portfolio has been agreed in line with the revenue budget. During the quarter, some further work was undertaken on the digital strategy including the roll-out of MS365 and the initial requirements for a new customer relationship management system being captured. Some work has progressed on income generation, but this has been impacted by the coronavirus pandemic, however will be refocused in quarter 2. An audit of the programme by Audit Wales was completed and the draft report is being considered and will be reported to committee and Cabinet in due course. Legal Services continues to deliver on requested advice and support in respect of the Council's Reshaping agenda. During Covid-19, the Council's focus has been on response to the pandemic in the delivery of its public services however as the Council moves towards the Recovery phase it is anticipated that the demand for legal advice and support to deliver the Council's reshaping agenda will increase.												
RSR/PB002	Lead on the 'Connecting Wales' project and how the Contact Centre can provide greater access to services locally and potentially some regional and national services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TC	March 2021	**GREEN (On track)**

Risk Action Ref.	Action	Risk 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 Work Force Management software implementation was completed for the council and further work was undertaken to complete implementation of webchat. In addition, a chatbot project was initiated to explore the potential for this technology to support citizens access services via the website. progress has been slower than expected due to COVID-19 constraint, however, the framework and cloud technology assisted with the council and Cardiff and Vale UHB response to the crisis. customer Service Representatives together with Council tax and benefits staff were quickly moved to homeworking utilising the mobile technology available. In addition, the flexibility of the framework agreement allowed for a rapid increase in call handling licences for the council and Cardiff and Vale UHB (UHB), enabling extra resources to be made available to support vulnerable residents. For the council this included the rapid deployment of the COVID-19 Crisis Support Line, created to provide support to shielding residents in particular. The platform also allowed for the creation of a COVID-19 testing team for the UHB. COVID-19 has restricted business development work during Q1 however demonstrations have been provided to Powys, Carmarthenshire and Cardiff councils. In addition, work has been undertaken with UHB in relation to the development of new services. In May 2020, Customer Relations launched contact centre services for Transport for Wales in relation to their new demand responsive bus service, Fflecsi. the service started in Newport and currently covers areas in Cardiff, RCT, Denbigh and Prestatyn. In addition, meetings of the national project and technical boards have continued, and marketing plan developed for the promotion of the service. This included an offer to all councils in Wales to provide a home working solution for contact centre agents.												
RSR/PB003	Review the Council's Customer Contact Strategy to maximise the use of digital technology.	☑	☑	☑	☑	☑		☑	☑	☑	TC	March 2021	GREEN (On track)
ACTION UPDATE:	Work has been completed to establish functional requirements of a digital platform through market testing and collaboration with other authorities. A business case is being developed to allow for delivery of digital strategy objectives and undertake procurement. This platform will deliver the capabilities required to provide an enhanced citizen experience of access services and make digital the channel of choice. During the quarter existing technology has been used to develop digital solutions to manage demand at HWRC's though an online booking portal.												

Risk Action Ref.	Action	Risk 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/AS002	Explore alternative care and support models to enable us to effectively support our citizens in their communities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	The emergency response to the Coronavirus pandemic resulted in the temporary closure of Day Centres and the realistic forecast of ongoing social restrictions for older people and people living with complex health conditions, has required the service to explore alternative ways to meet people's need to social stimulation and carer's need for day time respite. During Quarter 1, the department commenced an engagement exercise to inform a potential future model of day time opportunities such as face to face outreach, remote/technologically enabled activities with the potential of a smaller, more specialist provision within the Day Centres. During the Pandemic, staff have continued to support people otherwise isolated at home to access video calls to relatives and will be facilitating a video armchair exercise programme. Rondel House staff are developing a partnership with Carers Trust South East Wales and Hafod care to ensure the service has improved geographical reach and develops a specialism to support carers. Through our emergency response to COVID-19, providing domiciliary care agencies with the freedom to adjust the care arrangements of citizens at a time of crisis has many parallels to the principles of 'Your Choice'; but with one major difference: the flexibility under the pandemic was led by the provider whereas the flexibility under Your Choice is led by the citizen and/or their carer. However, this alongside developments in the funding model of care agencies has provided an opportunity to re-launch 'Your Choice'. During the quarter we have been re-examining case management and WCCIS processes that will be tested out during quarter 2.												
RSR/FIT001 RSR/AS001 RSR/RMS001 RSR/HS001 RSR/RP001 RSR/RP002	Contribute to the delivery of the Digital Employee and Digital Customer workstreams of the Council's Digital Vale programme by exploring the use of technology to transform how council services are delivered.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CL SC AP MI MG DM	March 2021	**AMBER (Minor slippage)**

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/LD002 RSR/SL002 RSR/SL003 RSR/SL004 RSR/FIT006											T Baker		

ACTION UPDATE:	Although some aspects of work associated with the Digital Vale Programme have been put on hold/delayed due to COVID-19, other activities have been progressed and in other cases the pandemic has brought forward opportunities to look at new digital ways of working. For example, the need to work more remotely has enabled us to further maximise the use of Office 365 such as Teams functionality for remote meetings.
	During the quarter, our ICT (FICT) division have also successfully re-engineered the Council's infrastructure to meet the sudden growth in demand for our workforce to work remotely. For example, during the period, our ICT Service has enabled approximately 2,000 staff to work remotely to ensure continuity of services. Working alongside the Learning & Skills Directorate, the ICT Division also put in place an online Free School Meal Voucher system. The need to work more remotely has
	Alongside the development of digital solutions within Adult Services to enable people to adults to engage in day time activities that would normally be provided via our Day Services, our Telecare service has introduced free installations which has led to 124 new customers in quarter 1. In addition to this we have also progressed the development of a bid for a Rapid Response service that will link to Telecare to provide support to people in their own homes at time of crisis - such as when they have fallen. This service will reduce the waiting times for people who have fallen providing better outcomes in terms of less likely to need hospital admission, reduce the pressure on family carers and thus sustaining people at home for longer whilst reducing the pressure on the Ambulance Service. Within Learning Disability Day Services, we have continued the work of the 'See Me' project, that enables service users to record a video of themselves to communicate with agencies/professionals information about who they are, what their likes and dislikes

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	are, and what's important to them. Service users have developed their digital skills and learnt how to present, record and use an iPad. It has proven to be a powerful way of bringing assessments alive and enabled us to take a more citizen-centred approach to our care and support. Through ICF Capital monies, work has also continued on the development of a SMART house, to assist with transition and support people to learn how to use technology to support them to live independent lives. Despite this progress, the COVID-19 situation has hindered our development of the WCCIS finance module, as direct input of staff from Advanced is required. Consideration is being given as to whether this can be achieved through virtual meetings with the platform provider. In our care homes, residents have been able to utilise technology to stay in touch with families. With regards to the development of a Digital Transformation Strategy for Housing and Building Services, an external consultant has been engaged and internal consultation has been undertaken with all teams to inform the development of a full specification for a new Housing and Building Services IT system. Once the service specification has been completed, a tender process will be undertaken through the Sell 2 Wales website. Within Regeneration & Planning Division, we have continued to make use of the Evolutive content management system to enhance regional working in relation to business support and economic development. This has been a particularly invaluable tool to get messages out regarding the availability of support during the COVID crisis. The implementation of the IKEN software within Legal Services is ongoing. Although there has been some impact as a result of COVID-19, the Division is confident that the efficiencies will be achieved as a result and arising from remote working, as well as the use of technology for bundling. Although our libraries have been closed due to COVID-19 throughout quarter1, it has provided us with an opportunity to explore provision of services via digital means. In relation to our community libraries many of their tablets were out on extended loan to library customers during the lockdown period. There has been some limited online activity during this time, especially towards the end of the period. The Library Services Manager engaged with trustees in a zoom call, the first for many of the participants. The Peripatetic Support Officer worked with Dinas Powys to setup an online Code Club on behalf of the Library and the libraries have all used social media during the closure 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			
	In terms of our Council run Library Sevices, £100K investment, has expanded our online Library Services to provide greater access to reading materials. Our weekly library groups have gone digital with Rhyme and Sign and Bilingual Storytime sessions available live and on demand via Facebook, while our reading group meetings are now taking place over the WhatsApp and Zoom platforms. The Strategy & Community Learning Division has continued to maintain its use of the One system to support decision making in response to pupil needs and improve learning outcomes. However, development and in particular the report writing aspects have been hindered for a number of reasons including that the One MIS Manager is on maternity leave and the replacement MIS development officer joined the team during COVID-19. In the interim, the Team Manager has provided support for report writing and report development. The team are continuing to develop reports in a couple of areas i.e. Children Looked After, other vulnerable groups and attendance/exclusions. Delivery of infrastructure improvements within schools in line with the Welsh Government's Education Digital Agenda has been partially progressed. Grant applications have been successful for Waves 1-3. During quarter 1, waves 1 - 2 (network infrastructure) has slipped due to COVID-19, with Lot 1 due to go back out to tender. The Network Team are engaging with the supplier with an anticipated start during the summer holidays. Wave 3 (Server deployment) has also seen slippage due to COVID-19, initially the wrong server was delivered and returned in March, subsequently we have been awaiting receipt of the replacement in order to progress with our proof of concept and sign off. Wave 4 is on track; the first order has been submitted as a response to replace gifted equipment during the digital exclusion project. We are currently working on a funding formula and a means to engage schools for the next 2 orders. It is anticipated that ordering to be completed by September 2020.												

Risk Action Ref.	Action	Risk 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/FIT002 RSR/RMS002 RSR/LD003 RSR/NS002 RSR/NS003 RSR/RP003 RSR/SL005 RSR/SL006	Maximise opportunities to support income generation and commercial opportunities.	☑	☑	☑	☑	☑		☑	☑	☑	CL AP DM ER ER MG T Baker T Baker	March 2021	**Red (Slipped)**
ACTION PLAN:	The Finance Division's work associated with income generation has been delayed by COVID-19, but work will resume again during our services return to normal. A similar situation has arisen within Regeneration and Planning where addition work created by COVID-19 has hindered progress in relation to optimising income generation opportunities. However, for established income generation services, collection of income was able to be maintained appropriate to the level of service delivery. Although COVID-19 has impacted on the exploration of fleet sponsorship some work was progressed. Pilot scheme identified within Parks and Cleansing for a Playgrounds vehicle. The design is currently with the Corporate Communications Team. Enforcement Inspections were put on hold during COVID-19, as instructed by WPPP and the other Partnerships associated with WPPP. Within Strategy & Community Learning Division, it has not been possible to progress work associated with optimising use of assets and maximising income generation, due to school closures associated with COVID. Similarly, progress in relation to promoting the community use of school facilities to generate income out of hours has also been delayed by school closures. Work on these areas will now commence in the Autumn term 2020.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Within the Regeneration and Planning Division, work continued on reshaping services in light of reducing budgets and the need to deliver quality services to customers. Focus will remain on raising additional income through services such as advertising and consultancy work.												
RSR/FIT003	Engage with Vale of Glamorgan citizens on budget issues to inform the Council's budget and Reshaping Services Strategy priorities for 2021/22.	☑	☑	☑	☑			☑	☑	☑	CL	March 2021	**RED (Slipped)**
ACTION UPDATE:	Due to reprioritisation of resources during the COVID crisis, this work has been rescheduled to be undertaken during the Autumn.												
RSR/FIT004 RSR/RP004	Support delivery of the Assets workstream of the Council's Reshaping Services Programme by working with council services to optimise use of their property assets and where appropriate progress the disposal of surplus or inefficient assets. Work with colleagues in Estates and Legal Services to develop the Area Based Asset Review Group and identify commercial opportunities from Council land and assets.	☑	☑	☑	☑			☑	☑	☑	CL MG	March 2021	**AMBER (Minor slippage)**

Risk Action Ref.	Action	Risk 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 in relation optimising the use of property assets and progressing the disposal of inefficient assets has continued to progress. The office accommodation occupancy data collection work is well under way, which has seen the completion of the Docks office and in Civic Offices. Data sensors have been installed in the Alps, however this has stalled due to COVID-19 as the usual number of staff are not in the office at present. South Lodge, Penarth, has been marketed and tenders assessed. Authority received to progress with the preferred bidder. Negotiations are continuing with C&V UHB in relation to the Gladstone Road compound/Broad street Clinic site regeneration project. Work associated with the development of an Area Based Asset Review Group to identify commercial opportunities from council land and assets has been temporarily paused as staff have been redirected to the COVID effort. Previously identified assets have been progressing for further development. As and when time allows this work will resume in future quarters. Work has commenced on the consideration of the future use of office accommodation in response to a move to more agile working assumed during the pandemic and in response to the staff well-being survey results.												
RSR/FIT005	Lead on embedding the Council's approach to sustainable procurement by working with services to ensure a consistent approach to applying the WBFG Act to our procurement activities.	☑	☑	☑	☑	☑			☑	☑	CL	March 2021	**RED (Slipped)**
ACTION UPDATE:	Due to Covid 19, this work has stalled as the procurement team has been dealing with procurement issues that have arisen during the period. This work will be completed later in the year.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/HR001	Continue to support organisational-wide change as part of the next stage of the Council's Reshaping Services programme including any HR issues that may arise. *Milestone Action: Support delivery of the Council's Reshaping Services programme by providing bespoke support to managers on specific reshaping projects throughout 2020/21 with an emphasis on managing change.*	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2021	**RED (Slipped)**
ACTION UPDATE:	Work has stalled as a result of COVID-19. Work will commence later this year.												
RSR/SRS001	Formulate the next three-year financial programme (2021-2024) with all three partner Councils.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DH	March 2021	**N/A**
ACTION UPDATE:	No update available for quarter 1												
RSR/SRS002	Build on initiatives such as the Noise app, to ensure that future funding reductions can be mitigated by innovation and transformation in service delivery and that	☑	☑	☑	☑			☑	☑		DH	March 2021	**N/A**

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	environmental health services are able to benefit from new technologies.												
ACTION UPDATE:	No update available for quarter 1.												

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

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

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

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

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

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

	• Local government finance including non-domestic rating and council tax As a result of the pandemic, Stage 2 scrutiny of the Local Government and Elections (Wales) Bill (the Bill) has been suspended by Welsh Government. It is anticipated that scrutiny of the Bill will resume in October 2020. Two options are being considered, 1 to introduce the new legislation for April 2021 or 2 delay the implementation to April 2020. WLGA has recommended option 2. The Council will need to track the decisions by the Welsh Government and respond accordingly.
1.2 Risk Owner	**Senior Leadership Team**

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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
Political & Legislative	Yes	Political and legislative repercussions of failing to meet the requirements of the Social Services Wellbeing Act and the Local Government and Elections Bill could lead to litigation, fines and/or political instability. Failure to respond appropriately to the changes required by the Local Government & Elections Bill regarding public participation, performance management and leadership of Councils. Failure to use the General Power of Competency introduced by the Local Government & Elections Bill appropriately and/or to make use of opportunities arising from this provision. The pandemic brings with it an increased risk of challenge and the potential for litigation.
Resources	Yes	Insufficient funding to ensure that we can meet our legislative requirements associated with the Social Services Wellbeing Act and the Local Government and Elections Bill.

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		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 [Does not include the LG&E Bill and does include the ALN]			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
Political & Legislative	3 (Probable)	3 (High)	**9 (Medium/High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	3 (Probable)	3 (High)	**9 (Medium/High)**
Reputation	4 (Almost certain)	3 (High)	**12 (High)**
Overall Inherent Risk Score	**4 (Almost certain)**	**3 (High)**	**12 (High)**

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

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Continue to support the ongoing development of the DEWIS information portal. • Budget setting process includes considerations of cost pressures arising from legislative change. • Worked with the Regional Partnership board to produce a Population Needs Assessment. In response to the Needs Assessment an Area Plan has been developed and consulted on. • Agreement for a pooled budget for older person's care home placements across the three statutory partners has been put in place and is operational. • Funding for a number of small 3rd sector community groups funded via Delivering Transformation Grant has been approved in relation to the Social Services and Well-being (Wales) Act. • Regional Commissioning Board continues to meet on a monthly basis to discuss fee setting and to identify areas of joint working in social care. • The Regional Coordinator for Sustainable Social Services continues to represent the region on the Quantitative Writing group, providing technical expertise and developing new requirements for the quantitative data and accompanying guidance. • The Council's Annual Report format is under ongoing review and refinement to further strengthen how we report our performance as a Council with the proposed changes associated with the Local Government and Elections Bill in mind. • Contributing to the development of national guidance to accompany the changes required by the Bill to the performance framework for local authorities.			
Service Delivery & Well-being	• Implementation of the Social Services Wellbeing (Wales) Act Action Plan. • Continue to pursue collaborative opportunities with partners in neighbouring organisations.	2	1	2

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• We have developed and agreed a new 5-year Corporate Plan that sets out our vision of 'Working together for a Brighter Future'. The Plan sets out four new Well-being Objectives and how it will contribute to delivery of the Well-being Goals. • Continue to promote the use of Dewis at local events and key access points in the community, and are also using social media to advertise it to the general public, with 'Wellbeing Wednesday' tweets going out via Cardiff and the Vale Twitter platforms, targeted Facebook Ads being trialled, and Dewis adverts now on a number of GP screens across the region. • Implemented new assessment processes to ensure compliance with the requirements of the Social Services Wellbeing Act. • Processes at the Customer Contact Centre to support the provision of an Advice and Assistance Line have been reviewed and updated. There is also ongoing review of our Quality Assurance and Performance Management procedures that is now business as usual. • The Welsh Community Care and Information System is fully embedded within Social Services to enable the safe sharing of information and deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act. • We have successfully implemented transition services underpinned by a Transition Protocol, which supports best practice across agencies. • The Social Value Forum is in place and being supported through the Integrated Health and Social Care Partnership. This Forum will develop in maturity and is expected to shape future service delivery through working with statutory partners to meet the needs of the Citizens of the Region.			

