

Meeting of:	Governance and Audit Committee
Date of Meeting:	Tuesday, 01 March 2022
Relevant Scrutiny Committee:	Corporate Performance and Resources
Report Title:	Corporate Risk Register Quarter 3 Update
Purpose of Report:	To update Governance and Audit Committee on the quarter 3 position of Corporate Risks for April 2021 - December 2021 contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report.
Report Owner:	Rob Thomas, Chief Executive
Responsible Officer:	Tom Bowring, Head of Policy & Business Transformation
Elected Member and Officer Consultation:	Consultation has been undertaken with designated Corporate Risk Owners and the Strategic Leadership Team.
Policy Framework:	The proposals are within the Council's Policy Framework.
<p>Executive Summary:</p> <ul style="list-style-type: none"> • This report provides members with an overview of the Corporate Risk Register for Quarter 3 (April 2021-December 2021). A risk analysis is incorporated within the Corporate Risk Summary Report (Annex A). This enables officers and Members to identify and assess trends and the cross-cutting nature of risks with the ability to drill down to the detail of risks as and when required. • The report recommends that Governance and Audit Committee: • Note the Quarter 3 position of corporate risks for the period April 2021- December 2021 and the emerging issues contained within the report; and • refer any other comments to Cabinet for their consideration and endorsement at the meeting when Cabinet will consider a report on the Corporate Risk Register for Quarter 3. 	

Recommendations

1. Note the Quarter 3 position of corporate risks (April 2021-December 2021) outlined in Annex A.
2. Refer any other comments to Cabinet for their consideration and endorsement at the meeting when Cabinet will consider a report on the Corporate Risk Register for Quarter 3.

Reasons for Recommendations

1. To identify the Quarter 3 position of corporate risks across the Council and highlight any emerging issues and actions to be taken as outlined in Annex A.
2. To ensure Cabinet receives the comments of the Governance and Audit Committee when considering the Quarter 3 position.

1. Background

- 1.1 Corporate Risk is managed via the Corporate Risk Register. To supplement this , a risk analysis in the form of a Corporate Risk Summary Report (Annex A) provides a concise way of identifying the headline issues and risk considerations. In presenting the information in this way, it enables officers and Members to be able to have a good overview of the status of risks across the Register as well as the emerging issues whilst giving them the ability to drill down to the detail if required.
- 1.2 The Corporate Risk Summary Report (Annex A) is split into the following sections:
- 1.3 **Corporate Risk Executive Summary:** This provides an overview of the whole risk report that highlights the key issues to note in relation to the status of risks, direction of travel, forecast direction of travel and progress against the Risk Management Plans.
- 1.4 **Section 1 Risk Descriptions:** This section details each risk listed on the Register along with a brief description of the risk in terms of its scope. More detailed descriptions of the multiple facets of each risk relative to each of the risk categories (of Political & Legislative, Resources, Service Delivery & Well-being and Reputation) are provided in the Register itself. Within Section 1 of the report officers and members can drill down to the detail of individual risks in the Register quickly and easily by using the document link to the relevant Appendices in the report.
- 1.5 **Section 2 Corporate Risk Register Summary:** provides an overview of all the corporate risks in the Register in terms of their inherent score, effectiveness of control score and residual score and provides an outline of the direction of travel for both current and forecast. This section of the report provides an analysis of the emerging risk issues associated with risks on the Register.
- 1.6 **Section 3 Overall Risk Heat Map:** uses a risk matrix quadrant to plot the residual risk scores in terms of likelihood and impact for each corporate risk in order to

illustrate the distribution of corporate risks on the heat map. This section flags any key trends or issues in relation to the distribution of risk on the matrix.

- 1.7 Section 4 Thematic Heat Map:** uses a similar risk matrix quadrant to plot the residual risk scores for each corporate risk by risk category. This provides a more holistic illustration of the distribution of risk by the different risk categories enabling a better understanding of the inter-relationship between risk themes. This also enables officers and members to view risk in a more cross-cutting/strategic light to identify if there is any need to address facets of risk through council-wide mitigating activity.
- 1.8 Section 5 Risk Management Plan:** Provides an overview of the progress made against the Risk Management Plans for each Corporate Risk. There is a Risk Management Plan aligned to each Corporate Risk that contain a series of actions to help mitigate the risk. By monitoring the status of these Risk Management Plans and in particular the RAG status of the mitigating actions we are able to identify areas where progress against actions are having a positive effect on the risk or in some cases is having little effect. Equally the Risk Management Plan enables officers and members to flag risks where progress against actions has been slow/which may warrant further investigation.
- 1.9 Section 6 Risk Action Exceptions:** This section provides reporting by exception (i.e. mitigating actions aligned to each corporate risk that have been assigned a red status for their progress). This enables officers and members to quickly identify and interrogate actions reporting a red status in relation to each risk. It lists each corporate risk and any corresponding actions that have a red RAG status and provides the corresponding commentary relating to that quarter.
- 1.10 Section 7 Risk Scoring Definitions:** This section explains the risk scoring definitions in terms of what is meant by an inherent, residual and effectiveness of control risk score. It also outlines the risk scoring matrix that is used to score residual risk and a risk scoring mechanism for scoring the effectiveness of our controls.

2. Key Issues for Consideration

- 2.1** There are 18 corporate risks on the Register. Whilst this report provides an update on the corporate risks during the Quarter 3 period, it is important to note that some risks on the Register are in a constant state of flux. For example, the fast-moving nature of the Covid-19 risk means that its position is constantly evolving. Governance and Audit Committee are requested to consider the Quarter 3 position of the Risk Register, whilst noting the following developments (current at the time of producing this report).

Area/Theme	Reference in report	Updated position (including source)
Infection Rates	<p>Case rates (in relation to Omicron) rapidly rose in December, reaching as high as 246,780 cases in the UK in a single day (as at 30th December 2021)¹.</p>	<p>Given that Omicron is now considered the most dominant strain, with effect from the 1st of January 2022 the UK Health Security Agency (UKHSA) will no longer be reporting separately Omicron statistics. Source: UK Health Security Agency, Omicron daily overview, 31st December 2021</p>
	<p>By the end of quarter 3, coronavirus infections in Wales significantly rose. Coronavirus data for a 7-day rolling period (between 25th -31st December) showed that there had been 2,825 cases identified in the Vale of Glamorgan, with a case rate of 2,114.7 per 100,000 (significant rise when compared to the previous 7 day rolling period). The positivity rate has also accelerated to 51.1%².</p>	<p>The latest coronavirus data for a 7-day rolling period (between 1st-7th February 2022) showed that there were 524 cases identified in the Vale of Glamorgan, with a case rate of 392.3 per 100,000. (This represents a significant drop when compared to the 7-day rolling period that end 31st December). The positivity rate has also dropped to 30.2%. Source: Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area</p>
	<p>Despite, the concerns regarding the Omicron variant hospitalisation admissions have remained relatively stable during the period. At the week ending 26th December, there were 47 positive cases on or prior to admission.</p> <p>At the week ending 26th December 2021, 5% (61) of all inpatients in hospital within the Cardiff and Vale University Health Board Trust were confirmed as Covid positive cases. This is in keeping with the rest of Wales where 5% (552) of inpatients</p>	<p>Hospital admission increased in the early part of January reaching a high of 88 positive cases on or prior to admission on week ending 1st January and 16th January 2022. This has figure showed signs of reducing, as at the week ending 6th February 2022, there were 71 positive cases on or prior to admission.</p> <p>At the week ending 6th February 2022, 12% (169) of all inpatients in hospital within the Cardiff and Vale University Health Board Trust were confirmed as Covid positive cases. This is similar to the rest of Wales, were 11% (1,132) of inpatients across Wales were confirmed Covid cases.</p>

¹ UK Health Security Agency, [Omicron daily overview](#), 31st December 2021

² Public Health Wales, [Rapid Covid-19 Surveillance Data](#), accessed on 3rd February 2022

Area/Theme	Reference in report	Updated position (including source)
	across Wales were confirmed Covid cases.	Source: Public Health Wales Rapid COVID-19 surveillance Confirmed Case Data by Local Authority area
Self-isolation and testing	<p>The Welsh Government confirmed that as of 31st December anyone self-isolating due to Covid-19 must isolate for 7 days, but on day six of isolation they should take a lateral flow test and another test 24 hours later (on day seven). If both tests are negative, they are unlikely to still be infectious and can end their self-isolation period. However, if tests remain positive on days six and seven, they will need to isolate until they have two negative lateral flow test or until day 10, whichever is sooner³.</p>	<p>The Health Minister, Eluned Morgan, announced as of the 28th January 2022, individuals can leave self-isolation after five days if they have two negative lateral flow tests (with the first test being taken on day 5 and second test being taken on day 6).</p> <p>Source: Welsh Government Press Release, Self-isolation period reduced, 25th January 2022.</p> <p>Welsh Government Written Statement, Reducing the self-isolation period to 5 days, 26th January 2022.</p> <p>In the House of Commons on the 21st of February, the Prime Minister outlined that all Covid restrictions will end in England from Thursday 24th February and that from the 1st of April free mass testing will stop. In the announcement, the Prime Minister outlined his 'living with Covid' plan which includes the removal of the legal duty to self-isolate for those who test positive. With regards to testing, from the 1st of April, free testing will be targeted to the most vulnerable. As part of the 'living with Covid' plan, the Prime Minister outlined that the government would follow the JCVI recommendation to offer an additional booster by spring to those over 75 years old and over 12s who are most vulnerable.</p>

³ Welsh Government Cabinet Statement, [Self-isolation changes](#), 30th December 2021

Area/Theme	Reference in report	Updated position (including source)
		<p>Source: BBC News, Covid: England ending isolation laws and mass free testing, 21st February 2022</p> <p>At the time of writing, no decision had been taken by the Welsh Government regarding testing and removing the legal duty to self-isolate in Wales.</p> <p>The Welsh Government announced that it would also follow the JCVI recommendation to offer a second booster vaccine to adults aged 75 years and over, residents in care homes for older adults and individuals aged 12 years and over who are immunosuppressed. In the written statement the Minister for Health and Social Services also indicated the possibility of an autumn booster programme for those at higher risk of Covid, details of which will be made available at a later date.</p> <p>Source: Welsh Government Written Statement, Covid-19 vaccination-Second spring booster offer to most vulnerable, 21st February 2022</p>
Vaccination	<p>The total number of doses of vaccine administered in Cardiff and the Vale of Glamorgan was 1,024,697 (comprising of 396,193 first doses and 362,542 second doses, 7,601 third doses and 258,314 boosters) as at 3rd January 2022⁴.</p> <p>Vaccination figures show that 70.9% of individuals aged 18-29 and 52.3% of 16–17-year-olds completed their primary course (two doses of vaccine) compared to vaccine uptake rates of</p>	<p>The total number of doses of vaccine administered in Cardiff and the Vale of Glamorgan was 1,074,604 (comprising of 401,066 first doses and 374,908 second doses, 8,036 third doses and 290,483 boosters) as at 8th February 2022.</p> <p>Vaccination figures show that 71.4% of individuals aged 18-29 and 51.6% of 16–17-year-olds completed their primary course (two doses of vaccine) compared to vaccine uptake rates over 91% for</p>

⁴ Cardiff and Vale University Health Board, [Covid-19 Mass Vaccination Programme Dashboard](#), accessed on 3rd February 2022

Area/Theme	Reference in report	Updated position (including source)
	90% for those aged 60 years or older (as at 3 rd January 2022) ⁵ .	those aged 60 years or older (as at 8 th February 2022). Source: Cardiff and Vale Health Board daily dashboard
Joint Committee on Vaccination and Immunisation (JCVI)	The Welsh Government adopted the recommendation by JCVI that younger children aged 5-11 years old who are in an 'at risk' group or are a household contact of someone who is immunosuppressed should be offered two 10mcg doses of Pfizer-BioNTech vaccine at an interval of 8 weeks apart ⁶ .	In a written statement, the Welsh Government confirmed that it would be adopting the recommendation by the JCVI to expand Covid vaccinations to younger children aged 5-11 who are not at clinical risk or live with someone immunosuppressed. In keeping with the previous advice, children aged 5-11 should be offered two 10mcg doses of the Pfizer-BioNTech Covid-19 vaccine at an interval of 12 weeks apart. The JCVI has advised that this is a non-urgent offer, where the focus is to increase this age group's immunity in advance of any potential future waves of Covid-19. Source: Welsh Government Written Statement, Covid-19 vaccination for all five to 11-year-olds , 16 th February 2021
International travel arrangements	Following the emergence of Omicron during quarter 3, the UK Government announced that as of the 30 th November, all international arrivals will be required to take a day 2 PCR test and self-isolate until they receive a negative test ⁷ . However, if they receive a positive result, they will be required to continue to self-isolate for 10 days ⁸	In line with decisions made by the UK Government, the Welsh Government agreed to remove the requirement for fully vaccinated travellers and under 18s to take a pre-departure test and a day 2 PCR test on arrival to the UK. As of 7 th January, all fully vaccinated travellers are now required to take a Lateral Flow Test on day 2 instead and if positive to follow this up with a PCR test. There is also no requirement to self-isolate until a negative result has been received.