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• The Council's Duty to Report Safeguarding Concerns procedure is fully embedded to provide employees with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V. • We have commissioned a Direct Family Support service to provide contact and support for children with additional needs and their families. • A Continuing Health Care Draft Policy has been endorsed by all key partners to improve transparency of the process as it relates to children and young people. • An action plan has been developed to improve the clarity definitions and terminology used by Contact Centre staff and professionals in relation the IAA model. This action plan will be monitored by the 'Wellbeing Matters' Steering group. • The provision of relevant and timely Information, Advice and Assistance is central to a well performing Social services Intake Team. Wellbeing Officers are now in post and developing the skills and knowledge to offer appropriate Information at the first point of contacts. Where necessary the Wellbeing Officers link with the newly appointed Wellbeing Visiting Officers (Transformation Grant Funded) to undertake proportionate assessments to provide Advice and Assistance.			
Reputation	• Comprehensive consultation and engagement via the 'Let's Talk' campaign with citizens in order to inform the production of a Population Needs Assessment in relation to the Social Services Wellbeing Act and the development of the Wellbeing Assessment/Well-being Plan as part of the Wellbeing of Future Generations Act.	2	1	2

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

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

2.3 Residual Risk Scoring & Direction of Travel Does not include the LG&E Bill and does include the ALN]										
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	2	4	2	2	4	↔	↔
Resources	4	3	12	2	1	2	2	3	6	↔	↔
Service Delivery & Well-being	3	3	9	2	1	2	2	3	6	↔	↔
Reputation	4	3	12	2	1	2	2	3	6	↔	↔
Average risk score/ direction of travel	4	3	**12**	2	1	**2**	2	3	**6 (Medium)**	↔	↔

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
LCR/PB001	Introduce and promote a refreshed performance and risk reporting framework to support the implementation of the new Corporate Plan 2020-25 and the changes associated with the Local Government and Elections (Wales) Bill.	☑	☑	☑	☑	☑				☑	TB	March 2021	**GREEN (On track)**
ACTION UPDATE:	During the quarter preparatory work was undertaken to develop a new Performance Management Framework to reflect the new performance monitoring requirements of the Corporate Plan. The framework has been designed to enable us to extract data and action updates across the breadth of service areas to that can feed into multiple cross-cutting aspects of the Corporate Plan. To complement this a new performance reporting template has been developed in consultation with the Chairs and Vice Group that will enable us to report performance updates against the Council's Annual Delivery Plan in a singular report. The cross-cutting and holistic nature of the report will enable us to better demonstrate how multiple aspects of what we are doing are contributing to the achievement of our Well-being Objectives as outlined in our Corporate Plan and towards the Welsh Government's Well-being Goals. The new report format will be presented to Committees during September. The review of the risk reporting framework be undertaken later this year to reflect the new Corporate Plan and any requirements arising from the Local Government and Elections (Wales) Bill.												
IHSR/AS004 Linked to Integrated Health)	Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**RED (Slipped)**
ACTION UPDATE:	Much of the preliminary work has had to pause in this project due to the pandemic. Many Health staff have been repurposed to support the 'Testing' functions. Also, many of our Council staff have been relocated and are either working from another base, or home - this means that we will need to revisit the engagement programme and the timelines for this project. However, this project is very much one that managers and staff across the												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	partnership of C1V, UHB, Third Sector and Adults Social Care remain committed to undertaking and progressing when the time is right, and it is envisaged that the project will recommence in Qtr. 2.												
LCR/CS001	Explore opportunities to maximise our use of digital platforms to enhance our reach and engagement with and for children and young people and their families. (in line with the Social Services and Well-being Act)	☑	☑	☑	☑			☑	☑	☑	RE	March 2021	**GREEN (On track)**
ACTION UPDATE:	Maximising the use of digital technology has escalated as a result of the current pandemic, where virtual contact has in many situations been our primary form of contact with children, young people and their families. We have increased the use of WhatsApp to good effect and will consider it as an ongoing form of communication alongside our face to face arrangements going forward. Similarly, we have increased our use of online platforms, particularly in our preventative services, to provide support materials at the current time. Meetings involving children and families - for example core groups and conferences - have been taking place remotely (by teleconference) and we will be looking to enhance the current arrangements by allowing opportunities for partially remote and partially face to face meetings that will improve the current arrangements for families.												
LCR/CS002	Scope and implement a strength-based model for working co-productively with children and their families. (in line with the Social Services and Well-being Act)	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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:	Scoping work has been completed. Development and implementation will be slightly delayed by 4 - 6 weeks due to COVID-19												
LCR/CS003	Work with partners to deliver the Corporate Strategy for children who need care and support. (in line with the Social Services and Well-being Act)	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2021	**RED (Slipped)**
ACTION UPDATE:	Due to the COVID-19 circumstances, we have been required to revise our priorities, but still with a focus on delivering care and support. We will review our progress against the action plan in Q2.												
LCR/FIT001	Establish a Corporate Governance & Audit Committee to review the Council's response to self-assessment, peer assessment and combined assessment and governance reviews in line with the requirements of the Local Government and Elections (Wales) Bill.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CL	March 2020	**RED (Slipped)**
ACTION UPDATE:	As a result of the COVID- 19 pandemic, Stage 2 scrutiny of the Local Government and Elections (Wales) Bill (the Bill) has been suspended by Welsh Government. It is anticipated that scrutiny of the Bill will resume in October 2020. Two options are being considered, 1 to introduce the new legislation for April 2021 or 2 delay the implementation to April 2020. WLGA has recommended option 2. We will need to track the decisions by Welsh Government and respond accordingly.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
LCR/LD001	Undertake a Funding Assessment and allocation to deliver legislative changes.	☑	☑		☑				☑	☑	DM	March 2021	**Red (Slipped)**
ACTION UPDATE:	Due to the pandemic, progress has been delayed. This action will be addressed during 2020/21 as the legal department makes the transition to recovery following the easing of the COVID-19 Lockdown.												
LCR/LD002	Review the work flowing from Local Government and Elections (Wales) Bill to enable electoral reform and ensure a robust governance framework.	☑	☑	☑	☑				☑	☑	DM	March 2021	**RED (Slipped)**
ACTION UPDATE:	Stage 2 of the bill began on 09/04/20 but due to the ongoing Covid-19 pandemic, the deadline for stage 2 proceedings has been extended to 09/10/20.												
LCR/RP001	Minimise impact of Local Government Bill and Planning Law Consolidation Bill on service delivery.	☑	☑	☑	☑	☑		☑	☑	☑	MG	March 2021	**RED (Slipped)**
ACTION UPDATE:	As a result of the COVID-19 pandemic, Stage 2 scrutiny of the Local Government and Elections (Wales) Bill (the Bill) has been suspended by Welsh Government. It is anticipated that scrutiny of the Bill will resume in October 2020. Two options are being considered, 1 to introduce the new legislation for April 2021 or 2 delay the implementation to April 2020. WLGA has recommended option 2. We will need to track the decisions by Welsh Government and respond accordingly.												

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

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

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

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		resulting in implications for health and safety. Funding for adaptations to schools under Disability Discrimination Act is limited and could result in a pupil not being able to attend the school of choice or not being able to access facilities used by other pupils. Failure to meet demand for Welsh medium education. Impact of a poor learning environment on a pupil's learning experience if we fail to meet the 21st Century Schools standards.
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.	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• Comprehensive governance structures in place to effectively monitor and manage delivery of the programme such as Programme Officers and a Programme Board including the Strategic Investment Programme Chief Officers Group (strategic), the Strategic Investment Project Board (operational) and engagement with Welsh Governments Gateway Review programme to identify opportunities and risks with key stakeholders . • Strategy to support Welsh medium education, Welsh language promotion and contribute to Welsh Governments target of one million Welsh speakers by 2050 through the Council's Welsh in Education Strategic Plan (WESP).			
Resources	• Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme. • Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects. • We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements. • A revised programme of SIP projects for Band B projects has been approved by Cabinet and Strategic Outline Programme submitted to Welsh Government. All business cases for 2018/19 have been undertaken for approved Band B projects. • The new staffing structures and their implementation for both new schools have now been completed and all arrangements are firmly on track for a successful opening in Quarter 2. • Data relating to new housing developments is now available and being used to modelling options for school place planning.	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• A preferred alternative site for Pupil Referral Unit (PRU) has been identified subject to consultation. • Welsh Government approved the Vale WESP Action Tracker • Gained final approval for Barry Secondary Learning business cases (FBCs) and construction has commenced. • Being bilingual web page available on website with information on Welsh medium education and access to the Welsh Medium Education Survey for completion. • A proposal has been established to address English and Welsh medium primary education in Cowbridge (Western Vale). A phased approach is being proposed with English medium being addressed as part of phase 1 and Welsh medium being addressed as part of phase 2. This proposal was considered by Cabinet on the 4th November 2019. Proposals for Penarth are subject to planning permission being granted for the Cosmeston development.			
Service Delivery & Well-being	• Actively participate in the Council's Carbon Management Group. • Work closely with the Planning Officers to identify potential educational demand as a result of new housing developments in order to maximise S106 funding. • Llantwit Major Learning Community opened (that incorporates redevelopment of Llantwit Major comprehensive school). • Colcot Primary School Barry – Refurbishment (fully funded by Local Authority) • Romilly Primary School, Barry – new foundation phase block. (Band A) • New 60 place part-time Fairfield Nursery opened. • Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now open and operating successfully. • School Development needs assessments will continue to inform	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	the new school modernisation programme. This work will require liaison between School Organisation and the newly established 21st Century Schools team looking at need as it relates to place planning up to 2026. • New admission arrangements for 2020/21 has now been concluded and approved by Cabinet and proposals for 2021/22 are currently being formulated. • Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report.			
Reputation	• Survey demand for school places in line with the Council's Welsh Education Strategic Plan. • Periodic review rolling 25 year plan for schools asset renewal. • Periodic review of school capacities and identification of alternative use for school buildings where there is high surplus capacity. • Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes.	2	2	4
Overall Effectiveness of Controls		**2**	**2**	**4**

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SRR/SP001	Work with the 21st Century Schools' team and other stakeholders to develop proposals for a centre for learning and well-being that meets the increasing need to support children with identified social and emotional health needs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	**GREEN (On track)**
ACTION UPDATE:	Consultation yet to be commenced however key documents have been drafted and a timeline has been proposed to ensure the CLW is delivered on time and within the agreed parameters. Key officers across the LA have all been briefed on an informal basis. The process will be officially commenced at the end of the present academic year with meetings with stakeholders to outline the proposals and commence the formal consultation. The manner in which this will be undertaken and the officers to be involved is presently being determined at HOS level and above in conjunction with the cabinet member.												
SRR/SL001	Work with schools and other key stakeholders to ensure that all learners (especially vulnerable learners) are able to access school places in appropriate locations which meets their needs and are able to be part of the school community.	☑	☑	☑	☑		☑	☑	☑	☑	TB	March 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	A school Accessibility Strategy has been developed to support all pupils being able to access school places in accessible locations with appropriate support in place. This was due to be presented at CMT in April however this was delayed due to COVID-19 response. The draft policy will be presented in September with a view to engaging with pupils parents and other stakeholders during quarter 3.												
SRR/SL002	Strengthen our approach to school place planning to ensure there are sufficient and quality diverse school places in the Vale of Glamorgan to meet the needs of learners now and in the future.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	GREEN (On track)
ACTION UPDATE:	Work has commenced during quarter one to update school place planning information which reflects on the September 2020 admission round. In addition, a review of primary catchment areas in the Western Vale will be completed by the end of quarter 2 with all findings reflected in the proposed admission arrangements presented for consultation during quarter 3.												
SRR/SL003	Lead on progressing all approved school investment projects identified for Band B of the 21st Century Schools Programme to deliver modern and fit for purpose learning environments for Vale of Glamorgan pupils and improved local facilities which benefit the wider community.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	GREEN (On track)

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	Action	Risk 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 spite of COVID- 19 our programme remains on track.												
SRR/SL004	Lead on implementing the Vale of Glamorgan Welsh in Education Strategic Plan (WESP), focusing on the six key priority areas.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	**RED (Slipped)**
ACTION UPDATE:	The new Welsh in Education Strategic Plan (WESP) regulations that came into force in January 2020 laid down the timetable and requirements for the introduction on the new ten year strategic plans. Welsh Government due to COVID-19 have relaxed the timetable for the introduction of the new ten-year strategic plans. This means that plans will now need to be in place by September 2022, rather than September 2021. All Council's in Wales are awaiting a full revised timetable with more detailed information regarding any proposed changes from Welsh Government.												
SRR/SL005 (Links to Envtal Sustainability)	Progress the feasibility and design of a low carbon building as part of the 21st Century Schools Programme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	**GREEN (On track)**
ACTION UPDATE:	We have now included two carbon zero projects into the programme and one low carbon building and are currently developing a nett zero solution.												

1 – Risk Overview	
1.1 Risk Description	This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive. There is a Statutory Target for Recycling based on the Welsh Government's 'Towards Zero Waste' Waste Strategy. Aligned to this are national statutory landfill reduction/ diversionary targets. Failure to meet the national waste agenda and meet its associated targets increases the likelihood of incurring significant fines and could have detrimental impact on the Council's reputation. The biggest shift change has been in relation to reducing the volume of residual waste. The Council secured capital funding from the Welsh Government's Collaborative Change programme as part of the Waste Strategy to implement a restriction of residual waste. From September 2018, all households across the Vale of Glamorgan were restricted to putting out two bags per fortnight (with exemptions for those with six or more residents, pet waste/bedding, ash from household fires/log burners and adult hygiene products). To oversee this roll out and enforcement, waste wardens have been appointed. This shows that this service changes have resulted in over a 30% reduction in residual waste. In progressing our Waste Strategy, we continue to look at ways of further increasing our recycling rates across the Vale of Glamorgan. Although the Vale of Glamorgan Council continues to be one of the top performing authorities for meeting its recycling targets, more recently we have experienced a growing problem with contamination. This has been due to non-recyclable items such as soiled nappies, food waste and cat litter being mixed with recycling. To combat this problem and to reduce our use of single use plastic, the use of single use plastic bags for placing out recycling has been removed. Recyclable waste will only be collected if it is placed in Council-issued bags/boxes. The roll out of the Waste Blue Print 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, this change is being introduced as a phased roll out that started in the rural Vale on the 14th October 2019. The planned roll out to Barry and Penarth in 2020, has been disrupted due to COVID-19. The expansion of the Waste Blue Print to the Eastern Vale will commence following the recovery of our services from the pandemic.
1.2 Risk Owner	**Head of Neighbourhood Services and Transport (ER)**

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

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running • Waste Resource Action Programme (WRAP) is completed. Cabinet agreed a black bag restriction for 2018/19 to move on a phased basis to the Welsh Government Blue Print which commenced on the 14th October 2019 for the Rural Vale with roll out to Penarth and Barry in 2020.	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Resources	• Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. • The 25 year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place. • Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council. • Household Waste Recycling contract operated by the company FCC. • A revised Waste Strategy will be presented to Cabinet during 2020/21 that will take into account the targets such as 70% recycling by 2024/25. In line with this Strategy, Capital funding has been received to implement the service changes for kerbside collections and to construct a Waste Transfer Station during 2019/20 and 2020/21. • Full review of our Enforcement Policy for littering and fly tipping has been completed with an update presented to Scrutiny Members and Cabinet Members noting the progress that has been made and lessons learnt since the contract with the 3GS (environmental enforcement officers) commenced on the 7th October 2016. • Since October 2019, the environmental enforcement service has been brought back in house under a new enforcement team. • Annually bid for Welsh Government Environment Grant to deliver improvements to the waste management infrastructure.	1	1	1
Service Delivery & Well-being	• Increased waste awareness initiatives including a litter summit. • Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. • Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery.	1	2	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced. • Council has continued to undertake its normal approach to recycling awareness which has allowed us to ensure we remain on track. This is updating the web site, undertaking letter drops to residential areas where there is poor participation, roadshows with the event trailer and a school education programme. • The interim Waste Transfer Station (WTS) at Cowbridge is operational.			
Reputation	• Regularly implement high profile campaigns in the community to raise awareness of the importance of recycling, composting. Consultation regarding possible changes to waste service including a series of engagement events through throughout the Vale of Glamorgan area. • Maximise the use of Social Media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner to raise awareness of dog fouling/littering issues.	1	2	2
Overall Effectiveness of Controls		**1**	**2**	**2**

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

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WMR/NS 001	Implement the waste blue print (source segregated recycling) to Barry and Penarth areas.	☑	☑	☑	☑	☑	☑	☑	☑	☑	ER	March 2021	**N/A**
ACTION UPDATE:	Work is due to be progressed during Quarter 2.												
WMR/NS 002	Work towards the National Domestic Waste Recycling Target for 2024 / 2025.	☑	☑	☑	☑			☑	☑	☑	ER	March 2021	**N/A**
ACTION UPDATE:	Work is due to be progressed during Quarter 2.												
WMR/NS 003	Commence the construction of a Waste Transfer Station for Barry.	☑	☑	☑	☑	☑	☑		☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	Call off information received, Customer Care Board provided with an update. Additional Questions and references sought from Suppliers. Contact to be made via the Mobile / Agile working Group . Update to be provided in Quarter 2. During the COVID19 pandemic, it has been clear that the requirements for mobile working is imperative, especially with staff working from Home and straight to site. Some of the services have been improved, i.e. on line payments and submission of applications. Others areas being identified. Also back ground work being undertaken for capturing of data. We have identified trees are part of the initial project, examples provided to Adam Sargent for checking. Progress will be reported in Quarter 2.												

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**

Risk Action Ref.	Action	Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term	Officer	Completion Date	Status
WMR/NS 004	Monitor budgets to ensure we are able to deliver the National Waste agenda through effective use of grants and resources.		☑	☑	☑				☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	The service area has submitted 3 bids for the Welsh Government Circular Economy this quarter to ensure the Council works towards the national waste agenda.												

1 – Risk Overview	
1.1 Risk Description	As the Council continues to go through significant change over the next few years it is imperative that we are able to anticipate the human resources implications of such change and ensure that we have a number of people with the right skills and experience to deliver the services of the future. In managing the risk it is important to consider the particular challenges presented by the current financial pressures within the public sector, the need to ensure the engagement of staff throughout the change process and the need to plan for and respond to issues of anticipated skills shortages. We continue to experience difficulties in recruiting and retaining staff in some key service areas across the Council e.g. namely health and social care (residential care, domiciliary care). Skill shortages exist in some areas like Legal, accountancy Planning, ICT where market forces have impacted on our ability to recruit and retain skilled/qualified staff. This risk needs to be considered alongside the Council's reshaping services agenda and the potential impact the proposed model of local government reform could have on our workforce. Therefore, the innate risk is the inability to anticipate and plan for the workforce needs of the future in order to meet the changing service requirements. The risks surrounding workforce needs have been further compounded by COVID-10 pandemic. The pandemic significantly disrupted all aspects of service delivery, which in turn has put our workforce under an enormous amount of pressure as our workforce needed to quickly adapt and respond to the changing circumstances surrounding COVID. This both Human Resources and Senior Management to react quickly to the emerging crisis to enable the workforce to work more remotely in an agile way with minimal disruption to core service delivery. Hand in hand with this was the need to look at repurposing and redeploying staff to business-critical areas to respond to the growing demand on staffing e.g. within our residential and domiciliary care roles, waste collection teams and to enhance capacity within our Contact Centre to support vulnerable individuals shielding in their own homes. The Virus is likely to remain in circulation for many months/years to come, and with this in mind the workforce mitigations will need to focus on succession planning, whilst building capacity and resilience into the system. COVID however, has presented us with new opportunities that we anticipate will lead to new ways of working that will require the cultivation of new skills sets within the workforce. Therefore, the challenge post recovery, will be on how we can maximise these opportunities shape our workforce so that it is fit for the future.

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

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

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		fail to effectively identify manage and meet the variety of well-being and safety concerns that may arise as a result of home working.
Reputation	Yes	Negative perception of the Council amongst citizens as an employer impacting on recruitment and retention rates across the organisation. This is particularly applicable in light of COVID, where some front-line positions are lower paid e.g. care home staff and waste operatives, these posts may be perceived as particularly high risk areas for contracting the infection. As a consequence, these posts maybe seen as less desirable which in turn may compound recruitment difficulties.

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

A key aspect of the workforce plan (section 6/theme viii) is the need to ensure the Council have a workforce that reflects the wider community. Within this are specific aspects to ensure that measures are taken to ensure representation from protected groups under the Equalities Act 2010. A particular feature of this includes strategies to deal with occupational segregation and address the gender pay gap that exists nationally and locally. A failure to implement actions within the workforce plan would impact adversely on such equalities commitments and our reputation as an employer. |

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• CMT/Cabinet, Joint Consultative Forum and Change Management Board receives regular reports on a range of HR issues and developments. • Robust performance management arrangements in place across all service areas.	2	2	4
Resources	• Managers are supported through the management of change through training and ongoing advice from HR Officers and supported by Organisational Development. • The Workforce Plan is aligned to the Corporate Plan in relation to workforce needs. A review of corporate workforce priorities has been undertaken as part of the senior management development session and will now form the basis of a refresh of the Corporate Workforce Plan. • The HR team has been restructured in recent years to increase the information, planning and performance capacity of the team and to increase the focus on business and organisational development issues. We are now moving this forward to review the successes and drive greater efficiencies, particularly within the business partner team • The Leadership Café is an effective mechanism to support succession planning and leadership development across the Council. The Café has been rebranded during the first quarter of 2019/20 to the 'Learning Café' to broaden its focus and appeal to a wider section of the workforce. • The Management Competency Framework continues to be used to enhance skills and expertise at our Team Manager level. The competency frameworks are now complete and integrated into both iDev and the #itsaboutme process. • Management Competency Framework is live and is used with the #itsaboutme process. 'Staff Charter' is fully embedded within the organisation. Some commitments within the Staff Charter relate to celebrating success and staff recognition. The establishment of the 'Going the Extra Mile' scheme (GEM), provides an opportunity to put forward	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	members of staff in recognition for their work. These stories are then celebrated and shared with staff on the internal Staffnet. In addition to this the Council has established a Team Awards event to recognise the good work of both individuals and team across the Council. • Employee Core Competency has been launched to help identify and address skill gaps across the Council. • The Staff Engagement Strategy has now been embedded with mechanisms to evaluate ongoing engagement. There are quarterly joint CMT engagement meetings. The Vale Induction Programme contributes to our ability to build a resilient workforce, strengthen staff knowledge and understanding of the Council's vision, values and contribution to the achievement of our corporate priorities, this has recently been reviewed and refreshed following employee feedback. • HR Business Partners and Assistant Business partners continue to support managers in Change Management Reviews. Support was successfully provided in relation to the extension of the Shared Audit Service. • Chief Officer briefing sessions and management development sessions are now embedded • Apprenticeship pathway is in place to enable direct recruitment of apprentices and enables us to better support succession planning. • Regional Training and Workforce Development Unit has been established to ensure that we invest in training of social care professionals and support secondments and placements.			
Service Delivery & Well-being	• Workforce planning processes delivered with a focus on alternative service delivery and workforce implications. • The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data. • We continue to move towards a HR Self-Service model. • Organisational Development support provided to the Reshaping Services	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Programme continues to influence how we deliver alternative models of service delivery. • #itsaboutme staff appraisal process has been reviewed to ensure it remains relevant year on year to staff to connect staff activity to corporate priorities and ensures it continues to contribute to the Staff Charter and Reshaping Services Agenda. The appraisal process has been launched on i Dev. • The Council is a Stonewall Champion committed to ensuring we have an inclusive work place for all lesbian, gay, bi and trans-sexual staff. We have developed an action plan to further evidence that we have an inclusive work place. The Council has contributed to the Stonewall 2018/19 Employment Index Survey and increased the number of respondents to the survey and improved our Index position. During the year we contributed to the development of GLAM, a new brand for the Council's network for LGBT colleagues and allies. • The NJC Single Status 2019 pay award has been assimilated into a new pay and grading structure which has been agreed. This will meet our national and local reward strategy obligations and place the council lowest pay rate for employees above the Foundation Living Wage rate. • The Management Competency Framework is in place. Several management development sessions continue to be held with managers focusing on managing the future, the Digital Strategy and commercialisation. Chief Officer briefing sessions and a management development sessions have been held in accordance with the new Management Competency Framework. This work has helped ensure managers are up skilled to fulfil their roles effectively to meet the challenges facing the Council and the new ways of working as part of the Reshaping Service programme. • We have procured an E Bulk solution to provide a significant reduction administration and the time in accessing Disclosure and Barring Services (DBS)			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	certificates. The E Bulk system service is now operational. • We are in the process of reviewing the HR structure to ensure that it remains fit for purpose and that we can continue to streamline HR services that will enable staff to share and develop their skills. • Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process is under development. • Launched the Employee Core Competency and Management Competency Frameworks to help identify and address skill gaps across the Council to embed these within the #itsaboutme appraisal system. • Launched and e-pay system, which will allow employees to access their personal pay information remotely and securely from a personal device, further reducing waste and our environmental and sustainable agenda			
Reputation	• All recruitment adverts promote the Council as an equal opportunities employer. • The 'Staff Charter' is now embedded and work has commenced with the Engagement Forum to refresh the charter for the next 5 years aligned to the corporate plan. • The Council's Staff Engagement Strategy continues to be strengthened alongside an effective method of continuing evaluation. The profile of the Council as an attractive employer has been raised Contribution to the wider HR network across Wales as a promoter of innovative workforce practice. • Developed good relationships with local education establishments (Cardiff University & Cardiff and Vale College) as well as independent Apprenticeship providers. • Continue to develop strong working relationships with all our recognised trade union partners, including Unison, NAHT, NASUWT, NEU. • We are reviewing our gender pay gap to identify where progress is needed and	2	2	4

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

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

2.3 Residual Risk Scoring & Direction of Travel											
	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	2	2	4	2	2	4	↔	↔
Service Delivery & Well-being	2	2	4	2	2	4	1	1	1	↔	↔
Reputation	3	3	9	2	2	4	2	2	4	↔	↔
Average risk score/ direction of travel	3	3	**9**	2	2	**4**	2	2	**4 (Medium)**	↔	↔

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/HR001 WFR/LD001	Develop a strategic workforce plan for the next five years, which identifies skills gaps, growth areas, age profile etc and provides for mitigation. Deliver workforce planning with a focus on alternative service delivery and workforce implications.	☑	☑	☑	☑	☑		☑	☑	☑	TD DM	March 2021	**GREEN (On track)**
ACTION UPDATE:	Work on the strategic workforce plan is not due to bee progressed corporately until quarter 2. However, within Legal Services there has been ongoing workforce planning undertaken to meet the fluctuating demand for legal services, particularly during COVID-19, including allocation of relevant skills to meet the demand, with any opportunities to operate an alternative service delivery model identified and considered.												
WFR/HR002	Develop a new HR strategy with a particular focus on supporting and improving staff well-being.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2021	**GREEN (On track)**
ACTION UPDATE:	Although some progress was initially hindered by the pandemic, work on this has now resumed. First version of the HR Strategy is anticipated to be ready for consultation by August 2020.												
WFR/HR003 WFR/SL002	Create a new Employee Development Programme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD T Bowring	March 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Work associated with developing a new Corporate Employee Development Programme is due to commence later on in the year. The current pandemic has impacted on staff development, for example planned development days within the Learning and Skills Directorate could not go ahead. However, some staff development has been able to continue via online training and managers have attended corporate online engagement sessions.												
WFR/HR004	Review recruitment practices to increase diversity within the Council's workforce.	☑		☑	☑	☑		☑		☑	TD	March 2021	RED (Slipped)
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 1. As the Council transitions from its response to recovery phase, this work will commence later on in the year.												
WFR/HR006 WFR/FIT001 WFR/HS002 WFR/LD002 WFR/NS001 WFR/RP001 WFR/SRS001	Lead on reviewing the Council's Succession Planning scheme to further develop and enhance practices across services to build resilience to meet the challenges of the Reshaping Services Strategy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD CL MI DM ER MG DH	March 2021	GREEN (On track)
ACTION UPDATE:	Succession Planning template has been developed and is now available for service areas to update for their areas. During the quarter, two service areas completed the template with information. In light of COVID-19, there is the need to consider how this could be further rolled out to service areas. Within the												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Finance and Property Division, COVID-19 provided opportunities to staff around the development of new skills whilst the service met the challenges arising from COVID.-19. In some service areas such as Housing and Building services, progress in relation to succession planning has been hindered by our emergency response to COVID. However, the service will be looking to launch the Big Conversation engagement event in July to assist with future succession planning. Within Finance and Property, despite the challenges arising from COVID-19, the service has been able to offer succession opportunities to staff. Reflecting on the recent employment market changes driven by the pandemic, the Regeneration and Planning Division intends to maximise the potential of staff through training and experience-based work as well as a focus on using apprenticeships (particularly within Building Control is set to continue). In relation to Neighbourhood Services, a Highway Manager commenced post in quarter 1 which has added resilience and offered further potential for succession planning in Engineering. Funding is being identified to progress management qualifications of key staff. In relation to Scrutiny and Committee services, the section has been involved in further developing their skills in response to the requirement to undertake work more remotely in the form of hosting virtual meetings. In response to this ongoing need, new procedures have been developed to enable the virtual meeting process. All staff in the section throughout June have either undertaken or supported the school admission appeals. Mentoring will continue to be undertaken through this virtual process. Succession planning is a core feature of the daily management of legal services to ensure service delivery is resilient now and in the future.												
WFR/HE007 WFR/ALN001	Lead on the development and delivery of a Well-being Strategy for the Council.	☑	☑	☑	☑	☑		☑	☑	☑	TD DD	March 2021	**RED (Slipped)**
ACTION UPDATE:	Progress in relation to this action has been hindered by the pandemic as our resources have been focused on our emergency response to COVID-19.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/HR008	Implement a Chief Officer Appraisal Scheme as part of the Management Competency Framework to support the development of leadership and management qualities in line with the Reshaping Services Strategy.	☑	☑	☑	☑			☑	☑	☑	TD	March 2021	N/A
ACTION UPDATE:	RAG status no applicable. Action not due to commence until later in the year.												
WFR/HR009	Work with our schools, further education establishments, public sector agencies and local businesses to increase opportunities for all with particular focus on underrepresented 16-24 year olds to participate in work experience, work placements, apprenticeships and other training opportunities in line with the Council's strategy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD	March 2021	**RED (Slipped)**
ACTION UPDATE:	Action could be progressed due to the pandemic and the associated school closures.												
WFR/HR010 WFR/SL001 WFR/HS00	Expand the Council's Apprenticeship Scheme to provide a greater number and range of opportunities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD TB MI	March 2021	**RED (Slipped)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 1. As the Council transitions from its response to recovery phase, this work will commence later on in the year. Despite the impact of COVID-19, an apprenticeship position was advertised within Housing and Building Services and applicants were shortlisted. Interviews will take place once social distancing measures relaxed to allow interviews and training to take place.												
WFR/PB001 WFR/HR011	Develop and co-ordinate a range of activities as part of work to improve inclusivity in the workplace.	☑	☑	☑	☑	☑	☑	☑		☑	TD TB	March 2021	**AMBER (Minor Slippage)**
ACTION UPDATE:	Early discussions have been undertaken to establish support for a new BAME staff network. Continued support for GLAM, our LGBT+ staff and allies' network. Support for events such as Pride month and Black Lives Matter. Adoption of Welsh Government COVID-19 risk assessment process which takes into account the higher risk for BAME workers. All new PC based starters complete mandatory Equality learning module as part of their onboarding. OD and Learning Team have produced some new content on iDev to support education around inclusivity. All Members have been given access to iDev to allow them to complete the Equality Law module.												
WFR/HR012	Lead on the development of the Council's approach to supporting its employees to volunteer including the introduction of a volunteering policy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD	March 2021	**AMBER (Minor Slippage)**
ACTION UPDATE:	Although work specifically related to volunteering had been put on hold during the pandemic, the work relating to staff volunteering was undertaken as a part of our emergency response to COVID-19. The identification of staff volunteers saw us repurpose colleagues to other key roles, resulting in over 150 staff volunteering to be redeployed to roles mainly within Social Services, Environment and Housing and C1V. Over 20 staff were successfully repurposed.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/AS002	Develop a generic Job Description and Person Specification for Adult Services Social Workers that includes a requirement to undertake Approved Mental Health Professional (AMPH) training.		☑	☑	☑	☑			☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	This work will be completed in quarter 2. We have been able to successfully recruit two social workers to commence the AMHP training, and we have been able to recruit to the vacancies in the Mental Health team.												
WFR/HR005 WFR/CS001 WFR/SRS002	Develop a Talent Attraction Strategy that enables the Council to build and retain a diverse workforce with the right skills for the future. (Includes other service area initiatives around targeted recruitment to specialist posts and where there are skills gaps).	☑	☑	☑	☑	☑		☑	☑	☑	TD RE DH	March 2021	**AMBER (Minor slippage)**
ACTION UPDATE:	Work in relation to the development of a corporate Talent Attraction Strategy has slipped due to the impact of COVID-19 pandemic. Work on the development of this strategy will commence later in the year. However, within Children and Young People services, the Division continued to receive enquiries and interests in Social Work posts during the pandemic as a result of the open advert. During the period, the Division was able to maintain its recruitment activity using virtual platforms. Supporting our workforce in undertaking their roles during the current challenging time, including a focus on wellbeing, has been a key priority.												

3. Risk Management Plan – Mitigating Actions												

Risk Action Ref.	Action	Risk 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	Continue to build on existing collaborative working arrangements in the Finance Division and explore new opportunities to improve resilience in the service especially in specialist work areas and in order to deliver fully integrated working practices.		☑	☑	☑	☑	☑	☑	☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	The structure for the Shared Regional Audit Service is now agreed and work is being done to slot staff into jobs within that structure. The structure does have specialist posts within it which are now possible with the larger size of that team.												
WFR/FIT003 WFR/LD003 WFR/NS002 WFR/RP002 WFR/SL004	Up-skilling and developing flexibility in skill sets across the organisation that includes further developing the Management Development Programme and enhancing in-house training to support the development of a broader skill mix of staff who are equipped to manage and deliver services fit for the future.	☑	☑	☑	☑	☑		☑	☑	☑	CL JR ER MG T. Baker	March 2021	**GREEN (On track)**
ACTION UPDATE:	Invariably COVID has impacted on the capacity and ability of our staff to undertake training and development opportunities. However, where possible staff have been encouraged to participate training and development where possible. In particular within the Strategy Community Learning and Resources Division, staff not directly involved with our emergency response to COVID have been actively encouraged to take time for personal development during this quarter. A project team has been set up to implement the roll out of iDev to all schools in the academic year 2020/21. This will allow for a more widespread												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	development of skillsets , competencies across the whole directorate. Within Democratic Services, ensuring that our Democratic Services staff maintain an interface between teams has been a priority as part of our response to COVID-19 and the associated lockdown arrangements, with Team Members adapting well to the demands associated with covering for colleagues who have tested positive with Coronavirus and/ or have been required to quarantine. Neighbourhood Services intends to deliver in house training in quarters 3 and 4. Covid-19 has prevented the implementation of training in the first part of this financial year.												
WFR/HS003	Undertake a restructure of Building Services.		☑	☑		☑		☑	☑	☑	MI	March 2021	**GREEN (On track)**
ACTION UPDATE:	The restructure of Building Cleaning Service agreed and is due for implementation during July 2020. The review of Housing Development Service is due to be undertaken in quarter 2 . A review of Responsive repairs/ Voids and Planned has been delayed by COVID, but this work will be informed from Big Conversation outcomes.												
WFR/NS003	Expand current mobile working practises.		☑	☑				☑	☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	Call off information received, Customer Care Board provided with an update. Additional Questions and references sought from Suppliers. Contact to be made via the Mobile / Agile working Group. Update to be provided in Quarter 2. During the COVID19 pandemic, it has been clear that the requirements for mobile working is imperative, especially with staff working from Home and straight to site. Some of the services have been improved, i.e. on line payments and submission of applications. Others areas being identified. Also, back ground work being undertaken for capturing of data. We have identified trees are part of the initial project, examples provided to Adam Sargent for checking. Progress will be reported in Quarter 2.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/AS001 &WFR/RMS 001 WFR/SP001 WFR/SL003	Promote and enhance staff involvement and engagement (includes the development of an Engagement Plan in Social Services, supporting the implementation of engagement initiatives, enhancing development opportunities and provision of well-being activities).		☑	☑		☑		☑	☑	☑	SC/AP MH T.Baker	March 2021	**GREEN (On track)**
ACTION UPDATE:	Although our emergency response to the COVID pandemic has impacted on our ability to progress engagement work as it was originally intended, it has presented us with the opportunity to put staff well-being at the forefront of our engagement work. Throughout the pandemic we have consistently sought to support the well-being of staff by recognising the importance of being in regular contact with individual, enabling people to raise concerns and have meaningful conversations as to how they are feeling. Also acknowledging what staff are experiencing during this pandemic in an individual way - e.g. some are juggling childcare, caring responsibilities, some are shielding, some are living alone, others don't have the facilities to work from home has been vitally important. Some people will cope better with lockdown than others, and some will have a delay in reactions. We must be mindful of each individual and try to support them and keep engaging proactively with staff. With well-being being the key focus in terms of staff engagement as a consequence of COVID, a corporate Well-being survey has been developed that all directorates have actively supported and encouraged staff to complete. We anticipate that the findings from this survey will help to inform further developmental work around staff engagement, new ways of working as well as staff well-being. In addition to this work, within the Learning and Skills Directorate we continued to offer staff with developmental and training opportunities in the form of TIS training and mangers have attended online engagement sessions. However, the planned staff development days for this directorate have been postponed due to remote working arrangements. In Social Services, the pandemic has accelerated our use of technology to engage with individuals, and managers have used several platforms to try to ensure that people feel supported. Prior to the pandemic we had reintroduced several things to try to improve engagement such as the Adult Service Mangers Forum, the Social Work Forum, new starters time with the Management team, and a revised the programme where Heads of Service attend team meetings												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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 each of the other services within their remit across Health and Social care. There is also a plan to re-commence the previous programme where a Head of Service spends a day shadowing one of the team to understand their role and to better connect with the team. This will need to be revisited in light of the pandemic and the need to social distance, and an Engagement Plan needs to be documented in quarter 2.												

1 – Risk Overview	
1.1 Risk Description	Information Security involves the practice of preventing the unauthorised use, access, disclosure, disruption, modification, inspection, recording or destruction of information. This definition applies regardless of the form data/information may take i.e. electronic or physical.

Local authorities have a duty to safeguard the data/information in line with requirements of legislation such as Data Protection Act 1998 and Computer Misuse Act 1990. In addition to legislative requirements there are also identified standards that public bodies can work towards to further enhance and strengthen their approach to information security such as compliance with the Public Services Network Connection Certificate requirements, Payment Card Industry Data Security Standard and IS027001 that governs information security management.

The General Data Protection Regulation is a regulation that has been made by the European Parliament, The Council of the European Union and European Commission which is intended to strengthen and further unify the approach to data protection across the EU. This new regulation has applied in the UK since 25th May 2018. The principles of the GDPR are similar to the those set out in the Data Protection Act, but with additional details regarding accountability and governance requirements and specifically requires organisations to show how they comply with the principles by documenting decisions the organisation takes in relation to processing activities. The Regulations have been designed to further minimise the risk of data breaches and uphold the protection of personal data, which is likely to result ensuring robust policies and procedures to ensure good governance measures are in place. The key risk associated with this is that we fail to meet the requirements of this regulation and safeguard our information and data.

The threat from cyber-attacks and their potential impact has increased very significantly over the last 12-18 months and whilst the Council has controls in place to address cyber threats, these need to keep up with changing external threats, and our controls need to be reviewed in light of this.

Additionally, with the introduction of 365 we now have a number of threat areas that need addressing as the benefits also bring governance risks and additional exposure from the external facing internet. This will require further investment in Advanced Threat Protection systems to strengthen our existing controls. For example, we are seeing a large increase in attempts to break into Vale user 365 accounts from all over the globe and targeted, sophisticated attempts to trick users into opening infected email attachments or webpages which contain ransomware or other malicious software. Our focus going forward will be on strengthen our controls and reinforce policy with staff, backed up by further technical controls and not just paper policy.