⁵ Cardiff and Vale University Health Board, [Covid-19 Mass Vaccination Programme Dashboard](#), accessed on 3rd February 2022

⁶ Welsh Government Written Statement, [Covid-19 vaccination-Children and young people](#), 22nd December 2022

⁷ Welsh Government [Written Statement, International travel changes](#), 29th November 2021

⁸ Welsh Government [Written Statement, International travel changes](#), 29th November 2021

Area/Theme	Reference in report	Updated position (including source)
		<p>Source: Welsh Government Written Statement, International Travel Changes, 5th January 2022</p> <p>Further to this, the Welsh Government (in line with UK Government decision making) agreed that as of 11th February all fully vaccinated travellers will not be required to take a pre-departure test 2 days before travelling to the UK. Instead travellers will only need to complete a Passenger Locator Form. The rules remain unchanged for unvaccinated travellers. All under-18s can enter the UK regardless of vaccination status without a pre-departure test.</p> <p>Source: Welsh Government Press Release, International Travel, 25th January 2022</p>
<p>Covid-19 Health protection measures</p>	<p>At the three-weekly review of Coronavirus protections on the 22nd of December, the First Minister confirmed that Wales would move to Alert Level 2 from 6am on Boxing Day. Measures were reintroduced and applied to hospitality (including licensed premises), cinemas, theatres and public gathering (including events)⁹.</p>	<p>At the three-weekly review of Coronavirus protections on the 28th January 2022, the First Minister confirmed that Wales would complete its move to Alert Level 0 (on 28th January 2022).</p> <p>This saw:</p> <ul style="list-style-type: none"> • nightclubs re-open; • 2m distancing no longer being applied to public places and workplaces; • the removal of the ‘rule of six’ requirement in hospitality, cinema, theatre; • the removal of the requirement for table service and contact detail collection for licensed premises; and • working from home no longer a legal requirement. <p>Source:</p>

⁹ Welsh Government Written Statement: [Review of the Health Protection \(Coronavirus Restrictions\) \(No.5\) \(Wales\) Regulations 2020](#), 22nd December 2021

Area/Theme	Reference in report	Updated position (including source)
		<p>Welsh Government Press Release, Wales completes move to alert level 0, 27th January 2022</p> <p>Welsh Government Written Statement, Review of the Health Protection (Coronavirus Restrictions) (No.5) (Wales) Regulations 2020, 28th January 2022</p> <p>The Welsh Government announced that from the 18th of February a domestic Covid Pass will no longer be required for entry to indoor or outdoor events/venues. The Welsh Government outlined those events and venues can still continue to use the pass if they choose to. However, the international Covid pass arrangements remain unchanged.</p> <p>Source: Welsh Government Press Release, Covid Pass no longer required for indoor or outdoor events, 17th February 2022</p>
<p>Covid financial support packages</p>	<p>The Welsh Government confirmed they would double the financial support available to support nightclubs, events, retail, hospitality, leisure and tourism businesses that have been impacted by the move to Alert Level 2. The financial support package known as Economic Resilience Fund increased to £120m¹⁰.</p>	<p>On the 7th January, the Minister for Economy (Vaughan Gething) confirmed that the £120m of financial support announced in December for businesses impacted by Omicron would also be available to newly established businesses (subject to eligibility).</p> <p>To be eligible businesses must have been trading before the 1st of September 2021.</p> <p>In a further statement on the 14th of January 2022, the Minister for Economy confirmed that two changes had been made to the criteria of the Economic Resilience Fund (ERF) in terms of eligibility and grant award. Local authorities were previously administering a discretionary ERF fund</p>

¹⁰ Welsh Government Press Release, [£120m financial support for businesses in Wales impacted by Omicron](#), 23rd December 2021

Area/Theme	Reference in report	Updated position (including source)
		<p>for businesses and sole traders who do not pay rates. The Minister confirmed that following discussions the Welsh Government have agreed to increase the award for qualifying sole traders, freelancers and taxi drivers who do not pay rates to £1,000.</p> <p>In addition to this the Minister also announced an amendment to the eligibility criteria in relation to the level of reduced turnover required to qualify for the ERF. To be eligible business in hospitality, leisure and other attraction sectors and their supply chains must have experienced reduced turnover of 50% or more between December 2021 and February 2022 compared with the previous year (December 2019 and February 2020).</p> <p>The eligibility checker for the Economic Resilience Fund (ERF) is available via the Business Wales website.</p> <p>Source: Welsh Government Written Statement, Emergency Covid Financial Support including newly established businesses, 7th January 2022</p> <p>Welsh Government Written Statement, Emergency Covid Financial Support- Changes to ERF eligibility criteria and Sole Traders Grant award, 14th January 2022</p> <p>The eligibility checker for the Economic Resilience Fund (ERF) is available via the Business Wales website.</p>

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

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

- 3.1** Risk Management is an intrinsic part of corporate governance and integrated business planning which underpins the delivery of the Council's Corporate Plan and its Well-being Outcomes. Our Corporate Plan has been structured around the Well-being of Future Generations (Wales) Act 2015, through the development of four Well-being Outcomes and eight Well-being Objectives. By aligning our Well-being Outcomes in the Corporate Plan with the Well-being Goals of the Act, this will enable us to better evidence our contribution to the Goals.
- 3.2** Corporate Risks are considered in the context of the Well-being of Future Generations in terms of their potential impact on our ability to deliver /meet the Well-being Goals. The multi-faceted nature of risk means they have the potential to impact on how we deliver our priorities within the Corporate Plan and ultimately impact on our ability to meet/deliver on the Well-being Goals. A failure to identify the different facets of risk and mitigating actions using the five ways of working puts us in a more vulnerable position in terms of our ability to manage the risks and could significantly impact on our ability to evidence our contribution to meeting the Well-being Goals into the longer term. For example, the Welfare Reform risk cuts across five of the seven Well-being Goals in relation to a Prosperous Wales, A Resilient Wales, A Healthier Wales, A More Equal Wales and a Wales of Cohesive Communities with multiple aspects of risk associated with Welfare Reform that have the potential to impact on our ability to contribute to these Goals. For instance, the social impact of welfare reform could impact on tenant's health and their ability to heat their homes, live in good quality housing, and feed themselves which directly impacts on the Healthier Wales and Cohesive Communities Goals. Equally there is the risk that welfare reform could have a detrimental impact on citizen's finances and their ability to sustain tenancies, access employment opportunities and pay bills. Collectively these could have an impact on our ability contribute to developing a Resilient Wales, Prosperous Wales, a More Equal Wales, and Cohesive Wales Goals.
- 3.3** The five ways of working are also a key consideration in relation to our corporate risks as a key part of managing the risk involves developing a Risk Management Plan that identifies the mitigating actions that have a focus on the long term, prevention, integration, collaboration and involvement.

4. Resources and Legal Considerations

Financial

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

Employment

- 4.2** There are no direct workforce related implications associated with this report. However, there are risks contained within the Register that if not effectively

managed has the potential to impact on our staff establishment. By managing these risks effectively, we are in a stronger position to offer better protection to our staff.

Legal (Including Equalities)

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

Background Papers

Corporate Risk Management Strategy



VALE OF GLAMORGAN COUNCIL

CORPORATE RISK SUMMARY REPORT

QUARTER 3 APRIL 2021 - DECEMBER 2021



Strong
Communities
with a Bright
Future

CORPORATE RISK EXECUTIVE SUMMARY:

1.0 Risk Overview:

There are 18 corporate risks on the Register.

1.1 Risk Statuses:

- 2 risks are scored high, 6 risks scored medium/high and 10 risks scored medium. There has not been any significant movement in risks statuses during the third quarter of the year. **(See Section B, C & D)**

1.2 Direction of Travel:

- The majority of risks on the Register have maintained their static position.
- The two new risks, CR17: Market Fragility and CR18: Demand Management & Service Capacity have both maintained their high-risk score (12).

1.3 Forecast Direction of Travel (See section B):

- The forecast direction of travel for risks on the Register has largely remained unchanged. Both the Information Security and Integrated Health and Social Care risks are forecast to drop, whilst School Reorganisation, Environmental Sustainability, Welfare Reform are still anticipated to continue to rise over time. Both the Reshaping and Brexit risks have shifted into a static position in terms of forecast direction of travel.
- **School Reorganisation/Investment-** We forecast this risk will increase over time in relation to 21st Century school investment programme. Supply issues and the escalating cost of materials linked to Covid and Brexit, continue to impact on the deliverability of remaining projects within the Band B Programme and will be the subject of consideration when developing the Band C Programme due to commence in 2024. These cost pressures are particularly being felt in relation to outstanding projects, therefore additional funding has been requested from Welsh Government to meet the shortfall. It remains uncertain at this stage whether additional investment from the Welsh Government will be available to mitigate the increased costs.
- **Environmental Sustainability-** It is anticipated that this risk will continue to maintain its upward trajectory given that the pressures associated with climate change continue to escalate over time reflecting the enormity of the task ahead and the fundamental changes to ways of working that will be required. In response to the Council declaring a Climate Emergency, the Council established Project Zero that sets out the Council's commitment to reduce carbon emissions to net zero by 2020. The Climate Change Challenge Plan was approved by Cabinet and sets out the 18 challenges we face and the actions we intend to take to address these challenges with a Senior Reporting Officer identified against each of the challenges. Work has already commenced, and discussions held on how to encourage and create momentum for such changes within Housing and the 21st Century Schools programme, as well as encouraging active travel and the installation of electric car charging points throughout the Vale. The teams within Estates are working on completing the first data return to develop a 'baseline' for the Council's emissions using the WG's 'toolkit'. This would assist in identifying where the biggest impacts could be made. A more detailed overview of our progress with Project Zero and the Climate Change Challenge Plan is outlined in a [Cabinet report](#) on the 25th October 2021.
- **Welfare Reform-** It is forecast that this risk will escalate in response to the threat posed by the cost of living pressures. Over the Qtr3 period, recent developments have seen the cut to the additional £20 per week Universal Credit and the 1.25% increase in National Insurance rate contributions (commencing from April 2022). Added to these cost pressures are the escalating energy prices with forecasters anticipating a significant rise in the energy cap from the 1st April 2022. In December the Consumer Price Index rose by 5.4% in the 12 months to December 2021 (Qtr3) an increase from 5.1% in November and the Consumer Prices Index (including owner occupier's housing costs) (CPIH) rose by 4.8% in the 12 months to December 2021 (Qtr3), up from 4.6% in the 12 months to November¹. In addition to this the Bank of England at its meeting on the 15th December 2021 agreed to increase the bank rate by 0.15

¹ ONS, [Consumer Price Inflation UK: December 2021](#)

percentage to 0.25%². These rising cost pressures are likely to continue to drive this risk in an upwards direction and it is anticipated that the full impact of this is yet to be fully felt. In the backdrop of these rising cost pressures, there is real concern that this will put an additional financial squeeze on citizens from low-income households, pushing them further into poverty.

Information Security Risk- The threat landscape remains a concern, given the sophisticated ways that individual's attempt to undermine our information security. Despite the complex threat landscape worsening, it is anticipated that this risk will shift in a downwards direction subject to ransomware protection software is fully implemented. The software has now been purchased and is going through the implementation phase.

Integrated Health and Social Care- This risk continues to be well controlled with the existing mitigations. We anticipate that this risk will continue to diminish over time now that our pathway for recovery from the pandemic is clearer and services are resuming. This will give us the capacity to progress the integration work fully.

1.4 Risk Management Plans:

- Excellent progress has been made during quarter 3 in relation to the actions associated with the Risk Management Plans across all aspects of the Register.
- In total there are 226 mitigating actions currently being monitored via the Register, the majority of which are also aligned to a Corporate Plan activity. During quarter 3, we have been able to assign a RAG status to 225 of these mitigating actions. Where it has not been possible to note a RAG status for an action, this is noted as N/A (not applicable) against the action. **(See Section E)**
- During quarter 3, a total of 4.4% (10) actions were Green and completed, 87.1% (196) actions were Green and on track, 3.1% (7) of actions were allocated an amber status, indicating minor slippage and 5.3% (12) were allocated a red status for their slippage.
- Mitigations associated with the Deprivation of Liberty Safeguards risk has seen the greatest slippage during the quarter with all actions being allocated a red status. The slippage reported during this quarter correlates with the delays associated with the Code of Practice. The Council is awaiting the Welsh Government's publication of the Code of practice before the remaining mitigations associated with this risk can be progressed.
- A full breakdown of these individual exceptions along with a rationale is provided in **Section F**.

2.0 Update on evolving risks:

2.1 Workforce risk-

This risk has maintained its heightened risk score of 8 (medium/high) during quarter 3. The risk is not forecast to shift from its medium/high position next quarter. However, we are confident that our mitigations outlined in the risk management plan will prevent the risk from escalating any further and once the mitigations are fully implemented, we anticipate a decrease in the risk over time.

Key drivers/developments:

- Continue to see an upward trend in our turnover data. During quarter 3 our voluntary turnover figures for the period increased to 6.05% above our quarter 3 target of 5.61%. In comparison with the same period last year, our voluntary turnover figures stood at 4.18%. Although our voluntary turnover figures remain higher than that of the same period last year, it is still below the turnover figures reported in quarter 3 of 2019/20, where turnover was 6.73%.
- Now there is greater mobility in the workforce market than ever before, the Council is no longer just competing in a local jobs market but one that spans much further afield.
- Continue to witness increased absence rates. During quarter 3, 8.33 days/shifts were lost per FTE which is above our quarter 3 target of 6.68 days/shifts per FTE and is significantly higher than the same period last year where days/shifts lost per FTE was 6.12. The current quarter 3 position has also worsened when compared to the same period in 2019, where absence rate was 7.63 days/shifts per FTE.
- The Council continues to experience acute recruitment and retention difficulties across some business critical service areas such as residential care, domiciliary care, social work (particularly within Children

² Bank of England, [Monetary Policy Report](#), December 2021

and Young People Service Teams at the front door), waste/refuse services, catering (both within schools and residential care settings), as well more widely across other areas of the council in project management roles e.g. 21st Century schools. A lack of HGV/LGV drivers continues to be an ongoing area of concern, reflecting the national position with driver shortages.

Update on mitigations to this risk:

- Human Resources have been leading on the development of an Attraction strategy, good progress was made within its development and a draft was completed by the end of the quarter.
- Strategic Workforce Implementation Plan 2021-2025 was agreed by Senior Leadership Team in October 2021. A final draft of the Implementation Plan was considered by Cabinet for approval in February. The Implementation plans sets out our aspirations and visions for our workforce. It aims to address skill shortages being experienced across a range of services areas. Integral to this work will be the development of Operational Plans across all service areas.
- To address the emerging issues around parity in pay, the Council will be undertaking a pay grading review of all job descriptions from April 2022.
- During quarter 3, we have continued our focus on enhancing our wellbeing offering to staff and launched a 'Wellbeing, Resilience and Reflection' webinar based on 'trauma informed' practice for staff to access. The webinar aims to support the wellbeing of staff by understanding the impact of the pandemic has had, providing an opportunity to reflect back on individual experiences and to identify steps we can take towards our own recovery. The webinar also signposts staff to additional support such as counselling where needed.
- The development of an 'All Learning' catalogue is underway. This will enable staff to view/access all learning opportunities available as well as will enable us to effectively communicate reasons why some learning is mandatory. Work regarding this will be completed in quarter 4. In addition to this, the existing Learning Café will be further developed to enhance its reach and engagement with staff. This will be through targeted learning, promotion of external opportunities for development etc.
- Work is progressing on enhancing our management development programme in iDev. As well as current management development content, there will be an additional focus on developing softer skills and a new performance management module.
- In relation to social care workforce pressures, early-stage discussions have taken place regarding the potential to create Integrated Health and Social Care Apprenticeships.
- Strategic Workforce Planning Group has been established for Social Services and the associated capacity planning group is being led by a Principal HR Business Partner.
- Working closely with Social Care Wales in relation to a number of our workforce issues via their [We Care Wales programme](#). To enhance recruitment of domiciliary and care home staff we have developed a fast-track recruitment programme in the Vale that will enable us to recruit and train new starters in tandem, so that they become work ready.