The key risk associated with this is the failure to implement adequate information security management systems across the Council. This risk has been further intensified by COVID. In response to COVID our workforce quickly adapted to new ways of working where the emphasis has been on remote/home working. Although significant Information Security safeguards are in place to enable staff to safely and securely operate from home, there |

	has been a steep rise targeted attack which have been increasingly identified and reported which has led to the need to further strengthen existing controls. Now that the business is increasing operating using 365, there has been further investment in the purchasing of Advanced Threat Protection to enhance our mitigation against this aspect of risk.. As these new security controls are rolled over the new few months, we anticipate that this risk factor will diminish to more acceptable levels to reflect the effectiveness of the new controls in place.
1.2 Risk Owner	**Head of Finance (CL) (SIRO)**

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
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)	4 (Catastrophic)	16 (Very High)
Resources	4 (Almost certain)	3 (High)	12 (High)
Service Delivery & Well-being	3 (Probable)	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	• DPA/ICT Codes of Conduct in place together with Access to Information Procedures that is signed for by all staff and members.
• On-line training available for DPA and introduction of Employees Information Security Responsibilities. DPA training available to all members via their induction.
• Information Security & Governance Framework arrangements are in place.
• Completed gap analysis to work towards adherence to ISO27001 and work towards adoption of good practice where applicable.
• The Council has gone live with a new, hosted payments system.
• The Council has recently completed its annual IT Health Check (independent penetration and security testing) and is currently undergoing	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	assessment for a Public Services Network (PSN) compliance certificate. This compliance provides assurance and confidence in the Council's ICT security arrangements and allows connection to PSN services.			
Resources	• Building and Office security/access arrangements in place to control access to Council buildings for authorised staff, members and visitors. • Secure network including Firewall and ICT Security Manager and Compliance Team. • All laptops are encrypted, and all new desktops purchased are encrypted as standard. • Nominated systems administrators and system audit trails/admin logs maintained. • Penetration testing regularly undertaken • Corporate document retention system in place (TRIM) and FOI/Records Management Unit established. • ICT compliance team developed following ICT restructure with three FTE compliance resources. • Secure e-mail solution in place • Reviewed use of fax machines and now have a Rightfax system in place. • An enterprise-class Secure Email Gateway is in place to filter incoming email. • Review of ICT systems as part of Reshaping Services Agenda has been completed to ensure systems are fit for purpose and support the new services going forward. This work is also closely aligned to the Digital Strategy. The Digital Programme Board has now approved the Digital programme of works and systems will be consolidated going forward as individual projects are implemented. • The council is rolling out Office 365 to all staff and all staff should be migrated to 365 by the end of 2020. • Data Protection refresher training delivered to all relevant staff that incorporates the GDPR requirements. • Second internet connection has been installed at the Civic Offices. • Review of WASPI documentation remains ongoing. • The migration of the Council's WAN onto the all Wales secure PSBA network has been completed. All schools in the Vale in scope have also been migrated onto the PSBA	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	network as part of the LiDW 2 grant funded project.			
Service Delivery & Well-being	• Information Security & Governance Framework arrangements in place. • Revised the Information Management Strategy to reflect how plans to use technology will support the delivery of the Council's Corporate Plan and the expected outcomes as well as how we will manage and safeguard information that we exchange between organisations and our partners. • Implementation Plan aligned to the Strategy is in place and is being delivered. • ICT Strategy has been signed off and ICT continue to support ICT projects that fall within the Digital programme of works associated with the Digital Strategy. • Protocol to enable us to reuse information under the Open Government licence has been developed and published on our website.	1	1	1
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		**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	4	4	16	2	1	2	2	4	8	⬇ (green)	⬇ (green)
Resources	4	3	12	1	1	1	4	3	12	⬆ (red)	⬇ (green)
Service Delivery & Well-being	3	4	16	1	1	1	3	3	9	↔ (amber)	⬇ (green)
Reputation	4	3	12	1	1	1	4	3	12	⬆ (red)	⬇ (green)
Average risk score/ direction of travel	4	3	**12**	1	1	**1**	3	3	**9 (Medium /High)**	↔ (amber)	⬇ (green)

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ISR/FIT001	Strengthen the Council's approach to Information Governance to ensure our systems are robust, fit for purpose and compliant with current legislative requirements.	☑	☑	☑	☑	☑			☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	Due to COVID-19 changes to working arrangements have had to be made very quickly. Checks on security have been undertaken and advice given to services as these have been enabled.												
ISR/FIT002	Continue to work with colleagues across the Council to ensure compliance with relevant security standards, including GDPR, PCI and PSN.	☑	☑	☑	☑	☑			☑	☑	CL/NW	March 2021	**GREEN (On track)**
ACTION UPDATE:	This work has continued. Advice has been provided and checks made on particular initiatives such as the grants to businesses that were paid out in the 1st quarter of this financial year												
ISR/HR001	Review the business requirements for governance, information management controls and policies and procedures as part of the review the HR business partner structure.	☑	☑	☑	☑	☑			☑	☑	TD	March 2021	**RED Slipped)**
ACTION UPDATE:	The timing of the COVID Pandemic has significantly disrupted this planned activity and as a result this action was not progressed during quarter 1.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ISR/SRS001	Undertake a review of information security against GDPR regulations.	☑	☑	☑	☑				☑	☑	DH	March 2020	**N/A**
ACTION UPDATE:	No update available for quarter 1.												
ISR/SL001	Complete a full review of all IT systems in schools as part of Welsh Government's HWB programme. Approx. £2.1m is being invested to upgrade kit and ensure consistency in the current financial year.		☑	☑		☑		☑	☑	☑	TB	March 2020	**GREEN (ON Track)**
ACTION UPDATE:	A schools IT baseline assessment was undertaken in order to review all devices. A significant amount of work has been completed to assess the schools network infrastructure and as a result IT are currently appointing contractors to undertake cabling work in the majority of our schools. The orders have been approved for waves 1 -3.												

1 – Risk Overview	
1.1 Risk Description	Action on climate change covers two areas: mitigation and adaptation. Mitigation relates to action taken to tackle the causes of climate change i.e. by reducing greenhouse gas emissions. Adaptation relates to action taken to adapt to the unavoidable effects of climate change caused by increased concentrations of greenhouse gases from human activities. Locally the immediate impact of climate change include hotter temperatures, warmer, wetter winters, hotter, drier summers, increased summer time thunder storms and intense rainfall and the reduction of some animal and plant species, more severe flooding of coastal and river areas and also flash flooding throughout the authority. The key risk relates to our failure to mitigate against the impact of climate change.
	The Vale of Glamorgan must act as a responsible authority and in 2006 signed the "Welsh Commitment to Address Climate Change". The commitment outlines the council's contribution to the delivery of the national climate change programme, working with the local community to address the causes and effects of climate change, reduce the council's own emissions, encourage all sectors of the local community to reduce their own emissions, work with key providers to adapt to changes, and provide opportunities for renewable energy generation within the area.
	Following the publication of the Inter-governmental Panel on Climate Change's (IPCC) Special Report on Global Warming of 1.5˚C, the Welsh Government declared a Climate Emergency in Wales in April 2019. In response to this, the Leader and Deputy Leader submitted a motion to full Cabinet stating that the Council should also seek to declare a climate emergency in the Vale of Glamorgan. This motion was upheld by Full Council on 29th July 2019.
	As part of this commitment the Council resolved it will:
	- Reduce its own carbon emission to net zero before the Welsh Government's target of 2030 and will support the implementation of the Welsh Government's new Low Carbon Delivery Plan, to help achieve the Welsh Government's ambition for the public sector in Wales to be carbon neutral. - Make representations to the Welsh and UK Government's, as appropriate, to provide the necessary powers, resources and technical support to local authorities in Wales to help them successfully meet the 2030 target. - Continue to work with partners across the region to develop and implement best practice methods that can deliver carbon reductions and help limit global warming. - Work with local stakeholders including Councillors, residents, young people, businesses and other relevant parties to develop a strategy in

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

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

1.3 Impact on our contribution to the Wellbeing Goals

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

1.4 Risk Categories

Categories	Yes/No	Definition
Political & Legislative	Yes	Failure to meet legal duties in relation to the Flood and Water Management Act.

Inability to meet Welsh Government requirements for Statutory Transport Guidance as it relates the Active Travel and Learner Travel Wales.

Failure to define our vision, ownership and responsibility for addressing climate change issues. |

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

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

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Supplementary planning guidance on sustainable development in new builds is in place. • Planning Policy Wales has been updated to take account of the Well-being of Future Generations Act • Development Management – ensuring decisions on new development proposals have regard to sustainability. • The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment) • Submitted bids to Welsh Government for Environment Grants to implement environmental and countryside programmes locally. • The Corporate Plan 2020-25 sets out our priorities relevant to promoting and enhancing sustainability. • Implementation of the requirements of the Environment Act 2016. • A Regional Transport Authority to govern and promote transport matters including Active Travel. • Motion has been passed by Full Council declaring a 'Climate Emergency' in the Vale of Glamorgan and our commitment to reducing our carbon emissions to net zero. • Insight Board taken lead role on discussions and progressing work on the development of Charter in response to the Climate Change Emergency Declaration.	2	1	2
Resources	• Development of updated Carbon Management plan (CMP) • Space Programme and Asset Management Strategy • Automatic meter readings for utilities for all Vale owned buildings. • We completed the implementation of LED lighting in residential areas during summer 2018. We have been awarded a Salix Grant to update LED main road	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	(highway) lighting which is due to be rolled out in Summer 2020. A review will be undertaken during quarter ¾ on carbon money savings as a result of this project. • Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel. • Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally. • Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally. • Opportunities to seek S106 funding have been carried out as and when funding becomes available throughout the year, these have included S106 Barry Waterfront funding to carry out the signage scheme. • Council owned & leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term. • Vehicle & plant applications are being reviewed at the time of purchase; in-line with the needs of the department. • New vehicles have been purchased in-line with current environmental and health & Safety legislation. We continue to analyse vehicle utilisation via the vehicle management system and where possible vehicles are being replaced with a more suitable alternative or not being replaced at all. • Data to monitor coastal waters and erosion in this area is undertaken via in-situ equipment on site in Penarth to measure wind and tide data. • Biodiversity Forward Plan approved by Cabinet and aims and targets for services have been agreed.			
Service Delivery & Well-being	• Prioritise maintenance in all council services – including gritting, drainage, etc.	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	- Sustainable procurement outlined in procurement guideline documents - Green travel plan established and publicised to all staff - Active Travel – ensuring walking and cycling routes are provided. - Worked in collaboration with the PSB to develop a Staff Healthy Travel Charter that contains 14 commitments that will promote the use of public transport, walking and cycling, agile working and ultra-low emission vehicles. There are also actions around communications and leadership. - Internal and external publicity for individuals and organisations on how to reduce gas emissions - Minimise the risk and impact of flooding and coastal erosion via an effective Flood Risk Management Plan, flood reduction measures and a Shoreline Management Plan. We effectively monitor changes in coastal waters and coastal erosion. - BREEAM standard for major projects e.g. schools/Extracare - Local Biodiversity Plan - Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation. - Work underway on the delivery of a Flood Alleviation Scheme at Boverton and Llanmaes. - The Vale of Glamorgan Local Development Plan (LDP) 2011-2026 was adopted by Full Council in June 2017. The LDP will be the basis for decisions on land use planning in the Vale of Glamorgan and will be used by the Council to guide and manage new development proposals. - The Residential Development and Householder Design Guide, Conversion of Rural Buildings, Minerals Safeguarding and Biodiversity Supplementary Planning Guidance (SPG) and Renewable Energy SPG and			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	the Tourism and Leisure Development SPG have been approved for use alongside the LDP to support planning decisions. • Planning policy Wales has been updated by Welsh Government and will focus on sustainable development including biodiversity and flood risk and an update to Technical advice note (TAN) 15: development and flood risk is also expected in 2020/21. • A Placemaking Wales Charter has been developed in collaboration the Placemaking Wales Partnership. By developing this Charter we have agreed to support placemaking in all relevant areas of our work and promote the following principles of people and communities, location, movement, mixes of uses, public realm and identify in the planning, design and management of new and existing places. • All Active Travel maps have been completed and published. The Council is seeking finance to implement routes where opportunities arise. • The feasibility works have been completed for the bus, cycle and walking routes from Weycock Cross to Cardiff Airport. The development of a more detail design is subject to the outcome of a transport grant bid for 2019/20. • Successful delivery of grant funded biodiversity programme. Projects have included; the re-introduction of water voles at Cosmeston, woodland improvement works at Porthkerry and Cosmeston, Badger survey at Porthkerry and the Heritage Coast, Environmental education delivered at all sites, new leaflet designed for the Heritage Coast, community projects with Vale ways, Wick and Graig Penllyn, pollination project at Porthkerry and Heritage Coast plus a hedgerow connectivity project at Cosmeston. • Ten of our Parks, eight urban parks and two Country Parks have been awarded			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	Green Flag Status. Penarth Marina, Southerndown and Whitmore Bay have maintained their Blue Flag status. We have successfully maintained our Seaside Awards for Jackson Bay and Cold Knap. • The Greenlinks scheme provides transport to residents in the Vale of Glamorgan. The scheme runs five days a week and provides those unable to access regular public transport with a suitable alternative. • Council promotes the 'All Wales Concessionary Travel Scheme' and the 'My Travel Pass' on digital platforms. • Recruited volunteers to assist in the delivery of transportation initiatives. • Investment of S106 monies have improved walking and cycling access. • Delivered a programme of Biodiversity Projects funded by the Welsh Government's Single Environment Grant.			
Reputation	• Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns. • Provision of child pedestrian and cycling training in Vale schools. • Promotion of Active travel. • Production of an up to date planning guide for use by the public to raise their awareness of planning policy and decision making processes.	1	2	2
Overall Effectiveness of Controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & Direction of Travel

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/PB001 ESR/FIT001 ESR/RP001	Develop a strategic response (and associated plan) to the Council's declaration of a Climate Change Emergency including supporting the Public Services Board to undertake work to tackle climate change in partnership.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T Bowring CL MG	March 2021	**AMBER (Minor Slippage)**
ACTION UPDATE:	At the February meeting of the PSB there was an agreement to develop a Charter and undertake a community conversation on climate change. A report was also presented to Cabinet in March updating members on work to date and future plans. Officers are currently developing ideas around the community conversation which will need to take account of social distancing and also considering the timing of the engagement. PSB partners are keen that there is a green recovery and the increase in people working from home, more on-line services and discussions around links between the environment and well-being will all contribute to how the Council and partners continue to work together to tackle climate change. In addition to this, work has continued to be progressed by the Energy/Carbon Management team to implement energy saving initiatives in our buildings.												
ESR/AS001 ESR/CS001 ESR/RMS001	Review our working practices to enable us to operate more sustainably.		☑	☑	☑	☑		☑	☑	☑	SC/RE	March 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Incredible progress has been made regarding agile working within Social Services during the first quarter as a direct consequence of the pandemic. As our staff have been working from home, not travelling, and not printing or using large buildings, we have reduced our carbon emissions considerably. We are planning to continue to work from home, use more sustainable travel, and use digital means to hold meetings, rather than face to face meetings. This will enable us to be more productive with our time, as a result of less travelling and minimising any form of travel. Our approach to agile and sustainable working will be further considered and documented in our recovery plans.													
ESR/FIT002	Contribute to the Council's response to maintain and enhance biodiversity in the Vale of Glamorgan by incorporating biodiversity gains in new farm business tenancy agreements and renewals as appropriate and maximising the biodiversity value of untenanted land by reducing cutting regime of hedgerows.	☑	☑	☑	☑			☑	☑	☑	CL	March 2021	GREEN (On track)
ACTION UPDATE:	No new farm businesses have been entered into. However, any new FBT's will incorporate biodiversity gain elements. Untenanted land hedgerows have not been cut unless urgently required for H&S requirements.													

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/FIT003	Continue to meet our commitments under the CRC Energy Efficiency scheme and achieve annual certification.	☑	☑	☑	☑				☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	This work is ongoing within the team												
ESR/FIT004	Continue to implement the Re:fit (energy efficiency improvement) programme across the Council and work with services to ensure they benefit from the scheme.		☑	☑	☑				☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	The works associated with this scheme are progressing although it is likely these will now be delivered through the in-house team												
ESR/FIT005	Work towards achieving our targets in the Vale of Glamorgan Council Carbon Management Plan 2018-22.	☑	☑	☑	☑	☑			☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	This work is ongoing within the 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			
ESR/HS001	Investigate opportunities for an affordable housing development which is carbon neutral and includes Modern Methods of Construction (MMC) and off-site manufacturing.	☑	☑	☑			☑	☑	☑	☑	MI	March 2021	**GREEN (On track)**
ACTION UPDATE:	Consultation with Companies able to supply MMC packages are being investigated and local suppliers are being consulted to support the Welsh economy												
ESR/HS002	Continue to improve thermal efficiency in our existing housing stock by maximising the performance of the existing components and materials of our homes and looking at alternative fuel supplies to support carbon reduction and reduce fuel poverty.	☑	☑	☑			☑	☑	☑	☑	MI	March 2021	**GREEN (On track)**
ACTION UPDATE:	External Wall Insulation packages continue to be identified and packed into tenders ready for contractor appointment and delivery. Work is being completed with grant funded private sector organisations to investigate the potential opportunity to improve off grid heating in properties.												
ESR/HS004	Develop a co-ordinated approach to tackling fuel poverty recognising the expertise and contribution of Registered Social Landlords towards achieving this goal.		☑	☑	☑	☑	☑	☑	☑	☑	MI	March 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk 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 Welsh Government published proposals in their Better Homes, Better Wales, Better World' report which will require additional investment in Housing (Social & Private)to address energy efficiency and fuel poverty issues in existing and new homes. The Council and RSLs are planning on increasing investment in this area to respond to the impact of moving towards an aspiration of EPC A for all homes. Work with WG and a range of stakeholders is underway to develop a viable approach.												
ESR/HR001	Review our corporate policies to invest in supporting infrastructure to encourage more sustainable behaviours of employees e.g. transport to and from work, agile working, active travel, waste and recycling and reducing energy consumption.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2021	**AMBER (Minor slippage)**
ACTION UPDATE:	The action in quarter 1 related specifically to agile working and was directly associated with the pandemic. Our response to the pandemic required significant numbers of staff to work remotely. During quarter 2 work our focus will shit to our recovery plan and as this progresses, we will consider how we can manage more sustainable behaviours of employees going forward.												
ESR/HR002 ESR/NS001	Implement and promote the Public Service Board's Staff Healthy Travel Charter and encourage staff to use their cars less and to be more active.	☑	☑	☑	☑	☑	☑	☑	☑	☑	ER/TD	March 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk 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 Council signed the Vale Healthy Travel Charter on the 18 October 2019. Other signatories to the Charter were Cardiff Airport, Cardiff and Vale University Health Board, HM Prison and Probation, Natural Resources Wales, South Wales Fire and Rescue, South Wales Police, Welsh Ambulance and Welsh Government. As part of the Council's commitment to the Charter a number of initiatives have been implemented. The Cycle2Work scheme launched 27 July 2020 and will run until the 6 September 2020, this enables staff to purchase a cycle at a reduced rate through a salary sacrifice scheme. The Council have also purchased 2 electric bikes that will become part of the fleet of pool bikes held at The Alps depot. The Council will be the first LA in Wales to launch an electric cycle hire scheme with Nextbike in Penarth early autumn 2020. Due to the current Covid situation there has been a delay in getting the electric bikes added to the pool fleet and a delay in getting the NextBike scheme up and running. However, both should be in place by the end of Q2.												
ESR/NS002	Continue to develop a more environmentally sustainable fleet including the use of hybrid and electric vehicles, electrical charge points and expansion of electric bike scheme. *Includes Milestone actions:* • *Review our existing fleet with a view to purchase new vehicles (from the Neighbourhood Replacement Fund) in line with current EU Environmental Standards including the ability to operate on alternative fuel modes.* • *Review the electric bike pilot in Penarth and consider extending to other areas.*	☑	☑	☑	☑				☑	☑	ER	March 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Due to the onset of Covid-19 and inability to progress this scheme no work has been undertaken in quarter 1. As we move to recovery phase this area of work will be picked up. Electric bikes have been purchased but not yet used as training was scheduled for the week Wales went into lockdown.												
ESR/NS003	Implement the main road LED lighting scheme with the use of SALIX finance.	☑	☑	☑	☑				☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	Completed by AR 22/6/2020												
ESR/NS004 ESR/RP002	Contribute to enhancing biodiversity and addressing climate change sustainability by implementing the relevant actions contained within the Biodiversity Forward Plan, including the drafting of a Tree Management Strategy and an action plan to manage Ash Dieback.	☑	☑	☑	☑	☑		☑	☑	☑	ER MG	March 2021	**GREEN (On track)**
ACTION UPDATE:	Work will continue with relevant departments to develop a strategy, to maximise potential tree coverage. This work will include assessing potential loss of tree coverage through Ash die-back and ensuring the Councils land in both urban and rural settings provides increased tree coverage as part of a green infrastructure plan. Some progress has been hindered by COVID and the prioritisation of managing ongoing issue around Ash Die Back.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/NS005	Improve cycle and pedestrian facilities and revise the Active Travel Integrated Network Maps for the Vale of Glamorgan in accordance with Welsh Government Requirements. *Includes milestone actions:* • *Ensure all transport improvement schemes include active travel measures.* • *Promote the shift to more environmentally friendly modes of transport.*	☑	☑	☑	☑	☑	☑	☑	☑	☑	ER	March 2021	RED (Slipped)
ESR/RP003	Ensure new developments deliver appropriate sustainable travel facilities either via direct provision or through the section 106 process.										MG		
ACTION UPDATE:	As a result of our resources being focused on our emergency response to COVID-19, this action was not progressed during quarter 1. As the Council transitions from its response to recovery phase, this work will commence later on in the 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			
ESR/NS006	Monitor and assess changes in coastal morphology, including the beach and cliffs, in accordance with the appropriate Shoreline Management Plans. Includes milestone action: • Monitor the actions contained in the Shoreline Management Plan.		☑	☑	☑			☑	☑	☑	ER	March 2021	GREEN (On track)
ACTION UPDATE:	The collection of wind, wave and tide data at Penarth Pier is ongoing with equipment in-situ on site. Topographic profile surveys were undertaken in the current period at Penarth, Aberthaw and Cwm Col-huw, Llantwit Major via the Wales Coastal Monitoring Centre. A new survey grade multi-rotor drone (UAV) has been procured and planning for coastal survey trials commenced at the end of Q1. Visual inspections were undertaken at Jackson's Bay, Barry Island following reports of rock falls and the need for rock combing is being assessed.												
ESR/NS007	Revise the Local Flood Risk Management Strategy in response to the updating of the National Flood and Coastal Erosion Risk Management Strategy		☑	☑	☑			☑	☑	☑	ER	March 2021	GREEN (On track)
ACTION UPDATE:	On 15 July 2020, the Minister for Environment, Energy and Rural Affairs formally laid the National Strategy for Flood and Coastal Erosion Risk Management in Wales in the Senedd for a 40-day period, prior to full publication. The impact of updated strategy and associated measures to be discussed at SE Wales Flood Risk Management Group in Q2. Initial scoping and project initiation for delivery of updates to the LFRMS to be undertaken in 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			
ESR/NS008	Implement the Llanmaes Flood Risk Management Scheme.		☑	☑	☑			☑	☑	☑	ER	March 2021	**RED (Slipped)**
ACTION UPDATE:	Land negotiations with third party land owners have recommenced but were severely interrupted by the introduction of pandemic restrictions during the period. No specific agreements over the necessary works has yet been confirmed or formalised. Additional survey and ground investigations were also delayed by the onset of the pandemic and associated lockdown. Notices are being prepared to gain access and undertake investigations in Q2. Detailed design is on hold pending agreement of a new contract and results of ground investigations. The programme is under review, but construction is now programmed to commence in Spring 2021, subject to land negotiations, all necessary consents, including future grant application to Welsh Government.												
ESR/RP004	Undertake an annual monitoring review of the Local Development Plan. *Contributes to SP Action: Deliver the statutory planning function in order to protect, preserve and where possible enhance our natural and built environment and cultural heritage.*	☑	☑	☑	☑			☑	☑	☑	MG	March 2021	**GREEN (On track)**
ACTION UPDATE:	The Council's LDP was adopted in June 2017. Section 76 of the Planning and Compulsory Purchase Act 2004 (as amended) requires LPAs to monitor the implementation of their adopted LDPs and prepare an AMR. The Council produced its first AMR in October 2019 which covered the period 1st April 2018 to 31st March 2019. The Council is currently drafting its 2nd AMR for the period 1st April 2019 to 31st March 2020. This action refers to the preparation of the 3rd AMR and the data collection for this is ongoing. LDP objective 4 seeks to protect and enhance the Vale of Glamorgan's historic, built and natural environment in accordance with relevant LDP Policies (e.g.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	SP1, SP10, MG19, MG20, MG21, MG27, MD 1 & MD2). During Q1 262 planning applications have been determined, including 2 LBCs (Listed Building Consent) a further 21 Tree applications were also determined; 11 TCA's (Work to trees in a conservation area) and 10 TPO's (Work to trees covered by a Tree Preservation Order). 1 new Tree Preservation Order was confirmed. We also resolved 65 planning enforcement cases. Out of the 262 planning applications approved 34 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. 2 applications were approved in Green Wedges but neither approvals impacted upon the openness of the green wedge or the other reasons for their designation. 9 applications were approved within the Glamorgan Heritage Coast. The majority of approvals within the Glamorgan Heritage Coast related to existing dwellings, however, 4 approvals related to new forms of development which were considered to not detract from the character of the designation. 1 application was approved in a SSSI however this related to a proposal for the sale of food and drink on an existing developed location and would not have a detrimental impact upon the SSSI. 2 applications were approved within SINCs however, these related to a discharge of conditions application and a works to TPO trees application which did not have a detrimental impact upon the SINC. During this Quarter no planning applications have resulted in the loss of open space. 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 protect and enhance the built and natural environment: Residential and Householder Development SPG; Conversion and Renovation of Rural Buildings SPG; Public Art SPG and; Trees, Hedgerows, Woodlands and Development SPG. The Council also 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 10 of PPW.													

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
Links to SRR/SL005	Support the Council's climate change challenge priorities by progressing the feasibility and design of a low carbon building as part of the 21st Century Schools Programme.	☑	☑	☑	☑			☑	☑	☑	T. Baker	March 2021	**GREEN (On track)**
ACTION UPDATE:	We have now included two carbon zero projects into the programme and one low carbon building and are currently developing a nett zero solution.												
ESR/SL001	Work in partnership with colleagues in Neighbourhood Services and Transport and National Resources Wales to review and implement strategies to improve air quality around schools	☑	☑	☑	☑	☑	☑	☑	☑	☑	T. Baker	March 2021	**AMBER (Minor slippage)**
ACTION UPDATE:	Work on this has been on put hold due to COVID-19.												

1 – Risk Overview	
1.1 Risk Description	The UK Government's Welfare Reform has introduced the greatest change in the administration of welfare benefits for a generation. In addition to a significant change in the way in which the council will run the housing and council tax benefits service, the changes also affect Social Services and Housing Services and ultimately have an impact on the overall finances of the authority.

The changes associated with Welfare Reform relate to the Housing Benefit scheme and the introduction of the Council Tax Reduction Scheme to replace Council Tax Benefit. The Welsh Government implemented the Discretionary Assistance Fund from April 2013 and the DWP started the roll out of the Personal Independence Payment in Wales from July 2013.

Universal Credit which has replaced Housing Benefit, Job Seeker's Allowance (Income Based), Employment and Support Allowance (Income Related), Income Support, Working Tax Credit and Child Tax Credit was initially introduced in the Vale of Glamorgan in February 2016. However, full implementation in the Vale of Glamorgan did not commence until October 2018.

Originally the key facet of this risk concentrated on how we would manage our response to the Welfare Reform changes in terms of their impact on our services. Initially these challenges focused on the impact these changes would have on our ways of working (systems/processes), our workforce and our finances. Since the administration/processing of the Universal Credit claims is now undertaken by the local Job Centre Plus and the 'Universal Support' aspect is now provided by the Citizens Advice Bureau the administrative pressures associated with this risk have now diminished.

As a result, the nature of this risk has shifted more towards the detrimental financial and social impact these changes are having and likely to have on the Council and on our residents. This can be evidenced through the significant rise that has been seen in rent arrears amongst Universal Credit claimants. The ongoing risk this poses to the Council is one of a financial risk to our resources if rent arrears continue to rise and the increased demand it places on our housing and in particular homelessness services if preventative measures are not successful. Failure to get to grips with managing debt prevention and recovery could ultimately lead to an increase in possession and impact more widely no homelessness across the County. Therefore, the focus going forward is maximising opportunities to proactively support and engage tenants to effectively manage their budgets, prevent rent arrears and any potential homelessness.

In relation to the private rented sector, there are a number of reasons why a tenant may lose their accommodation, one of which includes rent arrears. It is difficult to establish the true reason for the loss of private rented accommodation, as both tenants and landlords are often reluctant to share this information. As a result, the Housing Solutions Team will record the homelessness presentation as a generic loss of rented accommodation. However, with the roll out of Universal Credit, it is anticipated that rent arears in the Public Rented Sector will rise. The impact of this is likely to be |

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

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

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

1.2 Risk Owner	Head of Finance (CL)

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

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Identification and prioritisation of key risks associated with welfare reform. • Progress reports are monitored by Scrutiny Corporate Performance and Resources. • Public Services Board has oversight of the issues/developments in relation to Welfare Reform as it is linked to the Well-being Plan Objective to reduce poverty and tackle inequalities linked to deprivation. • DWP Partnership Group and Overarching Housing Forum monitors the implementation of UC and address any issues.	2	2	4
Resources	• Budgets have been allocated to deal with expected impact of homelessness and rent arrears. • Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes. • Impact of Welsh Government reforms of the Discretionary Assistance Fund reviewed. • Impact of the Council Tax Reduction Scheme and future WG funding reviewed. • Strengthened how welfare-reform risks are managed by developing a more corporate-level approach that co-ordinates activity across the council (where one report is now presented to Corporate Performance and Resources Scrutiny Committee) • The Council has access to the Department of Work and Pensions' (DWP's) landlord portal and is able to check the status of claims and confirm rents and to process claims quickly. A system of managed payments (APA's) has been established so that housing costs for vulnerable tenants can be paid directly to the landlord to minimise arrears. • Improved our systems for monitoring rents and further automated the rent recovery process. • Provided access to a Customer Portal for tenants to retrieve up to date information on their rent account. • A Homelessness Prevention Strategy and Action Plan has been developed which incorporates homeless prevention and housing support requirements.	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Alongside this a Housing Support Grant Delivery Plan has been developed.			
Service Delivery & Well-being	• Improved the management and access to and use of Discretionary Housing Payments. • Improved engagement with tenants affected by the removal of the spare-room subsidy through: the provision of regular advice and information on the options open to them to address the financial impact of the change in their circumstances; the promotion of the 'Your benefits are changing' helpline; and the provision of support to tenants specifically affected by the removal of the spare-room subsidy to participate in regional/national employment schemes. • Supported the effective roll out of Universal Credit across the Vale of Glamorgan. • There are various initiatives/support mechanisms in place families who are experiencing financial hardships such as the Sofa scheme, provision of advice and sustaining our partnership with the Food Bank. • The Multi-Agency Landlord group meets regularly to discuss and identify how we mitigate the adverse impacts of welfare reform on tenants. For example working on a joint communication campaign to raise awareness of welfare reform. • Community Investment Team works with tenants to support them through accessing employment, promoting digital inclusion and working with tenants to participate in Time banking schemes. • Universal Credit went live on the 10 October 2018. Citizens requiring digital or personal budgeting support are assisted by the Citizens Advice Bureau. • The Council website contains up to date information and advice on Universal Credit with links to Gov.uk along with signposting to other places to get further information and help. • We continue to work alongside the DWP and act in accordance with the DWP legislation for Universal Credit only accepting claims from those who are exempt from claiming it. We also ensure Housing Benefit claim are cancelled correctly when we are notified of	3	2	6

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Universal Credit claims and send the notifications back to DWP. • Applicants are signposted for help at Citizens Advice Bureau if they need additional assistance for helping to claim UC as access is all online. If they just require access to a PC or WIFI customers are signposted to the libraries where they can access these services. • Worked with the Department of Work and Pensions to provide a range of work placement/work experience opportunities in the Council for volunteers in receipt of state benefits. • The Income Team/Money Advice Team (Housing Services) work with households in financial difficulty by provided advice and assistance on budgeting, accessing additional benefits, identifying preferential tariffs, support for backdated claims/appeals.			
Reputation	• Council's website is updated with information guides on Welfare Reform for Vale residents.	2	2	4
Overall Effectiveness of Controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & Direction of Travel											
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	3	12	2	2	4	2	2	4	↔	↔
Resources	4	3	12	2	2	4	2	2	4	↔	↑
Service Delivery & Well-being	4	3	12	3	2	6	1	2	2	↔	↑
Reputation	4	3	12	2	2	4	2	2	4	↔	↑
Average risk score/ direction of travel	4	3	**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			
WRR/FIT001	Expand the range of methods used to engage and communicate with Vale of Glamorgan citizens about our services, using digital technology.	☑	☑	☑	☑	☑		☑	☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	Due to Covid 19, all staff are working remotely. The use of technology has increased together with more use of social media to communicate with residents												
WRR/FIT002	Continue to signpost applicants to enable them to fully access support on the digital service for UC applications.	☑	☑	☑	☑	☑		☑	☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	This work has been stepped up due to Covid 19 and all claimants are now accessing services via a digital platform.												
WRR/FIT003	Continue to work with colleagues across the Council to raise awareness of Welfare Reform changes, along with coordinated money advice and employment initiatives in order to maximise rental income and reduce rent arrears.	☑	☑	☑	☑	☑		☑	☑	☑	CL	March 2021	**GREEN (On track)**
ACTION UPDATE:	Work has been ongoing via housing and finance to get information to people regarding welfare reform. More work is required to ensure this is co-ordinated across 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			
WRR/HS001	Develop a centrally located housing advice and support hub for all residents of the Vale of Glamorgan to ensure that citizens are able to access appropriate money advice and support.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI	March 2021	**GREEN (On track)**
ACTION UPDATE:	The One Stop Shop advice service commenced on schedule on 6th April 2020 managed by Pobl. However due to the pandemic the support services, including Money Advice offered by the Council have been delivered remotely. The identified premises for all of these services in Holton Road, Barry will open once social distancing rules allow.												
WRR/HS002	Develop a housing support programme strategy to prevent homelessness in the Vale of Glamorgan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI	March 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	A Homelessness Prevention Strategy and Action Plan is in place which incorporates homeless prevention and housing support requirements. In addition, the Housing Support Grant Delivery Plan has been developed and circulated to all Members.												
WRR/HS003	Prioritise tenants receiving Universal Credit for Money Advice.	☑	☑	☑	☑	☑		☑	☑	☑	MI	March 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	All new Universal Credit claimants are contacted by a Money Advisor and offered help with budgeting a well as given more information about how UC works. There has been a significant increase in the number of UC claims being received during the Covid-19 pandemic, however staff have attempted to contact every person and offered advice. It is likely that more tenants will migrate across to UC as the furlough scheme comes to an end and some workers are made redundant. Checks have been made with other Councils and they are reporting a similar trend with more people moving onto UC and increased demands on the money advice services.													

1 – Risk Overview	
1.1 Risk Description	Public Buildings Compliance relates to our responsibilities and duties as a public organisation for ensuring that all our assets are satisfactorily compliant with all current legislative building requirements. The primary risk associated with public buildings compliance is that we fail to comply with our statutory responsibilities for ensuring the health, safety and welfare of both staff and the public when using our premises.
	The Health and Safety at Work Act 1974 places specific duties on managers in the control of buildings to ensure; employees, building users and other members of the general public do not come into harm whilst using the building. Over the years, this act has been supplemented by a number of supporting regulations to ensure the safe management of; electricity, gas, asbestos, legionella, fire, lifts, etc. These duties cannot be discharged to third parties and it is the premises manager/duty-holder that is ultimately responsible for managing the risks and discharging the requirements of all the regulations associated with the building.
	Whilst the legal duty to manage a building's compliance does not in all cases sit directly with the Council's Client Teams, for example: for Schools where the duty holder would be the Head teacher, the Council has a vicarious responsibility to ensure the protection of all users of its corporate buildings. There will also be cases where as a Council we externally commission services to be delivered by a Third Party. Although we are not the responsible Premises Manager/Owner of these sites, we do hold a reputational stake in ensuring that our reputation is protected. Therefore, we need to assure that there are suitable processes and procedures in place to both establish the extent of the risks that the Council is exposed to and how those risks are being effectively managed. Equally issues around leasehold and service agreements also need to be considered in terms of any potential risk implications this has the Council where we have a vested interest in the building where services are being operated from. E.g. Community Libraries.
	During September 2017 a report was tabled at the Council's Corporate Management Team and it was agreed a major review would be undertaken of the Council's current management of compliance arrangements, led by the Director of Environment and Housing.
	The arrangements for the management of compliance and specifically the 'compliance data' for the Council's Corporate Building Stock has significantly improved and work continues to control identified gaps in compliance. Data on compliance of our corporate buildings was not previously held centrally, and this has been a matter of concern raised by the Wales Audit Office in a recent review and was subsequently identified as a proposal for improvement in the Council's Corporate Assessment. In response to these concerns it was agreed to manage corporate compliance through a central team.
	The risks associated with public buildings compliance have been further compounded by the effects of COVID-19 and in particular has impacted on our ability to manage and monitor buildings compliance. During the

	pandemic contact with some sites has been made more difficult, where there were no staff on-site. This is also applicable to some premises where the council leases the buildings to a business.
1.2 Risk Owner	**Director of Environment and Housing (MP)**

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

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
Political & Legislative	• Regular reporting of progress/updates via Insight Board, CMT and Schools Operational Investment Board. • Regular operational meetings with project team. • Monthly reporting to the School Investment Operational Board on compliance status. • Monthly compliance review meetings within Social Services Directorate to consider and review any compliance issues. • Effective monitoring of compliance in relation to schools. Regular updates continue to be received and are having the required impact with schools. This is operating well and being monitored	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
	effectively by the School Investment Operational Board. Monthly reporting received by the Learning and Skills Directorate via the School Investment Operational Board on compliance status.			
Resources	• Successful appointment of a Compliance Officer and two administrators. • Effective mechanism for the collection of compliance data from schools. • Process/mechanism established for the collection/reporting of data from Schools. • Discussions regarding cost mechanisms for service are ongoing. • Ongoing work continues to review and collate compliance data and information. A compliance system is in place to ensure that our compliance knowledge is maintained and up to date. We manage the asset record and the data to support it. • IPF database has been populated and relevant paperwork scanned onto the system. • A report has been developed to identify the status of each site and provide alerts where certificates are about to expire. Individual directorates are now receiving updates on the compliance status of their service area. Service Managers are now working well with the team to provide timely certification and reports to support their individual compliance actions. • Schools who have signed up to an agreement with us and are charged a 'minder's fee' for compliance. Any school not signed up to this are subject to regular monitoring visits.	3	2	6
Service Delivery & Well-being	• Site visits are conducted on all school sites and corporate (Council owned) assets where Corporate Compliance team have been engaged. • IPF database is fully populated and documentation is entered onto the system to capture compliance evidence/information with service dates being updated at the same time. Individual site managers are provided regular updates on compliance position with advance notification of certificate expiry. • Officers are working with individual sites to address any issues which have been identified during the visits.	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact Score**	**Total Score**
	• Regular reminders sent to duty holders of premises for up and coming services/inspections. • Inventory for Social Services assets has now been completed to provide full picture of compliance in relation to Social Services. • Monitor corporate building compliance within schools. Schools have welcomed and engaged with the second cycle of visits. Operating these site visits has enabled us to develop a good understanding and picture of compliance across schools in the Vale of Glamorgan. • Regular and up to date reporting with respect to the position of building compliance in relation to the Learning & Skills Directorate's building assets (including schools). It is reviewed monthly at School Investment Operational Board.			
Reputation	• The response from schools and other sites has been very well received and better than expected.	2	2	4
Overall Effectiveness of controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BCR/FIT001	Continue to support the monitoring of corporate building compliance data including supporting managers to use the CIPFA (IPF) asset management system to record asset information.	☑	☑	☑	☑	☑			☑	☑	CL/LC	March 2021	**RED (Slipped)**
ACTION UPDATE:	Due to COVID-19 this has slipped but will be picked up later in the year.												
BCR/FIT002	Review the way in which compliance issues are managed across the authority.	☑	☑	☑	☑				☑	☑	CL/LC	March 2021	**N/A**
ACTION UPDATE:	Action is not yet due to commence. Review of compliance issues is conducted annually.												
BCR/RMS001	Lead on putting in place effective and robust building compliance arrangements in relation to our Social Services buildings that we operate services in and from.	☑	☑	☑	☑	☑			☑	☑	AP	March 2021	**GREEN (On track)**

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Catering manual review complete. Compliance records up to date at start of COVID crisis and essential checks have continued in buildings operational during lockdown. Meetings with other service areas will recommence when other teams/services return to relevant buildings												
BCR/HS001	Monitor corporate building compliance within Schools to raise awareness with premises Managers of any compliance risks.	☑	☑	☑	☑	☑			☑	☑	MI	March 2021	**GREEN (On track)**
ACTION UPDATE:	The pandemic has enabled the team to work with all schools and premises managers raising the awareness and importance of building compliance. Specifically, the importance of legionella management and Gas servicing has been brought to the fore with awareness about the importance of continued management of water services particularly when buildings are empty.												
BCR/HS002	Provide regular compliance updates to the School Investment Operational Board (SIOB).	☑	☑	☑	☑	☑			☑	☑	MI	March 2021	**GREEN (On track)**
ACTION UPDATE:	Monthly updates are being provided to the SIOB for review and to understand where individual schools are in relation to compliance. This has become more important during the pandemic to ensure schools are safe to reopen as quickly as possible.												
BCR/HS003	Review funding arrangements to ensure long term building compliance sustainability.	☑	☑	☑	☑				☑	☑	MI	March 2021	**RED (Slipped)**

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	No progress made as our emergency response to COVID has taken precedence.												
BCR/HS004	Undertake regular public buildings inspections to ensure we meet our building compliance responsibilities.	☑	☑	☑	☑	☑			☑	☑	ER	March 2021	**GREEN (On track)**
ACTION UPDATE:	Regular site inspections continue to take place with individual building managers being informed of any shortfall where necessary.												
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 2021	**GREEN (Completed)** Action completed and will be reflected as a control in the Register
ACTION UPDATE:	Regular reporting is now in place and is reviewed monthly at School Investment Operational Board. This proved to be of significant benefit in ensuring all schools were safe to reopen after the lengthy period of closure. This is now firmly embedded and can be considered business as usual.												