2.2 Covid risk-

Based on the current quarter 3 position of COVID, its volatility and our ongoing response (mitigations) to date, this risk has sustained its medium/high (8) status. Given the uncertainty associated with emergence of new variants, it is forecast that this risk will maintain its static position.

Key drivers/developments:

- Emergence of new variant B.1.1.529 designated a 'variant of concern' and named Omicron (in line with Greek classification system).
- By December 2021, the Omicron variant quickly became the most dominant variant in the UK. Case rates rose rapidly in December, reaching as high as 246,780 cases in the UK in a single day (as at 30th December 2021)³.
- By the end of December, coronavirus infections also rose significantly in Wales. Coronavirus data for a 7-day rolling period (between 25th -31st December) showed that there had been 2,825 cases identified in

³ UK Health Security Agency, [Omicron daily overview](#), 31st December 2021

the Vale of Glamorgan, with a case rate of 2,114.7 per 100,000 (a significant rise when compared to the previous 7 day rolling period). The positivity rate has also accelerated to 51.1%⁴.

- Days lost due to self-isolation of staff across the Council has been high. This has predominately hit our front-line services the hardest, putting additional pressure on services such as waste, domiciliary care and schools to ensure business continuity.
- Between 1st April 2021 and 31st December 2021, across the Council as a whole (including schools), 5,100 days were lost due to self-solation. This figure equates to 2,087 council staff (excluding schools) and 3,013 school-based staff. Invariably the highest proportion of self-isolation days lost due to Covid was greatest across front line teams within Social Services (877 self-isolation days lost) and across the Environment and Housing Services directorate (278 self-isolation days lost).
- Data emerged by mid-December to suggest that this variant is potentially milder in terms of its disease presentation. Early estimates suggested between 30%-70% reduction in people requiring hospital treatment compared with previous wave⁵. However, caution was urged as at the time cases hadn't yet significantly moved into the older more vulnerable age groups.
- Despite initial concerns regarding Omicron, hospital admissions have remained relatively stable during the period. At the week ending 26th December, there were 47 positive cases on or prior to admission. At the week ending 26th December 2021, 5% (61) of all inpatients in hospital within the Cardiff and Vale University Health Board Trust were confirmed as Covid positive cases. This is in keeping with the rest of Wales where 5% (552) of inpatients across Wales were confirmed Covid cases.
- Vaccines and boosters are the best front-line defence to preventing against severe disease and hospitalisation. Significant expansion of the vaccination programme where booster vaccine has been offered to all adults and the vaccination window between primary (second dose) and booster doses was reduced to 3 months in order to accelerate vaccinations across the wider population⁶.
- The total number of doses of vaccine administered in Cardiff and the Vale of Glamorgan was 1,024,697 (comprising of 396,193 first doses and 362,542 second doses, 7,601 third doses and 258,314 boosters) as at 3rd January 2022⁷.
- Vaccination figures show that 70.9% of individuals aged 18-29 and 52.3% of 16-17-year-olds completed their primary course (two doses of vaccine) compared to vaccine uptake rates of 90% for those aged 60 years or older (as at 3rd January 2022)⁸.
- In relation to 12-15-year-olds, as at 3rd January 2022, 57.4% of this cohort in Cardiff and the Vale of Glamorgan had received their first dose and 6.2% their second⁹.
- The Welsh Government adopted the recommendation by JCVI that younger children aged 5-11 years old who are in an 'at risk' group or are a household contact of someone who is immunosuppressed should be offered two 10mg doses of Pfizer-BioNTech vaccine at an interval of 8 weeks apart¹⁰.
- The Welsh Government also approved offering a booster to all children young people aged 16-17, children aged 12-15 who are in a clinical risk group or a household contact of someone immunosuppressed and children and young people aged 12-17 years who are severely immuno-compromised and who have had a third primary dose¹¹.
- Following the emergence of Omicron, the UK Government announced that as of the 30th November all international arrivals will be required to take a day 2 PCR test and self-isolate until they receive a negative test¹². However, if they receive a positive result, they will be required to continue to self-isolate for 10 days¹³
- At the three-weekly review of Coronavirus protections on the 22nd December, the First Minister confirmed that Wales would move to Alert Level 2 from 6am on Boxing Day. Measures were

⁴ Public Health Wales, [Rapid Covid-19 Surveillance Data](#), accessed on 3rd February 2022

⁵ BBC News, [Omicron wave appears milder, but concern remains](#), 22nd December 2021

⁶ UK Government Press Release, [JCVI advice on COVID-19 booster vaccines for those aged 18-39 and a second dose for ages 12-15](#), 29th November 2021

⁷ Cardiff and Vale University Health Board, [Covid-19 Mass Vaccination Programme Dashboard](#), accessed on 3rd February 2022

⁸ Cardiff and Vale University Health Board, [Covid-19 Mass Vaccination Programme Dashboard](#), accessed on 3rd February 2022

⁹ Cardiff and Vale University Health Board, [Covid-19 Mass Vaccination Programme Dashboard](#), accessed on 3rd February 2022

¹⁰ Welsh Government Written Statement, [Covid-19 vaccination-Children and young people](#), 22nd December 2022

¹¹ Welsh Government Written Statement, [Covid-19 vaccination-Children and young people](#), 22nd December 2022

¹² Welsh Government [Written Statement, International travel changes](#), 29th November 2021

¹³ Welsh Government [Written Statement, International travel changes](#), 29th November 2021

reintroduced and applied to hospitality (including licensed premises), cinemas, theatres and public gathering (including events)¹⁴.

- The Welsh Government confirmed they would double the financial support available to support nightclubs, events, retail, hospitality, leisure and tourism businesses that have been impacted by the move to Alert Level 2. The financial support package known as Economic Resilience Fund increased to £120m¹⁵.
- The Welsh Government confirmed that as of 31st December anyone self-isolating due to Covid-19 must isolate for 7 days, but on day six of isolation they should take a lateral flow test and another test 24 hours later (on day seven). If both tests are negative, they are unlikely to still be infectious and can end their self-isolation period. However, if tests remain positive on days six and seven, they will need to isolate until they have two negative lateral flow test or until day 10, whichever is sooner¹⁶.

Update on mitigations to this risk:

Good progress has been made by directorates in implementing their recovery plans aligned to the Annual Delivery Plan.

- The Council's Communications Manager remains the lead for communications associated with the Test Trace Protect programme (TTP). During the quarter, a series of communications activities have supported a range of stakeholders both internally and externally, including schools, social care and the public. The Head of Service attends the Cardiff and Vale UHB's Mass Vaccination Programme Board to ensure linkages are made between that programme and the Council's contribution to other coronavirus/preventative actions.
- Regeneration and Planning continue to work on implementing a Town Centre first approach to retail and associated facilities through the planning system. Further funding is being made available for revenue and capital projects in our town centres for the remainder of this financial year.
- Across Homeless and housing services, we have undertaken viability assessments to increase temporary accommodation supply and block booking hotels. Partnership meetings continue to ensure key services are delivered to homeless households. The Task and Finish Group are developing options for increasing 'move on' of homeless households into more permanent accommodation.
- Care providers with active outbreaks were provided with support to arrange Local Health Board whole home testing, facilitate new admissions wherever possible and manage visits in accordance with a risk assessed approach. Care homes were also kept up to date with current Public Health Wales and Welsh Government guidance as the rules on outbreak management and testing changed in accordance with the revised winter plan for acute respiratory illness.
- The work of the COVID enforcement teams continues to ensure compliance with detailed advice being given to individual businesses to support them in operating safely and enforcing the regulations where necessary. During quarter 3, the focus of the teams shifted to the routine checking of arriving travellers with over 1000 checks being made in the Cardiff and Vale Health board area to establish if people are self-isolating as they should. In addition, checks were also made on positive cases that were referred by TTP to ensure they were self-isolating.
- The council has continued to maximise its use of resources and grant funding to operate its services in new ways. The Children and Communities Grant has been used to fund a variety of Children and Young People Services and the Council has benefited from additional Covid funds to increase services and reduce waiting lists. A proposal has been agreed to develop an additional mentoring service for children, a project to support children who have experienced domestic abuse and a family support project and a course focused on families with late diagnoses of Autistic Spectrum Disorder.
- Nearly all schools have a priority relating to pupils' wellbeing and there is a strong focus on supporting pupils' skills, particularly literacy skills. Improvement Partners continue to work alongside school leaders to monitor their progress and impact of priorities.

¹⁴ Welsh Government Written Statement: [Review of the Health Protection \(Coronavirus Restrictions\) \(No.5\) \(Wales\) Regulations 2020](#), 22nd December 2021

¹⁵ Welsh Government Press Release, [£120m financial support for businesses in Wales impacted by Omicron](#), 23rd December 2021

¹⁶ Welsh Government Cabinet Statement, [Self-isolation changes](#), 30th December 2021

- Schools continue to claim from the covid hardship grant and every time the guidance is updated by WG new guidelines are circulated to all schools. A total of £1,758,696 has been charged to the Covid Hardship grant for the period up to 23rd December 2021.

Market fragility risk

- This risk has continued to maintain its high-risk status (12) during the quarter 3 period.
- The key driving forces behind this risk are in relation to external workforce capacity. Our external care market continues to experience recruitment and retention difficulties in relation to domiciliary care and residential care positions.
- Anticipated that requirement to pay the real living wage will add to the cost pressures of external social care providers further diminishing financial resources alongside higher running costs.
- Financial impact of Covid continues to have a significant impact on financial viability of external social care market. Additional cost pressures are associated with sourcing PPE, carrying voids (empty beds) and acquiring appropriate insurance cover.
- Some residential settings are experiencing challenges in securing insurance cover. Conversations with some of our Care Home and Care Providers, have confirmed that the issues relate to securing suitable public liability insurance as a result of the exclusion of liability for Covid-related claims.
- This exclusion in the policy, poses a particular threat to Care Homes and Care Providers, as they could be potentially subject to significant financial losses as a consequence of Covid if they can't indemnify themselves against legal claims.
- A combination of all these above factors challenges the stability and financial viability of the sector. During quarter 3 period, a third residential care setting closed.
- Care home closures have put additional capacity pressures on our Council-owned care homes.
- Residents affected by the most recent closure were transferred to one of our own residential care homes.

Update on mitigations to this risk:

- The Council is working closely with our external care providers to look at ways to stabilise the sector.
- Additional funding received from Welsh Government in the form of the Recovery Fund. Some of this funding has been passported to providers to support them to sustain services and tackle workforce pressures.
- 27 domiciliary care providers have claimed a one-off amount of ringfenced funding for recruitment, staff retention and building up resilience. Funding is being used to attract and retain people in the sector via marketing, advertising, offering golden hello schemes, bonuses, bank staff and payment of registration fees.
- 45 care homes have claimed a one-off amount during the period. Similarly, the additional funding has been used to enhance recruitment, retention and resilience through investment in marketing, advertising, offering a golden hello scheme, paying for bank staff, payment of registration fees, team building events, training and staff wellbeing.
- The next agency for the 'Your Choice' scheme has been identified. Your Choice Guidance currently being reviewed with revised guidance to be rolled out to teams once approved. Blended rates have been agreed with two providers for commissioned packages of care. Progress has been made to meet with two further providers to discuss the Your Choice scheme and potentially agree a blended rate.

Demand Management Risk

- Risk has maintained its heightened high-risk status (12) during the period.
- The growth in demand for our services continues to be a significant issue for Social Services.
- A key driving force behind this risk is the rising numbers of children, young people and adults presenting with increasingly more complex needs.
- Workforce pressures continue to dominant this risk impacting on the capacity of our services to deliver social care services. Linked to higher staff turnover/shortages as well as difficulties in the recruitment and retention of staff. This continues to be acutely felt across residential and domiciliary care staff within Adult Services and within Children and Young People Services in relation to Social Work teams operating at the 'front door' (Care Planning and Proceedings Team and Integrated Family Support Teams).

- The Pandemic continues to have an impact on demand management. Some adults convalescing from a Covid infection will have been discharged from hospital but may have many more weeks of recovery ahead of them. Consequently, this puts our services under further strain with an increase in demand for either reablement packages or residential care.
- Delayed presentation of care needs by citizens also impacts on our ability to support them and signpost to preventative services at the earliest opportunity. In turn this results in citizen's presenting with more complex care needs that require greater levels of intervention/support.

Update on mitigations to this risk

- Recruitment drive to recruit more Reablement Support Workers was delivered mid-October. VCRS successfully appointed to four Reablement Support Worker positions during quarter 3. Consideration is also being given to developing Kick Start opportunities within VCRS for candidates who can drive.
- Weekly reporting process in place for escalation of issues/concerns both in relation to the Health Board and between the Director for Social Service, Heads of Service and Cabinet Member to ensure issues/risks are escalated and there is proactive management of concerns.
- Continue to analyse demands and trends to establish required levels of resources to meet demand at the 'front door'.
- Progress being made to transform the existing Single Point of Access (SPoA) into a broader Wellbeing Matters service to ensure we can effectively integrate our resources at the 'front door' and signpost to preventative services where applicable. This will ensure that we can meet the needs of individuals at the right time and with the right team/professional.
- Agreement to establish and recruit new Social Care Officer posts within Children and Young People Services. This will enable us to enhance our ability to 'grow our own' by building resilience and enhancing retention in key areas.
- Progress has been made on developing dashboards to provide us with a greater understanding of our workforce pressures and levels of demand across our services.
- Our wellbeing offering for staff has been enhanced to support the wellbeing of our staff and to promote a better work/life balance.

SECTION A: 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 '21 st Century Schools' agenda. Failure to effectively plan and provide sufficient school places to meet demand in relation to both English and Welsh Medium provision.
CR4	Waste Appendix 4	Failure to fund the national waste agenda and its associated targets.
CR5	Workforce Needs Appendix 5	Inability to anticipate and plan for workforce needs in the future in order to meet the changes in demand and provision of services. (Risk links to Reshaping risk and legislative reform risk)
CR6	Information Security Appendix 6	Failure to implement adequate information management controls and systems across the Council.
CR7	Environmental Sustainability Appendix 7	Failure to reduce our carbon footprint and mitigate against the impact/effects of climate change.
CR8	Welfare Reform Appendix 8	Roll out of Welfare Reform programme has a detrimental financial and social impact on residents.
CR9	Public Buildings Compliance Appendix 9	Failure to comply with our statutory responsibilities for ensuring the health, safety and welfare of both our staff and citizens when using Council owned and leased assets.
CR10	Safeguarding Appendix 10	Failure to meet our statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse.
CR11	Integrated Health & Social Care Appendix 11	Inability to develop, commission and implement alternative models of service delivery that fully integrate how we deliver health and social care services across organisational boundaries and on a regional footprint.
CR12	DoLS Appendix 12	Failure to effectively safeguard adults who are at risk of deprivation of liberty.
CR13	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	COVID-19 Appendix 16	Two aspects of the COVID risk: 1) Response: Capacity to maintain service continuity of business-critical services. 2) Recovery: Ability to address longer term impact of COVID on our services, citizens and communities. E.g. downturn in the economy, unemployment, poverty, lower educational attainment, long term health and social care issues, as well as the emergence of inequalities across BAME groups.
CR17	Market Fragility Appendix 17	Market fragility describes the weaknesses/vulnerabilities in the social care sector to provide social care services. Most of these vulnerabilities relate to operational capacity linked to financial and/or workforce related challenges.
CR18	Demand Management & Service Capacity	The key risk aspects of this risk can be defined as insufficient social care capacity to meet the significant growth in demand for social care services. This is not just in the context of the volume of demand, but also the severity and complexity of need.