1 – Risk Overview	
1.1 Risk Description	The Council has produced a Corporate Safeguarding policy including the Safer Recruitment Policy, the Staff Supervision Policy and the Referral of Safeguarding Concerns procedure. These policies and procedures are in place to ensure the Council meets its safeguarding responsibilities in relation to the protection of children, young people and adults at risk by ensuring that recruiting managers comply with pre-employment DBS and reference checks and once in post, employees are supervised in terms of their practice with people considered to be 'at risk'. The Council will also have a responsibility to comply with the Wales Safeguarding procedures when they are launched in November 2019.

The Provider Performance Protocol provides a framework for escalating concerns about safeguarding issues and the impact on vulnerable people arising within care homes and other relevant commissioned services.

Should these procedures not be followed there could a risk of injury or harm to individuals. Injury or harm could also lead to financial loss to the council in terms of compensation claims and reputational damage to the council, leading to a loss of public confidence in key services. The likelihood of this risk occurring increases if policies and procedures are not frequently reviewed and updated, or if compliance with these policies is not fully implemented across the council. Therefore, the overarching risk is that corporate safeguarding procedures may not be sufficient, followed, or are ineffective.

Of huge concern is the impact that the pandemic will have on children and young people at risk of abuse and or child sexual exploitation. During the pandemic, children may be at a higher risk as traditional face to face contacts with statutory services such as teachers, health care professionals, which help mitigate and respond to any emerging risks have been reduced. Although, services have adapted their processes to operate digitally, it does not replace the benefit of regular face to face contact when it comes to safeguarding matters. The pandemic has heightened our awareness of the 'Duty to Report' and we have undertaken a Facebook campaign to enhance the public's awareness of Social Services and the '101 telephone number' to report any concerns about the safety/welfare of children, young people and adults. The concern is that the impact of COVID-19 and the associated restrictions will contribute to a surge in demand for our children and young people services. |
| | |
| **1.2 Risk Owner** | **Head of Resource Management and Safeguarding (AP)** |

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

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

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	and corporate safeguarding arrangements. - The Corporate Safeguarding Group (CSG) meet quarterly and they have developed a work plan to help monitor the implementation of the Corporate Safeguarding Policy. A designated safeguarding page has been designed which will hold all the details of the CSG policy, personnel with links to relevant policy/procedures and other guidance to support safeguarding practice and awareness. - On-going regular CSG meetings taking place which a review of the action plan. A smaller task and finish group has been developed to concentrate on specific actions within directorates across the local authority. Progress on the action plan and the CSG remit is reported annually to each cabinet and scrutiny committee. - Child Practice Review and Adult Practice Review Sub-groups are well established. On an ongoing basis, thematic learning from these and associated reviews are collated and presented to the Safeguarding Board to inform the work programme of the Safeguarding Board sub-groups.			
Resources	- Safer Recruitment Policy is in place to ensure safeguarding checks are carried out on staff working with the public and vulnerable people. All schools in the Vale of Glamorgan have also adopted the policy. - The Council's Duty to Report Safeguarding Concerns procedure is in place to provide employees with guidance on how to refer vulnerable people about whom they have concerns to Social Services/C1V. - Staff supervision policy in place for Social Services to regularly monitor quality of practice of those working with vulnerable people. - All elected members and staff who come into contact with children on a regular	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	basis receive training on safeguarding and child protection issues and the Council's corporate policy on safeguarding. For staff there is mandatory safeguarding training on Regional Safeguarding Board training, safer recruitment training given through mandatory recruitment and selection course; e-learning module in relation to safeguarding children. • Regarding safer recruitment, an escalation process has been put into place to challenge schools that fail to conform to current policy. • The application of the Safer Recruitment policy continues to be promoted within Service areas and is monitored on an ongoing basis, with reports to Cabinet and the relevant Scrutiny Committee on a six-monthly basis. The Safer Recruitment policy has been adopted in all schools within the Vale of Glamorgan. • We have a Local Authority Designated Officer who is accountable for safeguarding and the protection of children and young people and adults in accordance with safeguarding requirements. • Launched a new Safeguarding hotline to support staff to have a single point of contact to report any concerns they have regarding the wellbeing of an adult or a child and fulfil the Duty to Report. • Staff continue to be supported via training sessions to ensure all staff are trained in the four core modules of the new Act. • The Regional safeguarding board has facilitated the opportunity to attend updated APSO training for nominated adult services staff. This training has enabled designated personnel to maintain their requirement for annual training. The Welsh Community Care Information System (WCCIS) has streamlined the adult safeguarding process in terms of recording enquiries and decision making within 7 days.			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• The i-Dev mandatory module for Safeguarding was rolled out to all Vale of Glamorgan employees in November 2017. • Data linked to CSE is collated on a monthly basis and is reported through annual reporting. The Regional Safeguarding Children's Board has recently piloted a 'deep dive' case audit using the CEF tool and findings from this audit will be considered and how to implement within the local authority. Recommendations from this audit have been presented to the Business Planning Group of the Regional Safeguarding Board. • The new Wales Safeguarding Procedures were launched in November 2019, led by Cardiff & Vale Safeguarding Board with the chair of the Project Board being the Director of Social Services from the Vale of Glamorgan. These national procedures will be formally adopted and then implemented by regional safeguarding boards by March 2020.			
Service Delivery & Well-being	• Provider Performance Protocol procedures are embedded in relation to the managing of commissioned services. • Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely and appropriate action. • Obtain the views of children and adults at risk/their families and implement protocols in respect of abuse and neglect • A Child Sexual Exploitation Strategy has been developed and a Sexual Exploitation Risk Assessment Framework referral process is in place. • Information sharing protocols are in place and used appropriately. • Ongoing implementation of the actions arising from Operation Jasmine with a particular emphasis on bringing together policies and processes and reviewing the escalating Concerns Policy.	3	2	6

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• 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.			
Reputation	• Obtain the views of children and adults at risk /their families and implement protocols in respect of neglect and child sexual exploitation. • Information sharing protocols are in place and used appropriately.	3	1	3
Overall Effectiveness of Controls		**3**	**2**	**6**

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SR/ALN001 SR/SP001	Implement the Wales Safeguarding Procedures are embedded in practice within all education settings and in-house and monitor and challenge compliance.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/MH	March 2021	**GREEN (On track)**
ACTION UPDATE:	Within the Learning & Skills Directorate, a training resources have been updated incorporating changes required by the new procedures has been developed. and delivery is underway. This training programme to staff is ongoing and many have already received this training. This process will continue throughout the academic year to ensure that all staff receive the appropriate training.												
SR/AS001	Implement/adhere to the Wales Safeguarding Procedures as it relates to Adult Services.	☑	☑	☑	☑	☑		☑	☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	Staff training sessions have been commissioned but had to be cancelled due to the pandemic. We are working with the Regional Training Unit to re-establish the training. All staff are aware of the procedures.												
SR/RMS001	Support the full roll out of the Wales Safeguarding Procedures to our workforce. (Milestone Action) *Contributes to SP Action: Embedding a consistent approach to safeguarding to ensure that we can effectively safeguard our citizens from abuse, harm and neglect.*	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	The new Wales Safeguarding Procedures were launched November 2019. There is an implementation group through our regional safeguarding board and the key components of embedding and implementing in practice is the focus. Information has been disseminated to staff via newsletters and practice briefs. Training offers have been delayed due to the impact of capacity and resources associated with the COVID-19 response.												
SR/RMS002	Develop a mechanism to utilise learning associated with safeguarding. (Milestone) *Contributes to SP Action: Embedding a consistent approach to safeguarding to ensure that we can effectively safeguard our citizens from abuse, harm and neglect.*	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2021	**GREEN (On track)**
ACTION UPDATE:	Development of a learning framework is being developed via the Regional Safeguarding Board, this will enable appropriate dissemination of key learning from reviews and will support a range of platforms and approaches to improve and enhance safeguarding practice.												
SR/RMS003	Support the implementation of the Exploitation Strategy and associated action plan. (Milestone action) *Contributes to SP Action: Work with partners to developing a thematic approach to how we enhance our knowledge and understanding of exploitation and how this can be used to information policy and practice.*	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ	March 2021	**GREEN (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 Exploitation Strategy has been ratified by the Regional Safeguarding Boards. A project group has been set up to identify the priorities for the region and develop an associated action plan												
SR/RMS004	Support the delivery of exploitation priorities as identified by the Corporate Safeguarding Group. (Milestone action) *Contributes to SP Action: Work with partners to developing a thematic approach to how we enhance our knowledge and understanding of exploitation and how this can be used to information policy and practice.*	☑	☑	☑	☑	☑		☑	☑	☑	AP/NJ	March 2021	**GREEN (On track)**
ACTION UPDATE:	The Corporate Safeguarding Group will be citied on the delivery and action plan of the Exploitation Strategy with oversight of the priorities and link in across all directorates.												
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 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Milestone Action: Ensure robust procedures are followed in the recruitment of key posts requiring DBS checks.												
ACTION UPDATE:	In light of the Covid19 pandemic, the Corporate Safeguarding meetings for Q1 have all been postponed. In terms of Safer Recruitment, the figures for Q1 in 2020 are 100% compliance in comparison to 99% in 2019 - this is for both Schools and Corporate staff.												
SR/SRS001	Support the three Councils to meet the Wales Audit Office recommendations placed upon them in respect of safeguarding.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DH	March 2021	**N/A**
ACTION UPDATE:	Update not available for quarter 1.												
SR/SRS002	Undertake a series of activities to safeguard the vulnerable to ensure that children are protected from harmful substances and products, older people are protected from rogue traders and scams and vulnerable people are not subject to exploitation, slavery and trafficking.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DH	March 2021	**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: Deliver the Shared Regulatory Service Business Plan actions *(set out in section 6.2 of the Plan).*												
ACTION UPDATE:	Elements of the Shared Regulatory Services Business Plan 2020-21 have been delivered as far as possible in Quarter 1, alongside the SRS response to the COVID 19 pandemic which has included a significant amount of enforcement of the Health Protection Coronavirus Restrictions (Wales) Regulations and providing staff to work on the Test Trace, Protect initiative. This has included working with care homes in relation to infection prevention and control, resolving complaints and service requests regarding Covid-related matters and non-compliance with the regulations. Further work has included market surveillance of hand sanitisers and face masks, determining if holiday accommodations were operating correctly under the Regs and providing advice and information across the various functions of SRS. In terms of TTP staff from all teams within Shared Regulatory Services have been dedicated to assist in the Welsh Government's Test Trace and Protect strategy to prevent the onward spread of Covid-19 which was launched on 1st June 2020.												
SR/SL001	Continue to work in partnership to maintain rigorous safeguarding protocols as part of the 21st Century School Investment programme governance scheme and monitor compliance.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T. Baker	March 2021	**GREEN (On track)**
ACTION UPDATE:	The Council's School Investment Operational Board and School Investment Programme Board bring together colleagues from across the Council to monitor progress and compliance across the many aspects of the Council's School Investment Programme. These meetings have continued remotely during the coronavirus pandemic.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SR/SL002	Continue to monitor and enforce policies for schools visits and support safer recruitment in schools via a new training system.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T. Baker	March 2021	**GREEN (On track)**
ACTION UPDATE:	A project team has been set up to implement the roll out of iDev to all schools in the academic year 2020/21. This will allow for a more widespread delivery of training in relation to policies of this nature.												

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

	strategies from the Pandemic. Equally, managing customer expectations for accessing health and social care at a time when there continues to be demand for our services will continue to be an ongoing challenge as we manoeuvre our way through the COVID-19 crisis and seek to change how we deliver services in the future.
1.2 Risk Owner	**Head of Adult Services (SC)**

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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
Political & Legislative	Yes	Inability and capacity of key partners to work effectively together to deliver integrated health and social care services across the region. This is particularly pertinent in the context of COVID, as our resources and the resources of our health partners have been reprioritised and redirected to address pressures related to COVID. Failure to put in place effective governance structures to ensure accountability and transparency in decision making which could have a detrimental impact on the ability to integrate health and social care services.
Resources	Yes	Failure to effectively project plan, manage and communicate changes to models of service delivery resulting in delays and/or compromising the quality and delivery of integrated health and social care services. Inability of staff to work effectively across organisational boundaries to deliver the integrated health and social care programme, as a result of capacity of key team members whilst managing operational issues, and lack of experience in managing projects. Collaboration by partners could become increasingly more challenging in light of COVID-19, as we along with our partner organisation seek to focus our resources on our recovery from the pandemic, if we work in silos this may compromise identification of opportunities to deliver services differently and not effectively use resources in a collaborative way. Failure to implement a fully integrated IT information system that is accessible to staff across the health and social care organisational boundaries. Failure to agree pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny.

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

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Information Sharing Protocols developed and operational. • Integration of Health and Social Care is considered at all levels of the organisation through the leadership group and the strategic implementation group. • Arrangements are reviewed through regular reports to Scrutiny Committee Healthy Living and Social Care Committee. • Significant changes to structure and staff arrangements are considered by Cabinet. • Cabinet Member and Managing Director are members of the Regional Partnership Board that oversees integration and the work of the Integrated Health and Social Care Partnership, including access to resources for the Integrated Care Fund (ICF) and Transformation Fund. • Senior managers are linked into the Dementia Action Groups as appropriate. Head of Adults Services attends the Welsh Government Steering Group - Dementia Oversight and Implementation Group on behalf of all Heads of Adults Services across Wales and more	2	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	recently co-opted onto the Learning Disability Ministerial Advisory Group.			
Resources	• Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board. • Developed the ability to view both database systems via Vale IT. • Implemented WCCIS within the Vale of Glamorgan Council whilst awaiting regional implementation by partner organisations. • IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Head of Performance and Development. • Joint Commissioning Board meets regularly to progress work for pooled arrangements. • Contact Centre Development meetings are held fortnightly to review and monitor functions and future business streams. To further improve integrated services at our 'front door', we have commenced engagement work across the Contact Centre in relation to C1V Call Handlers, Customer Service Representatives for Adult Social Care and Call Handlers in relation to Health Services in order to further develop and enhance a more 'seamless' model of service provision in line with the recommendations arising from the Parliamentary Review. • Regular quarterly data from Paris on the number of Health to Health transfers is being received. • Grant funding was awarded during 2018 to continue the development of the Single Point of Access Services to meet the recommendation of the Parliamentary Review of health and Social Care .We have established a Joint Staff Forum and work plan with a joint induction and training programme planned. • We have welcomed additional health staff into the Ty Jenner Hub and the Locality team and links with the PCIC Clinical Board are extended. • 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.	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• We monitor implementation of the ICF Revenue, Capital and Slippage Schemes and work positively with partners including Cardiff Council, Cardiff and Vale UHB and Third Sector Organisations to deliver good quality services for the residents of our Region. • Work on Exit Strategies from shot term funding is ongoing to ensure we are able to effectively plan for the future.			
Service Delivery & Well-being	• DEWIS Cymru Portal is providing more effective signposting for service users to adult services. • Continued to develop the Customer Contact Centre as a single point of access for community health and social care services through expanding the range of services that are available. • Reviewed and put in place new assessment processes and IT infrastructure to ensure compliance with the Social Services Wellbeing Act. • Effectively use funding including the Integrated Care Fund and Transformation Fund to explore new models/ways of working to further enhance integrated service delivery. Integrated Community Resource Teams and wellbeing co-ordinators that are linked to GP practices which has increased the capacity to support people to become more independent. The ICF has also been used to develop a commissioning strategy for accommodations with care and the creation of 6 intermediate care beds at the Ty Dyfan reablement unit to support older people following hospital discharge to regain their independence. (Currently repurposed to assist with patients needing to isolate on discharge due to Welsh Government guidance regarding managing discharges during a pandemic). • The Welsh Community Care and Information System was launched in November 2017 to enable the safe sharing of information to deliver improved care and support for residents that also ensures compliance with the Social Services Well-being (Wales) Act. There is also ongoing developed in relation to • The financial functionality of the system. We continue to support the	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	implementation on a Regional basis and feed into the National team. • Joint Care Package approval process has been agreed with Cardiff and Vale University Health Board (UHB) for use on complex hospital discharges. This work is aimed to reduce the numbers of delayed transfers of care for social care reasons. • Established a successful Outcome Focused Case Management project called 'Your Choice'. This approach has received significant attention from external organisations interested in replicating the model to demonstrate the measurement of outcomes for service users and we won a Social Care Wales award. The pandemic has accelerated the implementation of this project, through the development of contingency plans' as our plans for responding to the pandemic and the likelihood of our workforce (internal and externally commissioned) being adversely affected due to the number of Covid related cases. • All Community Mental Health Teams have now moved to Barry Hospital to form the Integrated Mental Health team. The Vale's Locality Mental Health Team has been established and is now operational. • Get Me Home Plus has been implemented and established into discharge structures. • Team Around the Individual has been implemented and established within care and support structured. The clinical model to support this cohort of patients is being reviewed currently to ensure it is benefitting patients and staff are appropriately supported.			
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)**	⬆️	⬇️

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
IHSR/AS001	Extend the GP triaging pilot through effective implementation and evaluation.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	The pilot was due to transition from a GP Practice into the Council's contact Centre as the next step of the implementation. However, as this was due to happen the week prior to lockdown, the decision was made to retain staff initially at the practice to support them. However, due to the need to prioritise call handlers, we had to temporarily pause the project delivery. However, the project team have continued to analyse data in practices within the EV cluster, so that they can re-instate the project when appropriate. They have done lots of reflection on the project to date, and also the lessons learnt. The experience has been able to inform the development of other strategic schemes planned within the UHB for the benefit of patients in managing urgent care. Early in quarter 2 a decision will need to be made regarding the pilot, as funding is only secured until the end of this financial year.												
IHSR/AS002	Develop more 'closer to home' and strengths-based services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	Strengths-based and outcome-focussed approaches are seen as fundamental to high quality adult social care. To this end, Adult Services Management Team will develop a dedicated training programme to support this approach across all services - case management, Day Services and in partnership with private providers. The Closer to Home Regional Learning Disability working group has been suspended but on-going work in respect of developing the Transition Smart House and looking at a further development with First Choice Housing Association. Plans to expand Adult Placement Service are in place but no progress to report during this quarter.												

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			
IHSR/AS003	Development of an 'alliance model' within the Vale locality that will enable us to operate more effectively across organisational boundaries.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	An appointment has been made to the Vale Locality Manager position, and the post holder commenced the post part-time in June. This post will become full time in quarter 2. This will release capacity for the Head of Adults/Vale Alliance to progress this work further. Preliminary scoping meetings have taken place, and a workshop will be planned to take place in quarter 2 to articulate the vision and the work programme for the development of the Alliance model.												
IHSR/AS004 Links to Legislative Change Risk)	Create a sustainable and integrated model for single point of access to Well-being Matters Services (via the Contact Centre).	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**RED (Slipped)**
ACTION UPDATE:	Much of the preliminary work has had to pause in this project due to the pandemic. Many Health staff have been repurposed to support the 'Testing' functions. Also, many of our Council staff have been relocated and are either working from another base, or home - this means that we need to revisit the engagement programme and the timelines for this project. However, this project is very much one that managers and staff across the partnership of C1V, UHB, Third Sector and Adults Social Care remain committed to undertaking and progressing when the time is right, and it is envisaged that the project will recommence in Qtr. 2.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
IHSR/AS005	Review and develop our commissioning strategies to ensure that we can continue to meet the needs of our citizens both now and in the future.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On track)**
ACTION UPDATE:	Completed Learning Disability Commissioning strategy. Lessons learnt from the process will be used to inform other areas within adult services to develop their own strategies. We are working with regional colleagues to ensure we have a consistent approach going forward.												
IHSR/RMS001	Implement an outcomes-based approach to commissioning contracting services across both a regional and localised footprint.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2021	**GREEN (On track)**
ACTION UPDATE:	This action is on track and due for implementation in September.												

Return to Risk Summary Report

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

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

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

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

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

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

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

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	Advocacy as accessed through the Gateway. Gateway provider will monitor demand for advocacy and Independent Advocacy to inform future commissioning intentions. This work will lead to the Cost effective commissioning of advocacy Services that meets the needs of service users.			
Reputation	We have formed good relationship with Welsh Government, Regulators and Key Partners and feed into the Association of Directors of Social Services (ADSS).	1	2	2
Overall Effectiveness of Controls		**1**	**2**	**2**

2.3 Residual Risk Scoring & Direction of Travel

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

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3. Risk Management Plan – Mitigating Actions													
		Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DOLR/RMS001	Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2021	**RED (Slipped)**
ACTION UPDATE:	Code of Practice to support Liberty Protection Safeguards are still awaited. The COVID-19 pandemic has meant that Welsh Government has pushed back the original implementation date of Oct 2020 and we are awaiting further information. Work has begun on reviewing team structure, resource and the Partnership Board meet regular to have a strategic overview.												
DOLR/RMS002	Implement, with the advice of Legal Services, the requirements of the Liberty Protection Safeguards (subject to publication of the relevant Code of Practice)	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2021	**RED (Slipped)**
ACTION UPDATE	Code of Practice to support Liberty Protection Safeguards are still awaited. The COVID-19 pandemic has meant that Welsh Government has pushed back the original implementation date of Oct 2020 and we are awaiting further information. Work has begun on reviewing team structure, resource and the Partnership Board meet regular to have a strategic overview.												
DOLR/RMS003	Utilise the ADSS Matrix Prioritisation Tool when assigning resources to meet demand under the current DOL processes.	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2021	**GREEN (On track)**
ACTION UPDATE:	The ADSS Matrix Prioritisation Tool is used consistently to prioritise applications being received. This has resulted in a more equitable output for each of the partners, however, the demand for DoLS authorisations continue to outweigh the ability to meet all within appropriate timescales.												

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/RMS004	Establish a robust monitoring mechanism over a regional footprint to provide effective monitoring of DoLS across the region overseen by the Deprivation of Liberty Safeguarding Board.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2021	**GREEN (On track)**
ACTION UPDATE:	Monthly data reporting has been put in place across the partnership, with quarterly monitoring taking place through the DoLS Partnership Board.												
DOLR/RMS005	Identify and utilise data from the DoLS team to monitor outstanding requests for deprivations.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP	March 2021	**AMBER (Minor slippage)**
ACTION UPDATE:	Staff training sessions have been commissioned, but had to be cancelled due to the pandemic, we are working with the Regional Training Unit to re-establish the training. All staff are aware of the procedures.												

1 – Risk Overview	
1.1 Risk Description	The Social Services & Wellbeing (Wales) Act 2014 has integration of health and social care at its core. The effective sharing of information is a fundamental foundation of integrated working and should be applied on a "once for Wales" basis. Welsh Government has significantly invested in the capital programme to support the development and implementation of an integrated information system across health and social care services. This system is known as Welsh Community Care Information System (WCCIS) and is the replacement to the social care information system known as SWIFT.

The new system will provide an integrated electronic record system for social care, primary and community health services, mental health services across both adult and children and young people services. This will be a national system intended to be used across all Welsh local authorities and Health Boards. It is essential that we implement a fully integrated electronic record system to ensure information is shared appropriately and that residents of the Cardiff and Vale are safeguarded.

The WCCIS procurement process ended in 2015. All 22 local authorities and health boards are enabled to procure WCCIS, as a replacement for their existing information system.

The Cardiff and Vale region have agreed in principle to collectively contract with WCCIS to enable integrated working to become a reality. However, to date Vale of Glamorgan Council is the only partner to have signed a deployment order with the supplier, Careworks. Cardiff and Vale UHB and Cardiff Council are currently going through processes to determine the scale of their adoption of WCCIS. However, the overall aim remains that all three partners will utilise WCCIS over the coming years.

Initially there were some delays with the implementation of the system, which have since been addressed. And although WCCIS went live during November 2017, there were a series of obstacles to overcome in order to ensure full transition to the new system so that all aspects of the system are fully utilised and embedded. The risk previously was in relation to the inability to interface with the legacy system (SWIFT), and to fully embed and utilise the system to its full potential in integrated health and social care, which has since been resolved. There were previously issues problems associated with performance reporting, but this has since been resolved as a significant amount of data cleansing work has been undertaken to verify the accuracy of the data. We have also upskilled our staff to create and design data and dashboard style reporting. The emphasis of the risk has now shifted onto a more regional focus where the risk is the 'Inability to safeguard our citizens across Cardiff and the Vale as result of not implementing an integrated case recording system over a regional foot print which will impact on our ability to share information effectively across organisational boundaries'.

The next phase of development will focus on exploring the financial functionality of WCCIS to ensure all our social care charging and invoicing is |

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

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

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

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

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

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

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	including the development of new forms etc. • Established a 'clinic' for users to attend to discuss their forms and requirements. • Dashboards within WCCIS have been developed to enable staff to manage their own data have been completed. • A WCCIS Wizards Group for Superusers is well established to help practitioners with the development of the system. • WCCIS Operational Group is well established that enables the identification and resolution of areas of concern.			
Reputation	• Effectively managed expectations and raised awareness with our Regulator (Care Inspectorate Wales) and Welsh Government regarding any limitations associated with reporting. • We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so. • Performance staff are being trained and continue to learn and develop their expertise in building reports in order to access data and prepare reports using SQL databases. Linked with other WCCIS sites to share knowledge and skills	2	1	2
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	4	16	2	2	4	2	2	4	↔	↔
Service Delivery & Well-being	4	3	12	2	1	2	2	3	6	↔	↔
Reputation	4	4	16	2	1	2	2	4	8	↔	↔
Average risk score/ direction of travel	4	4	**16**	2	1	**2**	2	3	**6 (Medium)**	↔	↔

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WCSR/RMS 001	Develop our use of technology to optimise how we contribute to improving the planning and co-ordination of social care services to our citizens. *Associated Milestone: Explore the use of technology to support payment for certain services. (e.g. WCCIS Financial Module development)*	☑	☑	☑	☑	☑		☑		☑	AP	March 2021	**GREEN (On track)**
ACTION UPDATE:	Due to the COVID-19 situation the development of the WCCIS finance module has been hindered as direct input of staff from Advanced is required. Consideration is being given as to whether this can be achieved through virtual meetings with the platform provider. Residents in homes are also using various platforms to be able to continue communicating with their families.												
WCSR/RMS 002	Co-ordinate the implementation of a new Welsh Government Performance Measurement Framework across Social Services.	☑	☑		☑	☑				☑	AP	March 2021	**AMBER (Minor slippage)**
ACTION UPDATE:	The Pandemic has impacted upon the implementation of the new performance measurement framework and the final metric guidance is to be published by Welsh Government. Whilst good progress has already been made in preparation for reporting on the new measures from WCCIS, some staff involved in coordinating this work are now repurposed to other roles. Clarification is required on the timescales for submission of the new measures and work will be undertaken within Welsh Government and with local authorities to ascertain the best timing for this work.												

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 regularly by CMT and feeds into regional reporting we provide to the WLGA as part of EU Preparedness Advisory Panel. We recognise too 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 in talks with the European Union on a potential Brexit trade deal. At present, the UK Government has not requested an extension to the talks with Europe. As work progresses, the greatest difficulty we will face locally is in overcoming the challenges posed by Brexit and coronavirus. There is a risk that whilst

	our attention and resources are drawn to immediately address 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.
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 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.

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		Impact of Brexit on the supply chain, disrupting access supplies and services from EU. This has the potential to significantly disrupt service delivery particularly in relation to vulnerable groups.

Disruption in food supply could impact on our ability to provide cooked meals to children in schools, adults in residential care settings and our Tourist attractions/Country Parks. Increased risk of food contamination due to changes in food inspection regimes at ports.

Disruption to fuel supply could impact on our ability to deliver services such as waste collections and the ability of staff to get to work.

Shortages in medical supplies/specialist equipment could have a detrimental impact on discharge from hospital and ultimately on the health and well-being of our citizens. Issues experienced around the availability of key medical supplies such as PPE during COVID could further aggravate the supply chain concerns post-Brexit.

Increased risk of counterfeit/fraud of goods/supplies such as pharmaceutical products, materials (building materials, electronic parts, vehicle parts), food and supplies such as cleaning products, sanitary products impacts not only on quality but also on overall service provision.

Failure to appropriately support children in the local authority care who are EU nationals through applying on their behalf for the right to remain through the EU Settled Status Scheme.

Inability to support citizens who are impacted by the changes resulting from Brexit and its uncertainty. Increased demand for support / advice services due to an economic downturn as a result of withdrawal from the EU. Any loss of jobs to the area will impact on the local communities and could result in a greater number of citizens and families living in poverty with higher rent arrears and a potential increase in homelessness presentations. As a consequence of COVID there has been a rise in the number of Universal Credit claimants as a result of a downturn in the economy .

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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		significantly threatened the future viability of some service providers during the crisis.

Lack of resilience amongst our partner organisations and the Third Sector in terms of their preparedness for Brexit and issues arising from it. This risk may be further compounded by the impact of COVID on the finances of the sector and their capacity to recover the crisis and their ability to prepare for the impact of Brexit.

Risk that the needs of vulnerable people are not met due to the uncertainty regarding our statutory responsibilities in relation to EU nationals for homelessness, housing and social care services.

COVID pandemic impairs our capacity to effectively prepare and make necessary changes to how we deliver and operate key services and functions. |
| *Reputation* | Yes | Reputational repercussions and loss of credibility as a result of failing in our Community Leader role to effectively communicate clear messages associated with the Brexit process.

Reputational damage associated with failing to effectively support vulnerable groups/individuals through applying for EU Settled Status. This risk has been further compounded by COVID, as it has limited our ability to engage with hard to reach EU nationals to promote the EUSS scheme.

Risk of civil unrest associated with Brexit as a result of poor communication, preparation, planning and liaison with key partners e.g. health, Police, Welsh Government impacts on the reputation of the Council.

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

Loss of credibility as a result of handing back any unspent funding due to a lack of capacity to deliver EU grant funded schemes up until Brexit. |

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	**Likelihood**	**Impact**	**Total Inherent Risk Score**
Political & Legislative	4 (Almost certain)	3 (High)	**12 (High)**
Resources	4 (Almost certain)	3 (High)	**12 (High)**

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • Director of Environment and Housing is a representative for the Council on local resilience form to make connections between council and other key regional partners. • Developed strong links with the WLGA to access specialist advice, information and briefings. • Established a mechanism regionally for reporting and collating information/issues relating to Brexit. Any information is fed into and collated by South Wales Police, which is then forwarded to the Welsh Government's Emergency Control Centre.	2	1	2
Resources	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • Completed a Directorate-wide impact assessment of Brexit. • Business Continuity Plans have been reviewed and updated for priority one services. • Maintain a high-profile presence in all relevant discussions and briefings with regard to Brexit and its implications for legislative changes. The Council has established good links with the Welsh Government and WLGA in relation to this. • Links with the Welsh Government and WLGA regarding economic development. • Brexit Impact Assessment Action Plan has been approved and is monitored by CMT on	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	a regular basis. The monitoring of this action plan feeds into updates/reporting that we provide regionally to the WLGA in relation to the EU Preparedness Advisory Panel. • 100% of all priority 1 Business Continuity Plans were completed. The next steps will involve undertaking testing of Priority One Business Plans to gain assurance of existing business continuity mechanisms. • Impact of access to agency staff post-Brexit in relation to our residential/domiciliary care workforce has been fully investigated and identified as a low risk area. • Continue to work closely with mangers across all service areas to help them to support potential employees who may need to apply for settled status Worked with our local Trade Unions, we have provided the ability for staff to access advice and support from HR to support them to apply for settled status. • HR systems have been updated to record/capture the nationality of new employees/new starters to the local authority that will enable us to take a more pro-active approach to signposting and supporting them to register via EUSS. • Established a monitoring mechanism for goods post-Brexit within our residential care home settings. All authorised orders are logged individually to monitor any changes to cost patterns following Brexit. Monthly review of costs with our main providers. •			
Service Delivery & Well-being	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • Brexit Impact Assessment Action Plan was developed and approved by CMT in September and is monitored on a regular basis. • Commenced a Directorate-wide impact assessment of Brexit. • Guidance documentation has been sent to school kitchens highlighting awareness of best practice for receiving and storage of foods to assist during any period of disruption to food supplies. HACCP (Hazard Analysis and Critical Control Points) controls are in place to ensure safety of food being received and stored.	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Supply chain mapping has been undertaken within our residential care homes and within our catering service and supplies are under constant review with our suppliers (e.g. food, cleaning, Medical Devices and Clinical Consumable products). • Developed a <u>Preparing for Brexit</u> web page for the website to signpost our businesses to advice and information to the Business Wales website.			
Reputation	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • Mechanisms are in place to ensure that we continue to share key information/messages to our Provider Forum i.e. on EU settled status etc.	1	1	1
Overall Effectiveness of Controls		**2**	**1**	**2**

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/PB001(BXR/FIT001 BXR/HR001 BXR/SL001	Support the monitoring and reporting of the Brexit Impact Assessment Action Plan. *Contributes to SP Action: Co-ordinate work to ensure the Council is prepared for Brexit and ensure there are plans in place to manage any impacts.*	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/CL/TD/TB	December 2020	**RED (Slipped)**
ACTION UPDATE:	As a result of our resources being reprioritised and repurposed on our emergency response to COVID-19, this action was not progressed during quarter 1. As the Council transitions from its response to recovery phase, this work will commence during quarter 2 in readiness for the outcome of Brexit discussions between the European Union and the UK Government regarding future trade arrangements expected in December.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/PB002	Provide communications and information to staff, customers/citizens and businesses on Brexit issues.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	December 2020	**RED (Slipped)**
ACTION UPDATE:	During quarter 1 much of our communication emphasis has been on communicating our emergency response to COVID-19, where our primary focus has been on ensuring that clear and consistent messages have been communicated through our various channels to both staff, our partners , local businesses, the Third Sector and our citizens. Now that the Council is looking towards the recovery of services, the communications plan associated with Brexit will be revisited and potentially reviewed in light of COVID. We anticipate that a full update on our communications work in relation to Brexit will be available during quarter 2.												
BXR/ALN001 BXR/SP001	Ensure that appropriate exit strategies are in place for ESF funded projects.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	December 2020	**GREEN (On track)**
ACTION UPDATE:	All ESF funded projects are designed with an exit strategy. The initial plan is to seek out an extension to the project (which we did -this was successful in phase 1 I2A/I2W) and when the possibility of further extensions no longer exist to seek an alternative source of funding or scale the project back to its match funded or original source levels. Officers have recently contributed towards the Framework for Regional Investment which it is envisaged will be the fund that will replace ESF funding beyond 2022. During the Transitional period officers are also working at both national and regional levels to establish partnerships to extend projects matching current design and delivery.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/RMS001	Establish a mechanism/tool for monitoring cost pressures in relation to supplies as result of Brexit.	☑	☑	☑	☑				☑	☑	AP	December 2020	**N/A**
ACTION UPDATE:	No update available for quarter 1.												
BXR/NS001	Assist with the co-ordination of the Council's response to leaving the EU to ensure continuity of services for our citizens.	☑	☑	☑	☑	☑	☑	☑	☑	☑		December 2020	**Amber (Minor Slippage)**
ACTION UPDATE:	Whilst specific Brexit related activity has been curtailed during the Pandemic the work to ensure delivery of essential services has been ongoing. To that extent we have where possible increased the number of items held within our stores and have identified additional work programmes for our internal DSO. In terms of local contractors the Council is considering the use of off-site manufacture for its new homes and the use of local materials including Welsh timber. These actions are consistent with our Brexit response.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/RP001	Work with Welsh Government and Welsh Local Government Association and local businesses to maximise opportunities for new grant sources after leaving the European Union.	☑	☑	☑	☑				☑	☑		December 2020	**GREEN (On track)**
ACTION UPDATE:	We continue to report our updates to the EU Preparedness Panel via the WLGA on actions we have taken in preparation for Brexit, which are reported on a quarterly basis. We continue to take maximise our opportunities to access grant sources of funding in readiness for Brexit. For example, we have secured funding via the WLGA in relation to EUSS funding, Export Health Certificate funding as well as Food Poverty funding that we have been able to use to support the delivery of our Brexit Impact Assessment Action Plan.												
BXR/SRS001	Work closely with colleagues in Westminster and Welsh Government to ensure officers are properly authorised to continue their statutory duties.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DH	December 2020	**GREEN (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 liaison and conversations are taking place with Welsh Government officials and with colleagues in Westminster.												
ACTION PLAN	Identify mechanisms to support those in the greatest of need/poverty to continue to be able to access food supplies etc e.g. Food Banks.	☑	☑	☑	☑	☑	☑	☑	☑	☑		December 2020	**AMBER (Minor slippage)**
ACTION UPDATE:	We were successfully been awarded a Food Poverty Grant via the WLGA to use in relation to food poverty/insecurity issues as well as those associated with Brexit. We are currently exploring our options on how best to utilise this grant, subject to its terms and conditions. Some of this funding has been used to support the affordability and availability of food during the coronavirus pandemic, for example via the foodbank and a community group.												