SECTION B: CORPORATE REGISTER SUMMARY

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

Risk Ref	Risk	Inherent Risk Score	Effectiveness of Controls score	Residual Risk Score			Direction of Travel ¹⁷	Forecast Direction of Travel ¹⁸
				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	12 (H)	2 (M/L)	4	2	8 (M/H)	↔	↔
6	Information Security	12 (H)	2 (M/L)	2	3	6 (M)	↔	↓
7	Environmental Sustainability	12 (H)	4 (M)	2	3	6 (M)	↔	↑
8	Welfare Reform	12 (H)	4 (M)	2	3	6 (M)	↔	↑
9	Public Buildings Compliance	9 (M/H)	4 (M)	2	2	4 (M)	↔	↔
10	Safeguarding	9 (M/H)	4 (M)	2	2	4 (M)	↔	↔
11	Integrated Health and Social Care	9 (M/H)	4 (M)	3	2	6 (M)	↔	↓
12	Unauthorised Deprivation of Liberty Safeguards	9 (M/H)	2 (M/L)	3	2	6 (M)	↔	↔
13	Welsh Community Care Information System (WCCIS)	12 (H)	2 (M/L)	4	2	8 (M/H)	↔	↔
14	Brexit	12 (H)	2 (M/L)	3	3	9 (M/H)	↔	↔
15	Additional Learning Needs	9 (M/H)	2 (M/L)	3	3	9 (M/H)	↔	↔
16	COVID-19	16 (VH)	2 (M/L)	2	4	8 (M/H)	↔	↔
17	Market Fragility	12 (H)	1 (L)	4	3	12 (H)	↔	↔
18	Demand Management & Service Capacity	12 (H)	1 (L)	4	3	12 (H)	↔	↔

¹⁷ **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.

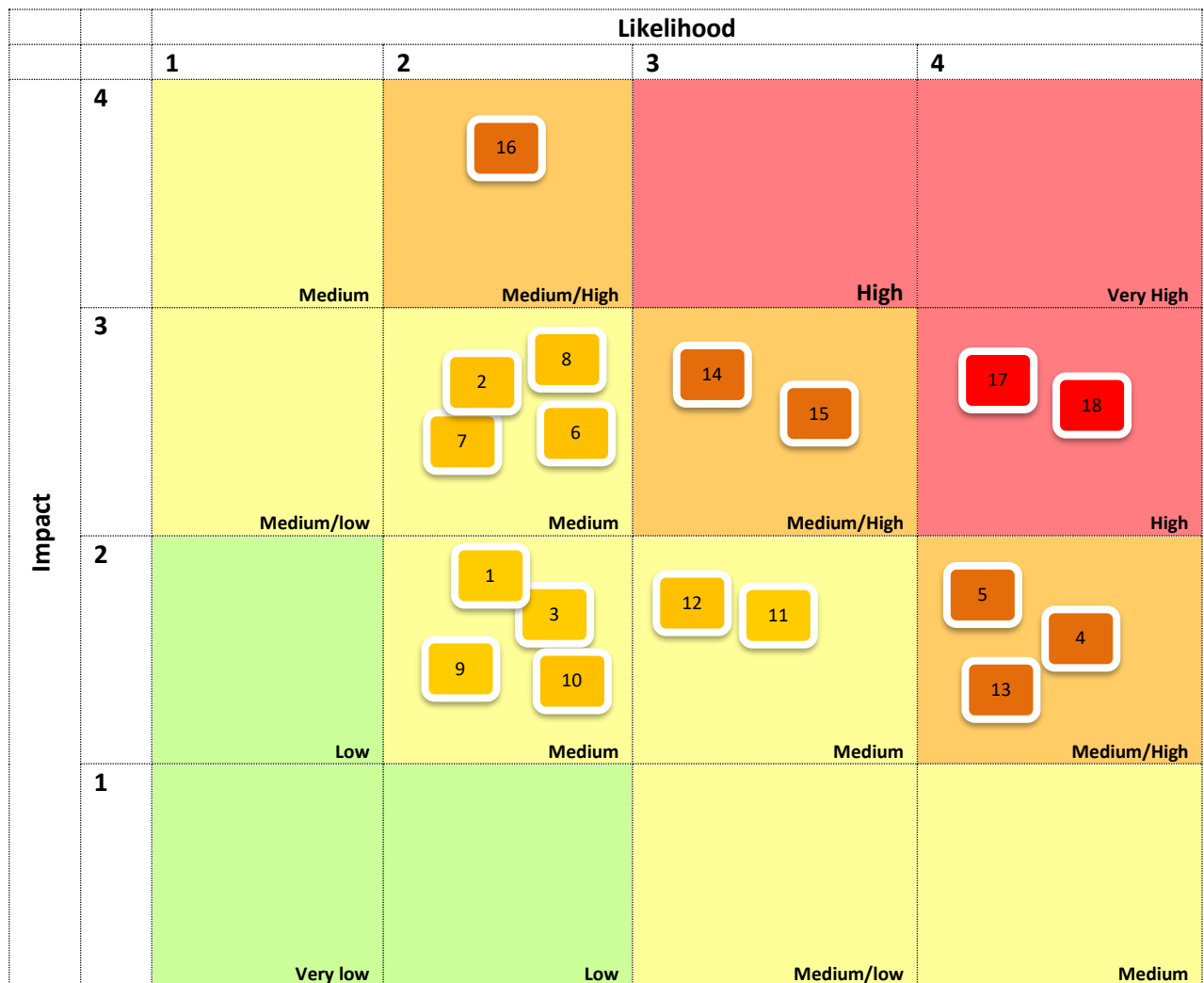
¹⁸ **Forecast direction of travel** anticipates the future direction of the risk by taking into account factors that are likely to impact on it

 Risk increasing,
  Risk is decreasing,
  Risk remaining static

SECTION C: OVERALL RISK HEAT MAP

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

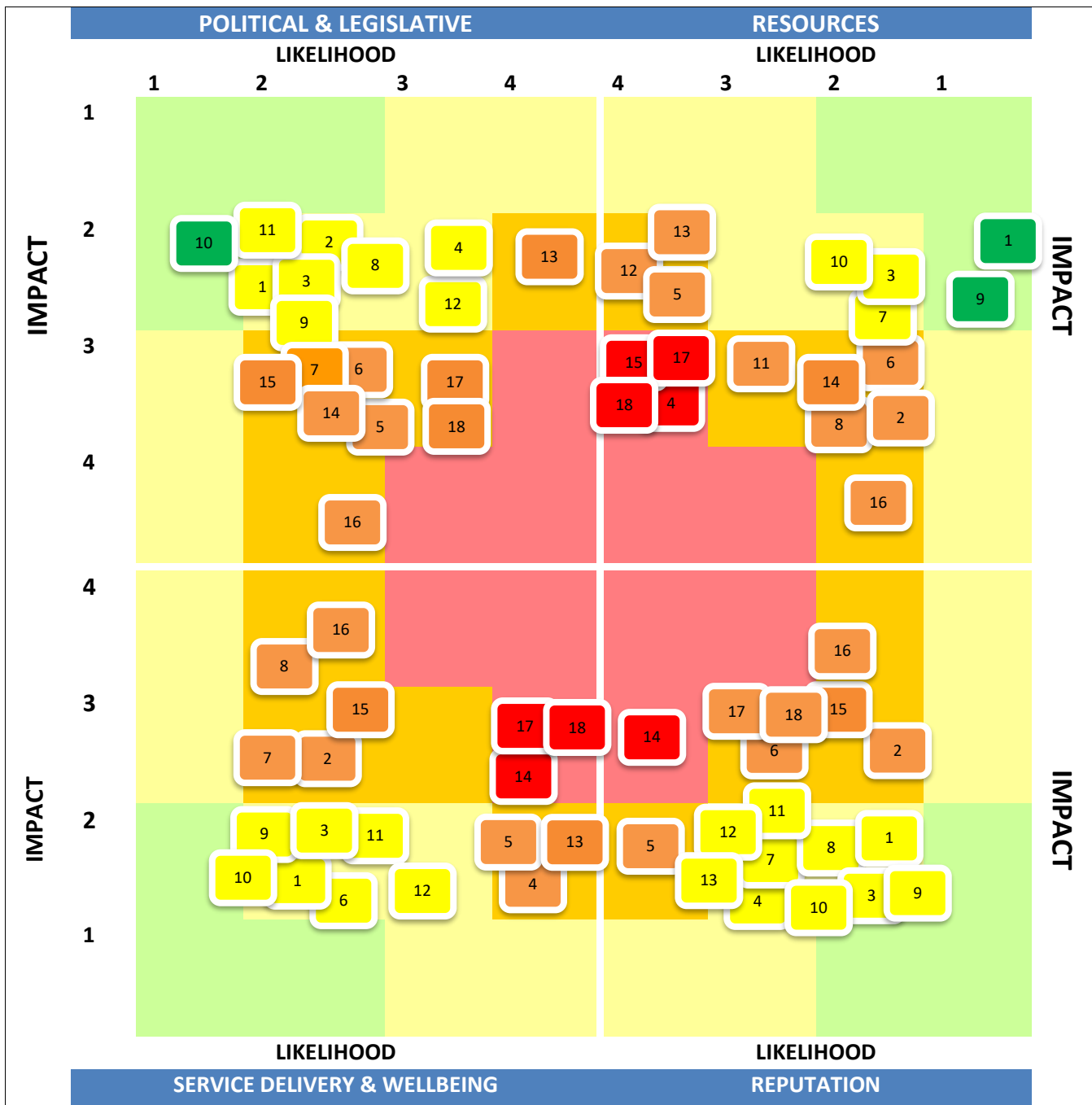
- The heat map for quarter 3 shows that the greatest number of risks continue to congregate at a medium status.
- Additional Learning Needs, Brexit, COVID-19, Waste, Workforce and WCCIS risks have maintained their Medium/High status.
- There are no risks on the Register below a medium status.
- Market Fragility and Demand Management & Service Capacity have maintained their high (12) status on the Register.



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

SECTION D: THEMATIC RISK HEAT MAP

- The majority of risks continue to congregate around medium across all risk categories, with a greater concentration of amber status (medium/high) risks in relation to political and legislative, resources and service delivery-based aspects of risk.
- The Brexit risk remains in the high category of the quadrant (with a residual score of 12) across two risk categories (Service Delivery & Well-being and Reputation) this reflects the ongoing uncertainty following the end of the transition period. The Additional Learning Needs risk remains in the high category of the quadrant (residual risk of 12) in relation to resources aspects of risk representing the cost pressures the ALN Act places on resources. The waste risk has been placed in the high category quadrant (with a residual score of 12) in relation to the resources category and medium/high quadrant in relation to service delivery and well-being in reflection of the financial and workforce pressures are putting on service delivery.
- Both the Market Fragility and Demand Management & Service Capacity risk maintained a high-risk status (12) across all four risk themes. Despite putting a series of controls in place there are ongoing difficulties that are outside our control and as such the controls we have put in place are having a limited impact on the risk overall.



SECTION E: RISK MANAGEMENT PLAN- RAG STATUS OVERVIEW

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

- 91.5% (206) of actions were allocated a Green status (completed or on track) and 3.1% (7) were allocated an amber status reflecting minor slippage and 5.3% (12) were allocated a red status at the end of quarter 3.
- 100% of risk actions contained in the Risk Management Plans for Legislative Change & Local Government Reform, Waste, Welfare Reform, Public Buildings Compliance, Safeguarding, Integrated Health & Social Care, Brexit and Demand Management are on track (including completed actions) in terms of progress, so have been allocated a green status.
- Deprivation of Liberty Safeguards risk has seen the greatest slippage in progress during the quarter with all actions being allocated a red status. The slippage reported during this quarter correlates with the delays associated with the publication of the Code of Practice. The Council is awaiting the Welsh Government's publication of the Code of practice before the remaining mitigations associated with this risk can be progressed.

Corporate Risk	RAG Status				Total number of Actions	Total number of actions where RAG is applicable.
	GREEN (Completed)	GREEN (On Track)	AMBER (Minor slippage)	RED (Slipped)		
CR1: Reshaping Services	5.2% (1)	89.5% (17)	N/A	5.2% (1)	20	19
CR2: Legislative Change & Local Government Reform	N/A	100% (6)	N/A	N/A	6	6
CR3: School Reorganisation & Investment	N/A	67% (4)	33% (2)	N/A	6	6
CR4: Waste	N/A	100% (11)	N/A	N/A	11	11
CR5: Workforce Needs	11% (2)	72% (13)	N/A	17% (3)	18	18
CR6: Information Security	N/A	71% (5)	N/A	29% (2)	7	7
CR7: Environmental Sustainability	5.5% (2)	86% (31)	3% (1)	5.5% (2)	36	36
CR8: Welfare Reform	N/A	100% (8)	N/A	N/A	8	8
CR9: Public Building Compliance	N/A	100% (7)	N/A	N/A	7	7
CR10: Safeguarding	18% (2)	82% (9)	N/A	N/A	11	11
CR11: Integrated Health & Social Care	N/A	100% (10)	N/A	N/A	10	10
CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs)	N/A	N/A	N/A	100% (3)	3	3
CR13: Welsh Community Care Information System (WCCIS)	N/A	50% (1)	N/A	50% (1)	2	2
CR14: Brexit	N/A	100% (15)	N/A	N/A	15	15
CR15: Additional Learning Needs (ALN)	N/A	83% (10)	17% (2)	N/A	12	12
CR16: COVID-19	3.5% (1)	93% (27)	3.5% (1)	N/A	29	29
CR17: Market Fragility	N/A	87.5% (7)	12.5% (1)	N/A	8	8
CR18: Demand Management & Service Capacity	12% (2)	88% (15)	N/A	N/A	17	17
Totals	4.4% (10)	87.1% (196)	3.1% (7)	5.3% (12)	226	225

SECTION F: RISK ACTION EXCEPTIONS (RED STATUS)

Risk	Action Ref	Action Description	Commentary
CR1: Reshaping Services	RSR/PB002 (PB/A006)	Undertake a review of the customer relations operating model.	Operational pressure has meant that this work is delayed. Patterns of demand during the Pandemic have changed and it has made forecasting of our customer needs and expectations less certain. However, implementation of the new Gov Service digital customer experience platform is expected to drive take up of online self-service. In addition, ongoing projects such as 'Wellbeing Matters' and Vale Alliance will have a significant influence on the future operating model. It is highly likely that this work will be carried forward to 2022/23.
CR5: Workforce Needs	WFR/HR004 (HR/A004)	Develop an Engagement Strategy to increase diversity within the Council's workforce, including the Council's Apprenticeship and KickStart Schemes	Further work has been undertaken during Q3 to review the application process for some of the hard to fill roles, to enable applicants to complete forms more effectively. Work will also be undertaken as per the annual reporting cycle to produce data on staffing equalities information as part of our Public Sector Equality Duty, and this will be reported during Q4. Further work will also commence in Q4 to improve further online access and advertising of jobs which will help support the 16-24 age population.
	WFR/SRS003 (SRS/A003)	Continue to develop a recruitment strategy together with retention initiatives to address skill gaps within the Shared Regulatory Service.	This piece of work has not progressed in the manner envisaged. SRS has a series of initiatives in place such as match funded training, professional subscriptions, The additional work generated by the Coronavirus regulations has drawn students into the SRS, but few are entering the Food and TS disciplines where shortages are most acute. Consequently, consideration may need to be given to other financial measures, market supplements if the current skills shortage persists.
	WFR/HS005	Undertake a restructure of Building Services.	The Department has moved back into response phase to covid pandemic. Restructure proposals unlikely to be progressed until next financial year.
CR6: Information Security	ISR/HR001	Review the business requirements for governance, information management controls and policies and	The review has slipped slightly during quarter 3 but will be picked up again in quarter 4.