Appendix 15 Corporate Risk CR15: Additional Learning Needs

Return to Risk Summary Report

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

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

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

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

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

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

Some key aspects of the Act are outlined below:

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

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

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

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

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

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

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

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

There is also an expectation that the new ALN system will be truly bilingual and that there will be parity of provision in English and Welsh. This

	expectation will be difficult to achieve at a local level and a regional approach will be needed to ensure that this aspiration is deliverable and cost effective.
	Alongside the challenges faced in implementing the new duties associated with the Act, the local authority is increasingly faced with growing demand for ALN provision, particularly in relation to three key areas. These relate to children and young people with complex autism, physical and medical difficulties and those experiencing social and emotional health difficulties. Developing sufficient provision to meet demand in these growth areas will present an ongoing challenge for the service.
	The COVID-19 pandemic has significantly disrupted education and learning at all levels. It has seen our schools repurposed for a period of time to care for the children of key workers and the most vulnerable. It has also seen a departure from classroom teaching to home-based learning, where children have been enabled to continue with their learning remotely. Although this has been positive, this learning approach will not replace the learning time lost from school and there is the real danger that in the longer-term educational inequalities will emerge amongst our most vulnerable learners and in particular those with Additional Learning Needs. The hurdle going forward is how to best address the growing demand for ALN provision and balance this against any emerging issues and inequalities as a result of COVID, at a time when our resources need to be focused on preparing for the ALN Act.

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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		additional provision to be created without sufficient additional financial resources.
		Insufficient knowledge and expertise in the workforce to fully meet the new requirements of the Additional Learning Needs Education Tribunal Act. This could have significant training and development implications for the local authority staff as well as school-based staff.
		Insufficient funding to deliver our additional duties under the Additional Learning Needs Educational Tribunal Act. The discharge of new responsibilities/duties under the Act could present a significant financial risk to the Council where there is already a growing need for ALN provision.
		Demographic changes are having a significant impact on our capacity to meet rising demand for our services. There are rising numbers of children and young people presenting with more complex needs which is affecting our ability to meet those needs in the current financial climate in line with the Act.
		Inability to undertake/progress preparatory work in readiness for the legislative changes due to serious disruption to education services resulting in widespread school closures and the diversion of resources in response to major business continuity issue e.g. pandemic.
Service Delivery and Wellbeing	Yes	There is a risk that the local authority will fail to meet its statutory duties in delivering the requirements of the Additional Learning Needs and Education Tribunal Act 2018.
		Inability to deliver a fully bilingual service as set out in the Act in terms of Additional Learning Needs, creating a lack of parity of provision across the service and a failure to meet both the requirements of the legislation and the needs of our learners.
		Risk that this legislation could lead to a dilution in support services for those who have the most complex needs (i.e. those who previously had statements) especially if all learners will now require the same type of statutory plan. This could impact on the wellbeing of children and young people and their parents/carers if our services are unable to meet their basic needs.
		Lack of sufficient provision to meet the increasing numbers of children and young people across the three key growth areas of children and young people with complex autism, physical and medical difficulties and those experiencing social and emotional health difficulties. There is the concern that COVID-19 could

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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. Financial risk associated with providing ongoing bespoke transport solutions to a growing number of children and young people with complex needs in order to access education.
Reputation	Yes	Reputational damage associated with non-compliance with the Additional Learning Needs Education Tribunal Act and the negative criticism this could attract from our Regulators (Estyn).

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

2.2 Controlling Inherent Risk					
Category	• **Current Controls**	**Effectiveness of controls**			
		Likelihood Score	**Impact score**	**Total Score**	
Political & Legislative	• Regular updates on ALN provision and progress against meeting the requirements of the Act presented to Scrutiny and Corporate Management Team. • Work closely with the Consortium with regular progress updates and reports.	2	1	2	

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• The Transformational Project Board meetings are attended regularly and monitoring of the overall plan is on target.			
Resources	• Budget setting process includes considerations of cost pressures arising from ALN developments. • In preparation for the ALN Act, a review of the workforce has been undertaken. This review evaluated the expertise of staff and has helped to identify new ways of working to better meet requirements of the Act. • A readiness survey has been completed. This has identified areas of staff development and training requirements that will form the basis of a training programme. • A PCP audit has been undertaken and results have been analysed in clusters and regionally. • Awareness raising training has been delivered to Headteachers, ALNCOS and Governors on the Act.	1	1	1
Service Delivery & Well-being	• A three-year ALN Implementation Plan for the Central South Consortium Region was agreed in August 2018. Delivery of the Implementation Plan is monitored by the transformational lead for the Vale of Glamorgan with progress reported back to the Director of Education. • In relation to ALN, all schools are now organised in Secondary school feeder clusters. Cluster leads are meeting regularly with the transformational Lead, working on priorities for the ALN Act. IDP format has been trialled within the special school cluster and within mainstream cluster groups. • For the tracking and monitoring of ALN pupils, all staff can access the system called ONE. Process maps for ONE have been developed to ensure that procedures are used consistently.	2	1	2

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Early Years meetings continue to be attended, regionally and with Cardiff in order to plan early years provision. • A Continuing Health Care Draft Policy has been endorsed by all key partners to improve transparency of the process as it relates to children and young people. • Transition Protocol has been developed and agreed in conjunction with Social Services and Health.			
Reputation	• A communication strategy in relation to the ALN Act is being developed.	1	1	1
Overall Effectiveness of Controls Score		**2**	**1**	**2**

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ALN/AS001	Work with schools, families and others to improve the services and support for those with additional learning needs so we can effectively plan and prepare for legislative changes. (ALN Act)	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2021	**GREEN (On track)**
ALNR/SP001	Work in partnership to ensure children and families of vulnerable groups receive the information they need to make informed decisions about their children's education.										MH		
ACTION UPDATE:	Joint Cardiff and Vale Transition Protocol is waiting to be launched which will support this action. Cross Directorate group to focus on 16-25 year age group agreed in principle. Linda Woodley and David Davies to liaise in regards to establishing this. Adult Services will continue to actively work with Children's Services, Education and health to support the transition of young people into Adult Services through the implementation of the Transition and Handover Guidance/Regional Joint Transition Protocol. The Vale of Glamorgan has long established processes in place to support this transition through the TRIG meetings to ensure that young people are highlighted, and plans are in place to provide a seamless transition. The VGT are starting to work with the 7 vulnerable groups, in their remit. The team will have more opportunities to work with partners after September 2020.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk 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/ALN001	Develop early years ALN provision in line with the expectations of the ALNET (Wales) Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	Training for early years providers has been developed and a programme of delivery is underway. Work is underway to establish a joint post with Cardiff Council to lead work in this area as stipulated by the ALN Act.												
ALNR/ALN002	Develop additional specialist resource base and special school places to meet current and projected need.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	A consultation was undertaken on the development of additional provision for pupils with complex needs at YYD. This consultation related to the closure of Ty Deri in order to create additional classroom space. A paper is being prepared to outline proposals to further develop provision.												
ALNR/ALN003	Support schools in the introduction of Person-Centred Planning (PCP), Individual Development Plans (IDPs) and to further develop Provision Mapping and tracking the progress of pupils with ALN.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**RED (Slipped)**
ACTION UPDATE:	It has not been possible to progress this work in schools due to school closures. Work on this area will now begin in the Autumn term 2020.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/ALN004	Develop a regional approach to increase the ALN provision available to Welsh medium schools to ensure sufficiency of provision.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	Regional working has continued during school closures but on a limited basis. As a consequence, progressing this area of work has been challenging but progress has been made in developing a Welsh medium reading test which will be available on a regional basis is in due course.												
ALNR/ALN005	Support development of the ALNCo role in schools as set out in the ALNET (Wales) Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**RED (Slipped)**
ACTION UPDATE:	It has not been possible to progress this work in schools due to school closures. Work on this area will now begin in the Autumn term 2020.												
ALNR/ALN006	Work with partners to develop an education and training offer for young people 16-25.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	Regional working has continued during school closures but on a limited basis. As a consequence, progressing this area of work has been challenging but progress has been made in developing an offer for young people with additional learning needs post 16. This work is being undertaken in partnership with Cardiff Council.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ALNR/ALN007	Develop strategic links at a regional and local level with further education colleges to develop an agreed vision for the inclusion and supporting the needs of learners with additional learning needs post 16.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**RED (Slipped)**
ACTION UPDATE:	It has not been possible to progress this work in schools due to school closures. Work on this area will now begin in the Autumn term 2020.												
ALNR/ALN008	Improve the quality and availability of information to parents/carers, young people and all service users about additional learning needs provision.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	The web page containing the information required is under development and progressing well												
ALNR/ALN009	Seek the views of service users on current additional learning needs provision and on how to develop provision in future.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	A consultation was undertaken on the development of additional provision for pupils with complex needs at YYD. This consultation related to the closure of Ty Deri in order to create additional classroom space.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/AL010	Further develop the role of outreach services, and support inclusion in all educational settings more effectively.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	Ongoing development of the Engagement Service is in place and good progress is being made. The process of self-evaluation for other outreach teams is also underway.												
ALNR/ALN011	Ensure that parents/carers are fully informed of their rights as set out in the ALNET Act and that educational settings receive training in avoiding disagreement and disagreement resolution.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**Green (On track)**
ACTION UPDATE:	Training was delivered to staff preschool closure. Leaflets for parents outlining rights under new ALN Act have been developed but it is too early to publish as implementation is not until September 2021.												
ALNR/ALN012	Work with schools to ensure that pupils are happy, safe and free from discrimination.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**
ACTION UPDATE:	The anti-bullying policy has been drafted and young people have been consulted as part of policy development. These views have been collated and shared with school staff to inform the policy. The final draft of the policy has been delayed due to current school closures.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/SP002	Work in partnership with the Central South Consortium Joint Education Service, schools, children and their families to improve the outcomes of vulnerable learners and reduce inequalities in education.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH	March 2021	**GREEN (On track)**
ACTION UPDATE:	Spring / Summer 2020 – all schools in the LA, supported by their challenge advisers, undertook a self-evaluation of their preparedness for the ALN Act. Most schools evaluated that their progress was at least good or better. A very few schools evaluated that their progress was satisfactory. Discussions held between CAs and schools relating to the distance learning provision for ALN pupils. This has been identified as an area for development across schools. Overview of the level of engagement of learners in distance learning undertaken by challenge advisers. Variable engagement levels across all sectors. In primary schools, where there is less engagement it tends to be from eFSM, ALN and vulnerable learners. Work ongoing to develop practices as part of blended learning approaches to be introduced in September 2020. Comprehensive playlists and resources shared with schools to support professional learning and the sharing of resources to support the safety and wellbeing of learners during lockdown period. CSC lead for equity and wellbeing working closely with Welsh Government in relation to the changes to changes in the funding for the PDG Grant; still awaiting final terms and conditions for both PDG and PDG LAC from WG. PDG evaluation procedures have been redesigned. In 2020-2021 challenge advisers will now be responsible for summarising the progress and impact of the plans; this is in line with OECD- DAC evaluation criteria.												

		Risk Categories				Demonstration of 5 Ways of Working							
3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term	**Officer**	**Completion Date**	**Status**
	CSC lead for equity and wellbeing is regularly attending WG deliverable meetings, national groups on PDG, MAT and curriculum for Wales to ensure vulnerable learners are at the heart of developments.												
ALNR/SP003	Work with partners to enhance the capacity of all educational settings to meet the social, emotional and mental health needs of all children and to maximise well-being.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH	March 2021	**GREEN (On track)**
ACTION UPDATE:	The Social Emotional Mental Health Panel (SEMHP) was constructed and piloted to consider the needs of pupils with SEMH needs in Vale schools. The panel had the objectives of ensuring placement in specialist provisions was appropriate as well as ensuring good practice and information related to SEMH needs was shared with schools. The SEMHP trial is coming to an end in autumn 2020 and a review related to its effectiveness will be undertaken in the coming months. As a consequence, a longer term process will be developed and implemented in 2021.												
ALNR/ALN013	Provide training for schools to develop trauma informed approaches to meet the social emotional and mental health needs of pupils.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2021	**GREEN (On track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk 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 schools have had access to on-line training delivered by Trauma Informed Schools UK. As a consequence, over 1500 staff members have received training aimed at ensuring the wellbeing of staff and pupils on return to school.												
ALNR/ALN014	Implement a training programme for central staff in order to ensure readiness for the ALNET Act from September 2020/21	☑	☑	☑	☑	☑		☑	☑	☑	DD	March 2021	**AMBER (Minor slippage)**
ACTION UPDATE:	The programme has been delayed due to lockdown but will be progressed in the Autumn term.												

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

1 – Risk Overview

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

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

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

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

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

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

Given the evolving nature of this risk, the Council's recovery from this will not be linear, instead it will most likely be influenced by various challenges that at times may impede our recovery and at other times present us with opportunities. Regular review and updating of this risk will enable the Council to ensure this risk remains current and will enable us undertake horizon scanning in relation to potential threats and additional emerging issues as this risk evolves whilst shaping our strategic response. Despite the uncertainty that lies ahead, the crisis has provided local authorities with an opportunity to reflect on how services are operated and delivered to our citizens. Seizing opportunities to improve the efficiency and effectiveness of our services will enable us to emerge from the crisis a stronger and more resilient organisation.

1.2 Risk Owner	Corporate Management Team

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

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

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

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

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

Uncertainty regarding the ongoing funding support from Welsh Government. Certainty with regards to expenditure and income has been received to the end of June 2020, but not confirmed for later periods of the year.

Collection of income for the Authority maybe a considerable risk as

- households may find the payment of their Council Tax a significantly 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.

Failure to mobilise our assets, technology and workforce resources across our council departments and organisational boundaries to respond effectively to the crisis. |

1.4 Risk Categories		
Categories	Yes/No	Definition
		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.
		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,

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		but places increased pressure on our resources to keep a step ahead of cyber threats and fraudulent activity.
Service Delivery and Wellbeing	Yes	Failure in our duty to ensure the safety and well-being of our most vulnerable citizens and an inability to meet their basic needs. Failure to provide education to school pupils, via distance learning and in-school learning. Failure to maintain/oversee quality assurance mechanisms associated with managing and monitoring service delivery by Third Parties to citizens in our communities. Failure to safeguard the principles of social inclusion as a result of the crisis and effectively support the most vulnerable groups on the edge of society. Detrimental financial impact of the crisis on the sustainability of the local economy placing increased demand on our finance/benefits teams to enable businesses to survive and financially recover from this crisis. Increased incidences of family abuse, neglect and domestic violence, places increased pressure on our safeguarding services. This combined with the social distancing measures challenges how we can safeguard children, young people and adults at risk. Increased number of citizens unemployed due to the pandemic which pushes more people into debt and poverty. Any detrimental impact to their finances could impact on their ability to pay their mortgages/ sustain tenancies, pay bills and afford food. This in turn puts our benefits and housing and homelessness services under increased pressure to source solutions that will enable them to continue to live in their homes, prevent homelessness and access food. Failure to effectively support and safeguard the most vulnerable in society who have been advised to shield. Increased pressure and lack of capacity of reablement services in the community to support the step down from critical care in 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

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

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

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Directors in regular liaison with professional bodies and national forums to understand the latest policy position relevant to their area.			
Resources	• Critical services reviewed and prioritised for resourcing. • All staff where it is practical have been enabled to work from home. • Systems have been put in place to collect financial information in a timely manner to ensure accurate grant claims are submitted to the Welsh government on a monthly basis. • Where possible and required, deferred payment arrangements have been put in place in relation to council tax on business rates to provide financial support in the community but also to ensure cash flow for the council. • Procurement arrangements have been amended to ensure that the council is able to access services / goods as quickly as possible to ensure ongoing service delivery. • PPE provided and appropriate social distancing measures in place where working from home not practical. • Significant advice from HR published on our intranet, including new well-being and working from home guidance. • Risk assessment for office accommodation published. • Risk assessment completed for BAME colleagues. • Worked with the Welsh Government and the Local Health Board to secure a supply of PPE • Engaged effectively with private suppliers to source additional PPE. • Actively sought the redeployment of staff to four vital service areas: residential care, waste and cleaning services and customer support.	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	- Investment in ICT developments to enable home working. - Updated guidance on annual leave, flexi leave, and TOIL that has been published to reflect and adapt to the changing circumstances.			
Service Delivery & Well-being	- Worked with our schools to co-ordinate the establishment of childcare hubs for the children of key workers across schools throughout the Vale. - Worked with schools to enable catch up and check in facilities during the latter part of the summer term. - Worked with schools to facilitate risk assessments associated with reopening schools from September. - Food voucher system has been established that ensures all those children and young people who will normally receive free school meals will not miss out. - The Business Rates team, with support from staff in Regeneration, have completed a significant piece of work to administer the various national grants being made available for businesses ensuring that over £25m of funding was received by over 2,500 businesses in the Vale . - Worked in collaboration with GVS to launch Vale Heroes, a new service directory that brings together information regarding volunteering in our communities and sources of assistance with food and other supplies. - Established a Crisis Support Team has who are contacting individuals who have been advised to shield, to establish their support needs and if they need any assistance with accessing additional help, food and medications.	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Coordination of food parcel deliveries to shielding people with no other form of support. • For residents who have not been asked to shield for 12 weeks but are vulnerable and in crisis the Council has established a dedicated COVID Crisis Support Line to ensure that they also receive the necessary support. • Housing/Homeless Service secured temporary hotel accommodation to provide shelter for homeless people. • Secured donations from private and charitable organisations to support the provision of food to families and people who are vulnerable. • New services have been put in place to support homeless people throughout the lockdown. This is involved providing single person accommodation and support for individuals. This has been funded via short term revenue support from the Welsh Government.			
Reputation	• Tannoy trucks have been used to broadcast the key messages to the public of #StayHome-StaySafe demonstrating that the Council is at the forefront of the response to COVID-19. • Managing Director issues weekly communications/updates to staff on the ongoing developments and advice on any changes to working practice. • Communications Plan has been developed in response to this crisis that ensures that regular updates are provided to public, business owners and other key stakeholders on key developments on a daily basis by maximising the use of all our key communication channels.	2	1	2
Overall Effectiveness of Controls Score		**2**	**1**	**2**

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

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	N/A	↓
Resources	4	4	16	2	1	2	2	4	8	N/A	↑
Service Delivery & Well-being	4	4	16	2	1	2	2	4	8	N/A	↑
Reputation	3	4	12	2	1	2	2	4	8	N/A	↔
Average risk score/ direction of travel	4	4	**16**	2	2	**2**	2	4	8 (Medium/High)	N/A[1]	↑

[1] Direction of travel is not applicable. This is a new entry to the Risk Register; no comparative risk status is available.

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CV/PB001	Develop the Council's Recovery Strategy as an overarching strategy to guide services through transition to recovery and report to Cabinet.	☑	☑	☑	☑	☑	☑	☑	☑	☑	RT	September 2020	**GREEN (On track)**
ACTION UPDATE:	A draft of the Recovery Strategy is being informed by discussions with all Chief Officers and in liaison with partners. A meeting in July with the PSB has helped identify the pressures and activity underway in partner organisations. It is intended to report the Recovery Strategy to Cabinet in September 2020.												
CV/PB002	Develop Directorate Recovery Plans to guide service areas through transition to recovery.	☑	☑	☑	☑	☑	☑	☑	☑	☑	Directors	September 2020	**GREEN (On track)**
ACTION UPDATE:	Directorate recovery plans are underway, being informed by national guidance. Engagement and consultation on individual service changes will be undertaken during the coming months as appropriate.												
CV/PB003	Develop a suite of insight reports to monitor the community and economic impact of coronavirus.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2021	**GREEN (On track)**
ACTION UPDATE:	A suite of economic indicators has been identified and an economic impact of coronavirus dashboard has been developed and communicated to staff and councillors. Work is underway to develop a community impact assessment, with particular emphasis on the impact the pandemic is having on people from the protected characteristics. This, along with the economic impact work, will accompany the report to Cabinet on the Recovery Strategy.												
CV/PB004	Maintain a regular communications plan to accompany service changes and other important public health messages to share information.	☑	☑	☑	☑	☑	☑	☑	☑	☑		March 2021	**GREEN (On track)**
ACTION UPDATE:	A significant amount of work has been undertaken to date in the provision of information to residents and other stakeholders. A communications planning arrangement is in place via CMT Gold meetings to ensure these messages are identified and planned.												