Risk	Action Ref	Action Description	Commentary
		procedures as part of the review the HR business partner structure.	
	ISR/SRS001	Undertake a review of information security against GDPR regulations.	No progress against this action this quarter.
CR7: Environmental Sustainability	ESR/NS008 (NS/A012)	Work with partners including the Cardiff Capital Region, Welsh Government and landowners to develop sustainable transport links to the airport including cycle, bus and rail links.	No progress made with landowners to gain access to land to complete surveys. Discussions being held with internal teams to use drone to survey area.
	ESR/NS015 (NS/A050)	Revise the Local Flood Risk Management Strategy in response to the updating of the National Flood and Coastal Erosion Risk Management Strategy	Update on hold pending guidance from Welsh Government.
CR12: DoLS	DOLR/RMS001	Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards (LPS).	Work remains ongoing. The implementation date of LPS has been delayed from Central and Welsh Government. The draft codes of practice are yet to be received and reviewed. Mapping and scoping work continues via the LPS implementation group.
	DOLR/RMS002	In partnership with legal services, progress DoLS community applications to ensure the least restrictive practice is utilised and assessments proportionate	Mapping work continues in relation to community DoLS to align with LPS operational requirements when implementation date is known.
	DOLR/AS001	Progress DoLS community applications to ensure the least restrictive practice is utilised and assessments proportionate.	No further update to Q2. In preparation for the impending implementation of the Liberty Protection Safeguards, all team managers are encouraged to raise awareness within their teams of the 'acid test' for deprivation of liberty to ensure all people living in domestic setting but are deprived of their liberty have the opportunity for their situation to be assessed to ensure that their care arrangement is in their best interests. This has enabled the teams to identify individual Care and Support Plans that require the authorisation for the Court of Protection. The team is currently working with legal in preparation of Court for a small number of individuals. The Liberty Protection Safeguards draft code of practice has been delayed and the date of implementation is expected in Q1 2022-23.

Risk	Action Ref	Action Description	Commentary
CR13: WCCIS	WCSR/RMS001 (RMS/A004)	Explore the use of technology to support payment for certain services. (e.g. WCCIS Financial Module development)	Agreement has been given that this action will not be completed until next financial year due to the performance issues of WCCIS following the upgrade.

SECTION G: Risk Scoring Definitions

Inherent and Residual Risk Scoring

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

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

See matrix below:

Possible Impact or Magnitude of Risk	Catastrophic	4 <i>MEDIUM</i>	8 MEDIUM/HIGH	12 HIGH	16 VERY HIGH
	High	3 <i>MEDIUM/LOW</i>	6 <i>MEDIUM</i>	9 MEDIUM/HIGH	12 HIGH
	Medium	2 LOW	4 <i>MEDIUM</i>	6 <i>MEDIUM</i>	8 MEDIUM/HIGH
	Low	1 VERY LOW	2 LOW	3 <i>MEDIUM/LOW</i>	4 <i>MEDIUM</i>
Low 1-2 Low/Medium 3 Medium 4-6 Medium/High 8-10 High 12-16		Very Unlikely	Possible	Probable	Almost Certain
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 (WCCIS)	Appendix 13
CR14: Brexit	Appendix 14
CR15: Additional Learning Needs (ALN)	Appendix 15
CR16: COVID-19	Appendix 16
CR17: Market Fragility	Appendix 17
CR18: Demand Management & Service Capacity	Appendix 18

1 – Risk Overview						
1.1 Risk Description		Failure to deliver the Reshaping Services Programme				
<p>There is a risk that the Council fails to deliver the Reshaping Services Programme and therefore does not utilise alternative methods of service delivery and other approaches to mitigate the impact of financial pressures and demand challenges, thereby resulting in reductions to services significantly impacting their availability and quality.</p> <p>In December 2019, the Welsh Government announced its provisional financial settlement for local government for 2020/21 which outlined provisional budgets for councils across Wales. In the context of previous settlement, the announcement was better than expected with figures indicating a 4.9% increase in Revenue Support Grant funding for the Vale of Glamorgan and that was considered as part of our budget setting process for in 2020/21. The Council has chosen a strategy for the year to make relatively modest levels of savings and as such, the year is to be used to identify transformational change projects reflecting the ambitions within the new Corporate Plan as well as in addressing the financial pressures associated with increasing demands and expectations for services.</p> <p>There is the risk associated with pursuing the Reshaping Services agenda, namely the new skills and capacity required to manage significant change at a time of diminishing resources and using approaches that are relatively new concepts to the Council and its partners.</p> <p>There is also the risk of a judicial review particularly in relation to Reshaping Services agenda where new models of service delivery are developed. This could have both financial and reputational consequences if a judicial review finds our actions to be unlawful.</p> <p>COVID has put council services under enormous pressure which has significantly challenged how we deliver our services and fulfil our statutory roles and functions. Although the pandemic has in part disrupted the delivery of the Reshaping Services agenda, it has fundamentally challenged our outlook on the way in which services are delivered. This has provided us with an opportunity to reflect on the way in which we operate and deliver services to our citizens as we move towards recovery. Critical to this will be the Council’s response to these opportunities and challenges and how the Reshaping Services programme can evolve and adapt to a rapidly changing landscape.</p>						
1.2 Risk Owner		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	<p>Projects fail to develop and deliver business cases which meet the Reshaping Services financial savings targets as outlined in the Council's medium-term financial plan.</p> <p>Fail to develop and mobilise sufficient skills and capacity to develop and deliver the Programme and manage new ways of working.</p> <p>Failure to maximise the use of our existing assets and technology to deliver services in a cost effective and efficient way.</p> <p>The pandemic disrupts the Reshaping Services programme delivery and the ability to secure in-year efficiencies and income.</p> <p>Loss of income and the inability to explore further income generation opportunities due to impact of the pandemic.</p>
Service Delivery and Wellbeing	Yes	<p>Fail to maximise opportunities to improve service delivery and mitigate the impact of budget reductions via alternative methods of service delivery.</p> <p>Failure to safeguard the well-being of individuals and communities and provide services which meet the diverse needs of the local community. Failure to continue to provide priority services and engage with customers in the provision of services.</p> <p>The programme fails to communicate and engage effectively with service users and partners to identify and deliver the alternative ways of working.</p> <p>The risk that the pandemic significantly disrupts delivery of Reshaping projects.</p> <p>Impact of the coronavirus on demand for services. Failure to respond effectively to the changing policy landscape may impact on our ability to meet the changing needs of our communities and our capacity to deliver services by alternative means.</p>
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	<ul style="list-style-type: none"> 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
Resources	<ul style="list-style-type: none"> 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. 	3	2	6

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> The SRS budget agreed in December 2021 by the Joint Committee. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> Business cases consider non-financial implications of any proposed changes. Equality Impact Assessments embedded within the overall programme's management approach. Communications and engagement activities inform project development. CAT guidance produced and implemented. Exploration and implementation of alternative care and support models within Social Services have enabled us to effectively support our most vulnerable citizens in their communities especially during the Pandemic. 	2	2	4
Reputation	<ul style="list-style-type: none"> Risk management contained within project documentation. Regular updates to Cabinet and Programme Teams on status of the programme. Consultation on the Council's budget annually includes questions relating to the approach being taken on Reshaping Services. Programme Teams include representatives of partners (Voluntary Sector and Town & Community Councils) Communications campaign to support the Strong Communities Grant Fund where there is a sound business case for the Council to transfer assets to others. Budget consultation process was completed during December and January and the results were reported as part of the budget setting process in February / March 2021. 	2	2	4
Overall Effectiveness of Controls		2	2	4

2.3 Residual Risk Scoring & Direction of Travel

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

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/PB001 (PB/A011)	Lead on the development and delivery of a new Transformational Change Programme with an emphasis on community, resources and new ways of working.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On track)
RSR/RP001 RSR/FIT001 RSR/HS001 RSR/HR001 (HR/A001) RSR/NS001 RSR/SRS001	Support delivery of the next iteration of the Council's Transformational Change Programme to respond to current and future organisational challenges.										DM ER T Baker MG CL MI TD ER		
ACTION UPDATE:	<p>Following Cabinet's approval for the new Reshaping programme in March 2022, work has continued on the project monitoring arrangements, resources and any additional governance arrangements required to deliver the cross-cutting programme. The Programme Board has continued to meet to provide oversight to this activity, including receiving presentations on the Climate Change Challenge Plan, Culture Book, Social Services Reshaping Programme and work on the Llantwit Major Food Poverty project.</p> <p>Work to support reshaping, organisational change and transformation particularly around economic growth and regeneration and the support of local businesses continues and will be developed over the last quarter. This work will be led and advised by changes to UK Government funding, however, we still await clarity in this regard. A White paper is expected on Levelling Up and Shared Prosperity at the end of January 2022.</p> <p>The Finance service contributes to this work as required via inclusion in various working groups and supporting individual service as required</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>Within Housing Services, block booking of rooms at three hotels is in place through till the end of March 2022. WG funding in place and review of temporary accommodation usage being reviewed. Final report from the Task and Finish Group of Homes and Safe Communities Scrutiny Committee is due to be submitted in February. Continuing to develop options for move on accommodation and to increase the supply of more permanent single persons accommodation. New Housing and Building IT system tendered and a decision on successful system to be reported to Cabinet February 2022.</p> <p>The Heath, Safety and Wellbeing Team continue to support the Council and Schools as required. Work will be undertaken to roll out NEBOSH training to managers. Covid response continues to be provided and updated as guidance changes.</p>												
RSR/PB002 (PB/A006)	Undertake a review of the customer relations operating model.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TC	March 2022	Red (Slipped)
ACTION UPDATE:	Operational pressure has meant that this work is delayed. Patterns of demand during the Pandemic have changed and it has made forecasting of our customer needs and expectations less certain. However, implementation of the new Gov Service digital customer experience platform is expected to drive take up of online self-service. In addition, ongoing projects such as 'Wellbeing Matters' and Vale Alliance will have a significant influence on the future operating model. It is highly likely that this work will be carried forward to 2022/23.												
RSR/PB003 (PB/A008)	Establish mechanisms to ensure that across Council services, information is shared about planned consultations, engagement and outcomes to reduce duplication and strengthen the Council's evidence-base.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	<p>Work has continued during the quarter to build the Council's "Insight" function, drawing together public perception (consultation, engagement, involvement information), performance and data/research forms of insight. A series of discussions have been held at the Insight Board to discuss the public engagement database and a calendar of public engagement activities has been developed. This has been populated with key aspects of the Council's forthcoming engagement/consultation work, including the consultation on the Council's Annual Delivery Plan and budget which launched during the quarter. A revised section on the intranet has been completed to provide access to this information for other colleagues. This work will inform the development of the Public Participation strategy which is required in 2022 and will be reported for approval in Q4.</p>												
RSR/PB004 (PB/A009) RSR/NS002 (NS/A002) RSR/FIT002 (FS/A003)	<p>Contribute to projects that seek to use our property and land assets to support changes in service delivery, including agile working, tackling climate change and achieving financial savings (ADP/004)</p> <p><i>Milestone action: Prepare the necessary reports to Cabinet which (if approved) will be implemented to assist with reshaping savings in respect of savings/income, sports grounds, parks, open spaces, allotments, public conveniences and sports clubs.</i></p> <p>Use our property and land assets to support changes in service delivery, including agile working.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring ER	March 2022	GREEN (On Track)

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/SRS001 (SRS/A002)	Maximise mobile working opportunities by reviewing ICT and mobile working needs across the service including evaluating options for virtual communication between staff and other stakeholders to ensure service continuity.										CL DH		
ACTION UPDATE:	<p>During the quarter, Policy & Business Transformation has contributed to key projects associated with the Council's assets. The future use of office accommodation has been explored, with the Eich Lle - Your Space project underway bringing together a strategy for office accommodation with digital and people considerations to ensure a strategic approach is taken to this area of work. Data collection from all service areas was completed in Q3 and this is being analysed to plan spaces for the future ways of working.</p> <p>PV panels are presently being installed at Cowbridge Leisure Centre as part of the roof replacement scheme. This is one of a number of initiatives within Leisure Centres aimed at reducing energy use thereby tackling climate change and achieving further savings. E-taxi "try before you buy" scheme launched by CCR. 2 taxis in the VOG. Additional EV charging points at key locations within Council ownership installed.</p> <p>Further progress has been made with commercial concessions, BSC2 tender has been awarded and a preferred bidder for Cosmeston water Sports delivery has been awarded. Further food concessions have been developed and will be marketed ready for the 2022 season. Work alongside business improvement colleagues to collect data on accommodation has commenced and a property solution is being developed in Q4.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>During Qtr 3, a small-scale test of a mobile device loaned from ICT was undertaken within the service. This required the setting up of a process to facilitate the completion of inspection forms electronically during a visit/inspection. Whilst feedback suggested that the device did not meet all our specifications, the opportunity to trial the use of an electronic inspection form has provided positive feedback for us to work with going forward. We will liaise further with ICT to explore opportunities for alternative devices to be trialled. In addition to this trial, representatives from SRS have joined a working group to explore options for developing an electronic Food inspection form within Tascomi and are currently testing this.</p>												
RSR/PB005 (PB/A010)	Work with Social Services to review Telecare services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)
ACTION UPDATE:	Customer relations continues to support the review of Telecare services, taking an active role in all aspects of the project.												
RSR/RP002 (RP/A001)	Continue to focus on developing the digital delivery of services focusing on productivity and customer experience.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
ACTION UPDATE:	All staff working from home using remote technology. All planning and building control services are available on-line and the department functions as a paperless office. As the Council moves towards a more permanent hybrid working approach it is becoming clear that space to work collaboratively and with external partners will be a priority.												
RSR/HS002 (HS/A002)	Continue to contribute towards the Council's Digital Vale programme by	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	developing a Digital Transformation Strategy for Housing and Building Services.												
ACTION UPDATE:	Initiatives to promote digital inclusion continue. Housing staff also link in with the Corporate Group set up to reduce barriers faced by some households.												
RSR/SL001 (SL/A003)	Deliver ICT infrastructure improvements within schools in line with the Welsh Government's Education Digital agenda and to support new ways of working resulting from COVID-19.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	GREEN (On Track)
ACTION UPDATE:	1,309 devices have been enrolled into Hwb's Microsoft InTune MDM for remote management. Still awaiting delivery of the Windows and Google devices. 81 large format/front of classroom displays have been delivered/installed, with the remaining 16 to be installed during the next quarter. Awaiting delivery of the Windows and Google devices.												
RSR/SL002 (SL/A001)	Update Council's Digital Strategy to reflect the changing needs of the council and its citizens, and to expand the range of digital methods used to engage and communicate with Vale of Glamorgan citizens.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	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:	CGI have carried out their Digital Maturity Assessment and have submitted a draft report for review prior to final sign off. The report will be signed off in Q4 2021/22, with recommendations being implemented in 2022/23												
RSR/FIT003 (FS/A002)	Engage with Vale of Glamorgan citizens on budget issues to inform the Council's Transformational Change Programme for 2022/23.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	N/A (Work not due to commence)
ACTION UPDATE:	This piece of work will be undertaken with the Comms team during December 2021 with results to be collated during January 2022.												
RSR/FIT004 (FS/A004)	Reshape procurement practices and policies to ensure our procurement activities contribute to the national well-being goals and support work around climate change.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
ACTION UPDATE:	A cost pressure has been submitted to address this to ensure that issues such as the climate emergency, supply chain issues and using local companies can be taken forward via the procurement process. Outcome of bid will be known in Q4.												
RSR/ALN001 RSR/LS001	Respond to current and future organisational challenges as part of the Council's Transformational Change Programme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD DM	March 2022	GREEN (On Track)
ACTION UPDATE:	Progress continues to be made in implementing change across the ALN division. Very positive feedback has been received on the ASD provision created at Whitmore High School and further planning is taking place to further develop this and other provisions to build on the success already achieved.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Support provided by Legal and Democratic Services at Senior Leadership Team meetings.												
RSR/AS001 (AS/A005)	Review our new ways of working in response to the pandemic to inform the transformation of services going forward.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>A model of strength-based and outcome focused assessment and care management is being developed utilising existing best practice from around d the UK and adapting to inform Adult Services in the Vale of Glamorgan. It is clear that Adult Services practitioners already work in a manner that respects and strengths of individuals and seek to help people to achieve their personal outcomes. the next stage of this work is to undertake stakeholder engagement exercise to fine tune the service modelling.</p> <p>The Head of Service has liaised with Operational Managers to consider our operating models post Covid and seeking to inform the accommodation strategy for our teams moving forward. We have engaged with this process and ensure full participation to shape the future accommodation needs fit for the purpose to deliver high quality services to those we support. The integrated nature of the Adults Division has required Cardiff and Vale UHB and Swansea Bay UHB as key delivery partners are appraised of the accommodation review.</p>												
RSR/AS002 (AS/A004)	Investigate opportunities to improve provision and access to care and support services via digital means (e.g. Self-assessments, Telecare)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	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:	<p>The Telecare Service has recently procured a new digital database to enable a sustained future in readiness for the telecommunications digital transfer and to allow the Telecare service to grow and take advantage of the changing technology and adapt to the changing expectations of our service users and potential Telecare customers.</p> <p>In addition, Adult Services are working with Customer Relation colleagues to make the most of the new CRM platform to explore new web-based opportunities for referral management and self-assessments and more intelligent, targeted access to Information.</p>												
RSR/AS003 (AS/A003)	Undertake a review of our assets to enable the service to respond to or changing accommodation requirements in order to meet future service needs.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>The HoS has liaised with Operational Managers to consider our operating models post Covid and seeking to inform the accommodation strategy for our teams moving forward. We have engaged with this process and ensure full participation to shape the future accommodation needs fit for the purpose to deliver high quality services to those we support. The integrated nature of the Adults Division has required Cardiff and Vale UHB and Swansea Bay UHB as key delivery partners are appraised of the accommodation review.</p>												
RSR/CS001 (CS/A003) RSR/RMS001 (RMS/A006)	Determine our preferred operating model in terms of service delivery to inform future building / space requirements.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	RE AP	March 2022	GREEN (On track)
ACTION UPDATE:	<p>Within Social Services, further update is awaited from the Council's space project. In the meantime, the Children and Young Peoples Division continues to operate in line with current guidance. Within Resource Management and Safeguarding division, a survey was completed by OMs on service requirements regarding buildings etc.</p>												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/RMS002 (RMS/A005)	Implementation of digital medication in our residential care homes.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ACTION UPDATE:	ICT survey has been completed and pilot will commence in Ty Dyfan in February 2022.												
RSR/FP003 (RP/A020)	Work with Financial Services to review the Capital Programme and the use made of the Council's assets to support recovery and economic growth including the consideration of an investment strategy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
ACTION UPDATE:	Development work has been undertaken to draft an investment strategy and we hope to finalise this in Q4. Capital project delivery is proving challenging in some cases due to lower than usual levels of interest from contractors.												
RSR/NS003	Secure income from enforcement, inspections and fleet sponsorship.		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)
ACTION UPDATE:	Enforcement update presented to Cabinet and report requested for later in 2022. Income still high.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/SRS002	Formulate the next three-year financial programme (2021-2024) with all three partner Councils.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	GREEN (Completed) Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The SRS budget was agreed in December 2021 by the Joint Committee. Given the uncertainty around Coronavirus and the additional work generated thereby, a longer-term budget programme has been deferred until the 2023/25 period.												

Return to Risk Summary Report

1 – Risk Overview	
<p>1.1 Risk Description</p>	<p>This risk focuses on how we respond to new and emerging legislative requirements, particularly where the nature of the legislation is cross-cutting in terms of the impact it has on a variety of service areas. There is the risk that there is a failure to be able to effectively co-ordinate the implementation of significant legislative change across the breadth of Council services/functions. This applies to key pieces of legislation such as the Local Government & Elections (Wales) Act 2021.</p> <p>The Local Government and Elections (Wales) Act 2021, in terms of reforming Local Government sets out a series of provisions, including:</p> <ul style="list-style-type: none"> • 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 <p>As a result of the pandemic, scrutiny of the Local Government and Elections (Wales) Act was delayed. Stages 2 and 3 of the scrutiny process resumed at the latter end of 2020 before the Bill was agreed in Plenary by the Senedd on 18th November 2020. The Bill became an Act when it received royal assent on the 20th January 2021. In preparation for this legislation gaining royal assent, the Council has developed an action plan through which key requirements of the Act are addressed. This action plan has been referenced in the Risk Management Plan through the extraction of some high-level actions that contribute to mitigating risks associated with implementing new requirements of the Act.</p>
<p>1.2 Risk Owner</p>	<p>Senior Leadership Team</p>

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

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

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


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

2.2 Controlling Inherent Risk

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

2.3 Residual Risk Scoring & Direction of Travel

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	4	3	12	2	1	2	2	3	6		
Service Delivery & Well-being	3	3	9	2	1	2	2	3	6		
Reputation	4	3	12	2	1	2	2	3	6		
Average risk score/ direction of travel	4	3	12	2	1	2	2	3	6 (Medium)		

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
LCR/PB001	Enhance performance and risk reporting to reflect and respond to the changes introduced by the Local Government and Election (Wales) Bill.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On track)
ACTION UPDATE:	A new self-assessment matrix has been developed to inform our judgement on how effectively we are utilising our resources, assets, workforce, and insight from performance, risk and engagement to deliver service improvement and enhancing the wellbeing of the communities we serve. This exercise is due to commence during Qtr4 to contribute to informing our overall position regarding how we are performing in terms of meeting our wellbeing objectives and Annual Delivery Plan priorities. Alongside this work a wider evaluation/analysis will be undertaken to assess our performance against delivery of the Annual Delivery Plan, the associated wellbeing objectives and contribution to the wider national wellbeing goals. In line with requirements of the new Act, this analysis/evaluation will be presented in Self-Assessment document due to be published during Qtr3 2022.												
LCR/PB002 (PB/A028)	Develop the Insight function to further enhance and inform decision making with a focus on responding to the changes introduced by the Local Government and Elections (Wales) Bill.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)
ACTION UPDATE:	Work has continued during the quarter to build the Council's "Insight" function, drawing together public perception (consultation, engagement, involvement information), performance and data/research forms of insight. A series of discussions have been held at the Insight Board to discuss the public engagement database and a calendar of public engagement activities has been developed. This has been populated with key aspects of the Council's forthcoming engagement/consultation work, including the consultation on the Council's Annual Delivery Plan and budget which launched during the quarter. A revised section on the intranet has been completed to provide access to this information for other colleagues. This work will inform the development of the Public Participation strategy which is required in 2022 and will be reported for approval in Q4.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/RP001 (RP/A010)	Following the implementation of the Local Government and Election Act, work with the Cardiff Capital Region to reach agreement to progress a Strategic Development Plan for the Cardiff Capital Region in agreement with all South East Wales Local Authorities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
ACTION UPDATE:	Awaiting establishment of Corporate Joint Committee to enable commencement of work on SDP. Corporate Joint Committees due to be established as a shell in June 2022 in accordance with the current legislation, with initial minimum budget set by end of January 2022. Work will not commence on an SDP until the full establishment of the CJC. Work has continued with other Local Authorities to the point where legislatively we cannot take this action forward any further this year.												
LCR/FIT001 (FS/A010)	Establish a Corporate Governance & Audit Committee to review the Council's response to self-assessment, peer assessment and combined assessment and governance reviews in line with the requirements of the Local Government and Elections (Wales) Bill.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
ACTION UPDATE:	Interviews for Lay members taking place during Qtr4 (20 January 2022).												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/LS001 (LD/A006)	Respond and deliver the changes introduced by the Local Government and Elections (Wales) Act as the provisions are implemented and delivering the relevant actions as appropriate and as set out in the Action Plan (as endorsed by Cabinet in December 2020). <i>Milestone action:</i> <i>Respond to the work flowing from the Action Plan and Officer Working Group established to programme and ensure delivery of the requirements set out and associated with the Local Government and Elections (Wales) Act 2021 to enable (in part) electoral reform and ensure a robust governance framework.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	GREEN (On Track)
ACTION UPDATE:	Action Plan continuing to be progressed with various elements having been implemented to date.												
LCR/LS002 (LD/A007)	Support and advise the responsible officers in relation to the legal implications arising during the full implementation of the provisions	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	within the Local Government and Elections (Wales) Act as set out in the Action Plan.												
ACTION UPDATE:	This service is embedded within the service provided by LS in relation to the legal implications arising and risk management												

Return to Risk Summary Report

1 – Risk Overview						
1.1 Risk Description		<p>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.</p> <p>There is a risk associated with securing the necessary capital required to fund major investment projects as well as addressing building conditions across all Vale schools. The lack of available funding to address all requirements will result in buildings deteriorating further giving rise to risks associated with health and safety, DDA, business continuity and sustainability.</p> <p>Failure to establish sufficient Welsh medium places in both the primary and secondary sector would impact on the Vale’s ability in contributing to the Welsh Governments plan of one million Welsh speakers by 2050, and commitments required as part of the Council’s Welsh in Education Strategic Plan and could directly impact on the Vale’s ability to secure 21st century schools funding in the future.</p> <p>The COVID-19 pandemic has significantly disrupted education and learning at all levels. Although the restrictions issued during the pandemic have eased there is a backlog of delays in terms of access to materials. This has seen increases in construction costs due to the impact on the market. In turn this has the potential to impact/delay our ability to deliver some aspects of the 21st Century Schools Investment Programme.</p>				
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	<p>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 a breach of our duties under the Health and Safety Act Disability Discrimination Act.</p> <p>The Council could fail to meet the statutory requirement to meet the demand for Welsh medium school places and the need to meet the Welsh Government commitment for one million Welsh speakers by 2050.</p>
Resources	Yes	<p>Failure to deliver the programme in line with plans approved by Welsh Government could impact on the Council's success in securing grant funding in future bands of the 21st Century Schools Programme. There is the concern that COVID-19 could further compound this risk, if lockdown restrictions need to be reinstated in the short to medium-term in response to any potential future resurgence of the disease. This could impact on the ability to secure funding and jeopardise delivery of the School Investment Programme.</p> <p>There is the risk that insufficient s106 money will impact on our ability to secure sufficient places in schools where there is the highest demand for places.</p> <p>The Council's success in securing capital receipts is critical to the delivery of the programme. Failure to generate capital receipts would result in increased prudential borrowing, the cost of which would need to be met from the education revenue account at a time when services will be required to identify substantial savings as a result of reductions to the Council's aggregate external financing.</p> <p>Failing to reduce surplus places through investment impacts on effective resource management in schools.</p> <p>Insufficient funds to carry out prioritised asset renewal schemes impacts on health and safety.</p> <p>A requirement of 21st Century Schools is that all grant funded schemes should meet BREEAM Excellent which addresses wide-ranging environmental and sustainability issues. Additionally all new schools which have not had their Outline Business Case approved as of 1st January 2022 must be delivered as net zero carbon in operation. Welsh Government have made further funding available to cover the increase in costs to achieve net zero carbon in operation schools.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Failure to deliver schemes would impact adversely on a range of factors including energy efficiency, carbon emissions, minimising waste and improvements to community involvement and social inclusion.</p> <p>Impact of supply chain issues and escalation of material costs on deliverability of projects within Band B programme. Increasing overall costs for project deliveries. Without additional funding from Welsh Government to address the market changes current and upcoming schemes would become undeliverable within current budgets. The shortfall would need to be met from the education revenue account at a time when services will be required to identify substantial savings as a result of reductions to the Council's aggregate external financing</p>
Service Delivery and Wellbeing	Yes	<p>Failure to implement an appropriate school reorganisation programme as a result of not achieving our surplus place target. Impact of new housing developments is likely to place a significant pressure on school place planning. Insufficient capital funding for building works could lead to further deterioration resulting in implications for health and safety. Funding for adaptations to schools under Disability Discrimination Act is limited and could result in a pupil not being able to attend the school of choice or not being able to access facilities used by other pupils.</p> <p>Failure to meet demand for Welsh medium education.</p> <p>Impact of a poor learning environment on a pupil's learning experience if we fail to meet the 21st Century Schools standard.</p> <p>COVID-19 has the potential to impact/delay our ability to deliver some aspects of the 21st Century Schools Investment Programme into the short term if lockdown restrictions need to be reinstated in response to any potential future waves of the pandemic.</p>
Reputation	Yes	<p>Failing to provide the right type and number of school places in the right areas could result in the Council being in breach of statutory requirements which would impact on its reputation. Similarly, closure of schools as a result of building failure would attract negative publicity and criticism from the community and regulators.</p>

2 – Risk Evaluation

2.1 Inherent Risk Scoring

Category	Likelihood	Impact	Total Inherent Risk Score
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	<ul style="list-style-type: none"> Awareness raising session held with members, Insight board and CMT on the issues associated with the 21st Century Schools Programme with the need to release funding through the rationalisation of places and the need to generate capital receipts. Comprehensive governance structures in place to effectively monitor and manage delivery of the programme such as Programme Officers and a Programme Board including the Strategic Investment Programme Chief Officers Group (strategic), the Strategic Investment Project Board (operational) and engagement with Welsh Governments Gateway Review programme to identify opportunities and risks with key stakeholders . Strategy to support Welsh medium education, Welsh language promotion and contribute to Welsh Governments target of one million Welsh speakers by 2050 through the Council's Welsh in Education Strategic Plan (WESP). 	2	2	4
Resources	<ul style="list-style-type: none"> Continue to progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme. 	2	2	4









2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> • 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. Agree amendments to the Planning Obligations SPG to create a more flexible approach to acquiring and using s.106 funding. • (See update in service delivery section below) Data relating to new housing developments and population projections is now available and being used to model options for school place planning for the long term. • A preferred alternative site for Pupil Referral Unit (PRU) has been identified and has been approved at the planning stage. Existing agreement at Amelia Trust Farm extended until September 2023 to accommodate slippage in CLWB School delivery. • The Vale WESP 2020 Update was approved by Welsh Government. Gained final approval for Barry Secondary Learning business cases (FBCs) and construction is complete at Whitmore and construction of the new school at Pencoedre is complete with demolition and externals outstanding. • “Being Bilingual” web page available on website with information on Welsh medium education and access to the Welsh Medium Education Survey for completion. • A proposal has been established to address English and Welsh medium primary education in Cowbridge (Western Vale). A phased approach is being proposed with English medium being addressed as part of phase 1 and Welsh medium being addressed as part of phase 2. Proposals for Penarth are subject to 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>planning permission being granted for the Cosmeston development for expanded ALN provision.</p> <ul style="list-style-type: none"> Developed proposals for a Centre for Learning and Well-being implemented in September 2021, PRU discontinued in the Vale of Glamorgan, now managed under Ysgol Y Deri through Centre for Learning and Well-being. Building issues identified from the Accessibility Strategy consultation have been fed into the Asset Renewal Plans for 2021/22. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> Actively participate in the Council's Carbon Management Group. Construction of Llancarfan Primary School, the first net zero carbon in operation primary school in Wales, has been completed with school opening planned for 28th February 2022. The Council has allocated an additional £300k to support decarbonisation of the Centre for Learning and Wellbeing and Ysgol Y Deri Expansion schemes, which is supplemented by an additional Welsh Government grant of £900k. Re-evaluating current and future schemes to ensure they met net zero carbon principles. Welsh Government have committed all new schools in Wales will now be net zero carbon from 1st January 2022 where they have not had their outline business case approved. 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) 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> • New 60 place part-time Fairfield Nursery opened. • Both Whitmore High School (previously Barry Comprehensive) and Pencoedtre High School (previously Bryn Hafren) are now open and operating successfully. • School Development needs and condition survey assessments will continue to inform the new school modernisation programme. This work will require liaison between School Organisation, the 21st Century Schools team and Property team looking at need as it relates to place planning up to 2026. Surveys are planned to be complete by end of February 2022. • New admission arrangements for 2022/23 have now been concluded. Admission arrangements consultation approved by Cabinet included some changes to original proposals. • Cabinet have approved the proposal to reconfigure primary provision in the Western Vale following consideration of the objection report. St David's Primary School and Llancafarn Primary School have been implemented. Redevelopment of St Nicholas has been delayed due to original proposal refused at planning stage. Revised scheme submitted for planning and statutory consultation underway. • 21st Century Schools programme Band B projects progressing- Whitmore, Ysgol Gymraeg Bro Morgannwg, and Llancafarn schemes are delivered with some outstanding minor works to be finalised. St David's has been delivered however Phase 2 relating to the externals is yet to be finalised. Pencoedtre new school building has been delivered, demolition of original school and externals are outstanding. Contractor 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	has been appointed to deliver Centre for Learning and Wellbeing and Cowbridge Primary Provision. St Nicholas Scheme submitted to planning and statutory consultation underway, delivery of replacement school agreed by Cabinet with additional nursery provision.			
Reputation	<ul style="list-style-type: none"> • 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. Improving community benefits through identified surplus capacity and/or providing additional learning opportunities. • Robust consultation and engagement exercises undertaken with local communities regarding any proposed school developments/changes. Lockdown restrictions eased, re-instating face to face engagement events for statutory consultations and planning consultations. 	2	2	4
Overall Effectiveness of Controls		2	2	4

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SRR/SP001 (SP/A008)	Work with the 21 st Century Schools' team and other stakeholders to establish the Centre for Learning and Wellbeing that meets the increasing need to support children with identified social and emotional health needs.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	January 2023	AMBER (Minor Slippage)
ACTION UPDATE:	This project is now due to be delivered by Spring or summer 2023. Some contamination has been found on site and as such the opening of the building might be delayed until August 2023. This has increased the cost to deliver the project, additional funding has been requested from Welsh Government. The present lease agreement allows for the current buildings to be utilised until 31/8/23. Planned start on site is aimed for May / June 2022, the site is in the process of being cleared for handover to education by 1 st April 2022.												
SRR/SLOO1	Work with schools and other key stakeholders to ensure that all learners (especially vulnerable learners) are able to access school places in appropriate locations which meets their needs and are able to be part of the school community.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	September 2022	Amber (minor slippage)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Consultation on Penarth Nursery Provision concluded, with a statutory notice agreed. Issuing the Statutory notice has been delayed due to the Cabinet decision being called into the Learning and Culture Scrutiny Committee. Depending on recommendations of Committee there could be potential further delays. Work set to begin on long list of Band C projects for 21 st Century schools.												
SRR/SL00 2 (SL/A012)	Strengthen our approach to school place planning to ensure there are sufficient and quality diverse school places in the Vale of Glamorgan to meet the needs of learners now and in the future.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)
ACTION UPDATE:	Work continues in this key area, the focus this quarter has been reviewing Welsh medium and Eastern Vale projections. The School Investment Strategy Group is developing a forward work programme so that it can continue to ensure resilience in terms of school place planning.												
SRR/SL00 3	Deliver 21st Century Schools Programme improvements (Band B) including the expansion of Ysgol Y Deri, new school buildings for Sant Baruc, Llancarfan, St. David's, Bro Morgannwg, Pencoedre and Whitmore schools, expansion of primary school capacity in Cowbridge and development of a Centre of Learning and Well-being and specialist ALN resource bases at Whitmore and Gladstone	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Majority of projects on track against programme. Key milestones: <ul style="list-style-type: none"> • Pencoedtre High School - new build open January 2022. • South Point Primary (Llancarfan School) - new build complete ready for school start date on 28th Feb 2022. • Whitmore High School - SRB established in Sept 2021. • Ysgol Y Deri – Planning Application planned for March 2022 determination • CLWB – Planning application approved Nov 2021, site handover to Education 17th Jan 2022. Construction starts May/June 2022. • Cowbridge – Planning application planned for March 2022 determination. Deliver scheme by June/July 2023. • Ysgol Sant Baruc – Construction started 24th Jan 2022. Completion planned for Feb 2023. • St Nicholas Primary School – ISG developed revised scheme. Planning determination for March 2022. Construction start date June 2022, completion in June 2023. • Programmes continue to be affected by delays and availability of materials as a result of COVID-19 and Brexit. Led to increased costs on outstanding projects, additional funding requested from Welsh Government to meet shortfall. 												
SRR/SL004 (SL/A008)	Lead on implementing the Vale of Glamorgan Welsh in Education Strategic Plan (WESP), focusing on the six key priority areas.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	A review of the consultation on the draft WESP 2022-32 has been completed and the WESP has been submitted to Welsh Government for approval for implementation in 2022.												
SRR/SLOO 5 (SL/A021) (Links to Env'tal Sustainability)	Improve existing school buildings and deliver new buildings for St Davids and Llancarfan Primary Schools, making them low carbon and where possible zero carbon buildings to operate and create an adaptable and scalable school design in partnership with the construction industry.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)
ACTION UPDATE:	K2N data continues to be returned for operational school buildings. Data for St David's is outstanding and Llancarfan has yet to open to pupils. However Whitmore High School data demonstrates that the building is meeting its hot water usage target but is slightly over heating target by 0.14 kWh. All electricity targets have been met and being exceeded.												

1 – Risk Overview	
<p>1.1 Risk Description</p>	<p>This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive. There is a Statutory Target for Recycling based on the Welsh Government’s ‘Towards Zero Waste’ Waste Strategy. Aligned to this are national statutory landfill reduction/ diversionary targets. Failure to meet the national waste agenda and meet its associated targets increases the likelihood of incurring significant fines and could have detrimental impact on the Council’s reputation.</p> <p>The biggest shift change has been in relation to reducing the volume of residual waste. The Council secured capital funding from the Welsh Government’s Collaborative Change programme as part of the Waste Strategy to implement a restriction of residual waste. From September 2018, all households across the Vale of Glamorgan were restricted to putting out two bags per fortnight (with exemptions for those with six or more residents, pet waste/bedding, ash from household fires/log burners and adult hygiene products). To oversee this roll out and enforcement, waste wardens have been appointed. This shows that this service changes have resulted in over a 30% reduction in residual waste.</p> <p>In progressing our Waste Strategy, we continue to look at ways of further increasing our recycling rates across the Vale of Glamorgan. Although the Vale of Glamorgan Council continues to be one of the top performing authorities for meeting its recycling targets, more recently we have experienced a growing problem with contamination. This has been due to non-recyclable items such as soiled nappies, food waste and cat litter being mixed with recycling. To combat this problem and to reduce our use of single use plastic, the use of single use plastic bags for placing out recycling has been removed. Recyclable waste will only be collected if it is placed in Council-issued bags/boxes.</p> <p>The roll out of the Waste Blueprint has commenced. This is seeing us make the transition from the collection of co-mingled recyclables to source-segregation of recycled materials. As this is a significant shift change for how we operate our services and our residents. These changes are being introduced as part of a phased roll out that initially commenced in the rural Vale before it progressed in Barry (October 2020) and is planned for Penarth in 2022.</p> <p>The planned roll out to Barry was delayed by 4 months, due to COVID-19. Penarth will be rolled out during 2022 as it is dependent on the permanent Waste Transfer Station at the Atlantic Trading Estate being operational. Now that planning permission has been received, construction has commenced, and it is due to be completed late summer 2022. Alongside this the Reuse Shop is due to be completed in early summer 2022.</p>
<p>1.2 Risk Owner</p>	<p>Head of Neighbourhood Services and Transport (ER)</p>

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Increasing waste budget pressures as a result of new developments and an inability to deliver savings in waste management services.</p> <p>Inability to implement the Waste Blue Print consistently across the Vale in a timely way, as result of disruption to project timetable arising from COVID-19 and the need to obtain planning permission for the transfer station in Barry.</p>
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	<ul style="list-style-type: none"> Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running Waste Resource Action Programme (WRAP) is completed. Cabinet agreed a black bag restriction for 2018/19 to move on a phased basis to the Welsh Government Blueprint which commenced on the 14th 	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	October 2019 for the Rural Vale with roll out to Barry in October 2020. Penarth is planned for 2022			
Resources	<ul style="list-style-type: none"> Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. The 25-year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place. Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council. Household Waste Recycling contract operated by the company FCC. A revised Waste Strategy will be presented to Cabinet during Summer 2021 that will take into account the targets such as 70% recycling by 2024/25. In line with this Strategy, Capital funding has been received to implement the service changes for kerbside collections and to construct a Waste Transfer Station. Since October 2019, the environmental enforcement service has been brought back in house under a new enforcement team. From 1st April 2020 a new dual enforcement team was established. A review of the Service has recently commenced. Annually bid for Welsh Government Environment and other Grants to deliver improvements to the waste management infrastructure. Ongoing monitoring of budgets and grant funding to ensure we are able to deliver the National Waste agenda. Emergency Powers sought to authorise the appointment of 12 new permanent LGV driver posts to enhance our resilience by securing temporary and agency staff working in the service area. 	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Service Delivery & Well-being	<ul style="list-style-type: none"> Increased waste awareness initiatives and participate with Keep Wales Tidy events. Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. Implementation of real time tracking and communication with Waste Collection fleet to achieve improved working efficiencies and service delivery. Revised enforcement policy to reduce litter, fly tipping and dog fouling offences has been introduced. A further report was approved by the Council relating to dog controls in March 2021 and Cabinet will be considering a revised enforcement policy in late Spring. Council has continued to undertake its normal approach to recycling awareness which has allowed us to ensure we remain on track. This is updating the web site, undertaking letter drops to residential areas where there is poor participation, roadshows with the event trailer and a school education programme. The interim Waste Transfer Station (WTS) at Cowbridge is operational. The planned Blueprint roll out for 2020/21 has now been completed in relation to Barry. Penarth roll out due to commence , 2022 subject to Waste Transfer Station being operational. The service exceeded <u>service exceeded</u> the current statutory recycling rate from its performance during 2020/21. 	1	2	2
Reputation	<ul style="list-style-type: none"> 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 	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Environmental Enforcement Partner to raise awareness of dog fouling/littering issues.			
Overall Effectiveness of Controls		1	2	2

2.3 Residual Risk Scoring & Direction of Travel

2.3 Residual Risk Scoring & Direction of Travel											
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	1	2	2	3	2	6		
Resources	4	3	12	1	1	1	4	3	12		
Service Delivery & Well-being	4	3	12	1	2	2	4	2	8		
Reputation	3	3	9	1	2	2	3	2	6		
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	Integrat	Collaboration	Involvement	Prevention	Long-Term			
WMR/NSO 01	Implement the Waste Blueprint (source segregated recycling) in Penarth once the permanent Waste Transfer (Resource Recovery Facility) Station is operational.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	September 2022	GREEN (On Track)
ACTION UPDATE:	Work has continued on the Waste Transfer Station this quarter.												
WMR/NSO 02 (NS/A046)	Exceed the National Recycling Target. Achieve the National Domestic Waste Recycling Target for 2024 / 2025.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)
ACTION UPDATE:	We remain on track to achieve the national recycling rate target (2024/25) of 70%.												
WMR/NSO 03	Following the granting of planning permission commence the construction of a (Resource Recovery Facility) Waste Transfer Station for Barry.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	September 2022	GREEN (On Track)
ACTION UPDATE:	Work has continued on the Waste Transfer Station this quarter.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WMR/NSO 04	Monitor budgets to ensure we are able to deliver the National Waste agenda through effective use of grants and resources.		✓	✓	✓				✓	✓	CS/ER	March 2022	GREEN (On Track)
ACTION UPDATE:	Business Plan now due to be presented to cabinet along with 10-year strategy in February 2022. Needed to wait for information on the provisional settlement which was not available until December 2021.												
WMR/NSO 06 (NS/A039)	Work with the community and our partners to deliver a variety of activities to improve Local Environmental Quality (LEQ) including litter prevention and awareness raising.	✓	✓	✓	✓	✓	✓	✓	✓	✓	CS/ER	March 2022	GREEN (On Track)
ACTION UPDATE:	The service continues to work with the various volunteers and groups that provide a valuable service in our communities enhancing environmental quality standards. Additionally, this work continues in partnership with Keep Wales tidy (Caru Cymru) which ensures a coordinated approach to improve Local Environmental Quality.												
WMR/NSO 09 (NS/A004)	Review the electronic booking system introduced for Household Waste Recycling Centres.		✓	✓		✓		✓		✓	CS/ER	March 2022	GREEN (On Track)
ACTION UPDATE:	On track system in now migrated being hosted via the Authority and system now live.												
WMR/NSO 10 (NS/A041)	Complete a business plan to deliver a 10-year waste strategy.	✓	✓	✓	✓	✓	✓	✓	✓	✓	CS/ER	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	The waste strategy is complete and will be reported to Cabinet early 2022.												
WMR/NSO 11 (NS/A042)	Ensure there are sufficient and appropriate end designations for the resale and reuse of recyclate material and minimise the export of recycling and waste wherever possible.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)
ACTION UPDATE:	All the proposed changes are on target and the service continues to follow WG guidance in terms of recycling material and local markets to minimise the exportation of materials.												
WMR/NSO 12 (NS/A043)	Deliver a range of improvements to waste management including the creation of a Re-Use Facility, completion of the Resource Recovery Centre and the development of a Household Waste Recycling Centre in the Western Vale.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)
ACTION UPDATE:	The re-use shop has been delivered/installed and the civil works to complete the build are underway. The scheme will be finished in quarter 4. The construction of the Resource Recovery Facility remains underway but due to the impact of Covid and the availability of materials, the operational date is expected August 2022. The development of a new western Vale HWRC is progressing, and land options identified. A preferred site has now been identified and a construction design is being considered.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WMR/NSO 13 (NS/A044)	Roll out new recycling arrangements in Penarth to complete the introduction of the source separated recycling system for the Vale.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	September 2022	GREEN (On Track)
ACTION UPDATE:	The roll out is all but planned in terms of collection rounds/vehicles/the identified strategy etc. But delivery of the service will be in 2022/23 as the change is dependent on the new WTS being operational.												
WMR/NSO 14 (NS/A045)	Engage with residents, Housing Associations and other landowners to roll out source separated collections to flats and apartments across the Vale.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CS/ER	March 2022	GREEN (On Track)
ACTION UPDATE:	The bins and vehicles have now been delivered and in quarter 4 the roll out to flats and apartments will commence.												

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	<p>As the Council continues to go through significant change over the next few years it is imperative that we are able to anticipate the human resources implications of such change and ensure that we have a number of people with the right skills and experience to deliver the services of the future. In managing the risk it is important to consider the particular challenges presented by the current financial pressures within the public sector, the need to ensure the engagement of staff throughout the change process and the need to plan for and respond to issues of anticipated skills shortages. We continue to experience difficulties in recruiting and retaining staff in some key service areas across the Council e.g. namely health and social care (residential care, domiciliary care and social workers). Skill shortages exist in some areas like Social Work, Legal Services, Planning, and ICT where market forces have impacted on our ability to recruit and retain skilled/qualified staff.</p> <p>This risk needs to be considered alongside the Council’s Reshaping programme agenda could have on our workforce. Therefore, the innate risk is the inability to anticipate and plan for the workforce needs of the future in order to meet the changing service requirements.</p> <p>The risks surrounding workforce needs have been further compounded by COVID-19 pandemic. The pandemic significantly disrupted all aspects of service delivery, which in turn has put our workforce under an enormous amount of pressure as our workforce needed to quickly adapt and respond to the changing circumstances surrounding COVID.</p> <p>Human Resources, ICT and Senior Management had to react quickly to the emerging crisis to enable the workforce to work more remotely in an agile way with minimal disruption to core service delivery.</p> <p>Hand in hand with this was the need to look at repurposing and redeploying staff to business-critical areas to respond to the growing demand on staffing e.g. within our residential and domiciliary care roles, waste collection teams and to enhance capacity within our Contact Centre to support vulnerable individuals shielding in their own homes. In addition, working in partnership with Cardiff Council and the Health Board staff have been redeployed to support the regional approach to Track, Trace and Protect and the vaccination programme.</p> <p>Associated with the pandemic, the Council has noted some emerging trends in areas such as turnover, absence and capacity which will continue to be monitored and kept under ongoing review. Given that both the virus and its effects are likely to be experienced for many months/years to come, a series of workforce mitigations will focus on ensuring that operational plans are refreshed and succession planning continues. This will be done in tandem with building capacity and resilience into our workforce. However, Covid has also presented us with new opportunities that we anticipate will lead to new ways of working that will require the cultivation of new skills sets within the workforce. Therefore, the challenge post recovery, will be on how we can maximise these opportunities shape our workforce so that it is fit for the future.</p>

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
<i>Political & Legislative</i>	Yes	<p>Political and legislative repercussions of failing to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.</p> <p>The COVID pandemic brings with it an increased risk of challenge and the potential for litigation. This could impact on the council if poor judgement is exercised regarding workforce related decisions.</p>
<i>Resources</i>	Yes	<p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on a range of factors including the commitments to increase the number of apprenticeships within the Council (and wider community), the increase of younger employees (as a percentage of the wider workforce) and the aims within the Council's Equalities Strategy.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met.</p> <p>A failure to implement the agreed actions set out in the Council's Workforce Plan (and specifically in relation to change management) would impact adversely on the Council's ability to respond to financial challenges over the next four years. Whilst our workforce and resources have been reprioritised to manage our emergency response to COVID-19, there is an increased risk that this will hinder our ability to progress key strategic workforce projects.</p> <p>The realisation of the risk would lead to an inability to recruit and retain suitably qualified staff with appropriate skills in the right areas to deliver services effectively. E.g. Inability to recruit and retain staff in business-critical posts due to the impact of market forces and/or skill shortages. This is already impacting on key areas of Social Services such as qualified Social Worker roles in Children and Young People Services.</p> <p>COVID, has the potential to further add to the issues associated with business-critical posts where recruitment and retention difficulties already exist. Added to this is the complexity of overcoming recruitment practices that rely on face-to-face contact. This is currently being experienced in relation to the shortage in</p>

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

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<ul style="list-style-type: none"> 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	1	2
Resources	<ul style="list-style-type: none"> Managers are supported through the management of change through training and ongoing advice from HR Officers and supported by Organisational Development. The Workforce Plan is aligned to the Corporate Plan in relation to workforce needs. A review of corporate workforce priorities has been undertaken as part of the senior management development session and will now form the basis of a refresh of the Corporate Workforce Plan. The Workforce plan is now being reviewed and refreshed for September 2021 	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> • The HR team has been restructured in recent years to increase the information, planning and performance capacity of the team and to increase the focus on business and organisational development issues. This has been complemented by a renewed Workforce Development Strategy and draft Implementation Plan. • Continue to build upon and embed succession planning processes and have established a Strategic Workforce Planning Group. • 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. To complement this, we have launched our new 'Culture Book'. Some commitments within the Staff Charter relate to celebrating success and staff recognition. The establishment of the 'Going the Extra Mile' scheme (GEM), provides an opportunity to put forward members of staff in recognition for their work. These stories are then celebrated and shared with staff on the internal Staffnet. In addition to this the Council has established a Team Awards event to recognise the good work of both individuals and team across the Council. Whilst the pandemic has paused this for 2020 plans are held in abeyance for an awards ceremony at the end of 2021 • 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 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>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.</p> <ul style="list-style-type: none"> • HR Business Partners and Assistant Business partners continue to support managers in Change Management Reviews. Support was successfully provided in relation to the extension of the Shared Audit Service. Following a restructure within Audit, the Regional Internal Audit Shared Service is fully operational. • Chief Officer briefing sessions and management development sessions are now embedded and will next run in October 2021 • Apprenticeship pathway is in place to enable direct recruitment of apprentices and enables us to better support succession planning. This year we have introduced the Government Kickstart scheme to further support this process and hope to convert some of our 'kickstarters' across to apprenticeship programmes. • Social Service OD and learning has now been brought back inhouse, with investment in additional staff ongoing to support this process. We continue to invest in training of social care professionals and support secondments and placements, in addition to establishing collaborative working relationships with Social Care Wales to ensure our processes align where relevant. For Resource Management & Safeguarding a local training team has been established within the Organisational Development Team. Within Children and Young People Services, a Training Needs Analysis informed this years' CYPS training 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>programme including implementation of a strengths-based approach.</p> <ul style="list-style-type: none"> • Job Description and Person Specification for Adult Services Social Workers that includes a requirement to undertake Approved Mental Health Professional (AMPH) training has been approved and distributed to management. • A new mobile working solution with Neighbourhood services has been approved and procured. • Reviewed the Planning Team structure in light of increased demand for planning and other applications and recruited a new Senior Planner in Development Management and new Assistant Planner in Policy with the possibility of a pay and grading review to commence in April 2022. This most likely to be undertaken in a phased way once the Oracle project work is fully embedded. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> • Workforce planning processes delivered with a focus on alternative service delivery and workforce implications. This process is now being refreshed with a new operational emphasis for September 2021 • The HR team continue to monitor and report performance against corporate health indicators including labour turnover and attendance data. • We continue to move towards a HR Self-Service model with further progression made with the Oracle project. Worked collaboratively with Trade Unions in relation to our frontline teams to ensure they have the necessary tools and skills to access these new systems. • Organisational Development support provided to the Reshaping programme continues to influence how we deliver alternative models of service delivery. • #itsaboutme staff appraisal process has been reviewed to ensure it remains relevant year on year to staff to connect staff activity to corporate priorities and ensures it continues to contribute to the Culture Book and Reshaping agenda. The appraisal process has been launched on iDev. 	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> • The Council is a Stonewall Champion committed to ensuring we have an inclusive workplace for all lesbian, gay, bi and trans-sexual staff. We have developed an action plan to further evidence that we have an inclusive workplace. The Council has contributed to the Stonewall Employment Index Survey We contribute to the development of GLAM, and the recently established Ethnic Minorities Network a new brand for the Council's network for our colleagues and allies. • Councils new Volunteering Policy has been launched. HR are working in collaboration with Neighbourhood Services to deliver a volunteering programme over the next 6 months. • The NJC Single Status 2020 pay award has been assimilated into a new pay and grading structure which has been agreed. This will meet our national and local reward strategy obligations and place the council lowest pay rate for employees above the Foundation Living Wage rate. • The Management Competency Framework is in place. Several management development sessions continue to be held with managers focusing on managing the future, the Digital Strategy and commercialisation. Chief Officer briefing sessions and management development sessions have been held in accordance with the new Management Competency Framework. This work has helped ensure managers are up skilled to fulfil their roles effectively to meet the challenges facing the Council and the new ways of working as part of the Reshaping programme. • We have procured an E-Bulk solution to provide a significant reduction administration and the time in accessing Disclosure and Barring Services (DBS) certificates. The E-Bulk system service is now operational. • We are in the process of reviewing the HR structure to ensure that it remains fit for purpose and that we can continue to streamline HR services that will enable staff to share and develop their skills. This 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>may see some minor tweaks to the HR team in future months</p> <ul style="list-style-type: none"> • Purchased an e-recruitment solution to enable us to automate all aspects of the recruitment process is under development. • Purchased an Occupational Health IT package to support the effective and efficient processing of all occupational health processes which is due to go live in April 2022. • Continued to develop the Employee Core Competency and Management Competency Frameworks to help identify and address skill gaps across the Council to embed these within the #itsaboutme appraisal system. • Launched an e-pay system, which will allow employees to access their personal pay information remotely and securely from a personal device, further reducing waste and our environmental and sustainable agenda. • Management promote and enhance staff involvement and engagement across the Council. • Increased opportunities for all with particular focus on underrepresented 16-24-year olds to participate in work placements via the KickStart scheme. • The Regional Internal Audit Shared Service is fully operational. • Staff have been encouraged to participate training and development to support their roles, which has been reaffirmed through the #itsaboutme process. • Within Children and Young People's services, we have developed a targeted approach to recruitment of specialist and critical posts and the effective retention of staff to increase service resilience. • We continue to keep under review staff wellbeing, with the continued and sustained support our staff with access to trauma informed training webinars for our all staff to access. 			
Reputation	<ul style="list-style-type: none"> • 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 	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>for the next 5 years aligned to the corporate plan as a result a new Culture Book was launched .</p> <ul style="list-style-type: none"> • The Council's Staff Engagement Strategy continues to be strengthened alongside an effective method of continuing evaluation. The profile of the Council as an attractive employer has been raised Contribution to the wider HR network across Wales as a promoter of innovative workforce practice is now under review. • Developed good relationships with local education establishments (Cardiff University & Cardiff and Vale College) as well as independent Apprenticeship providers. • Continue to develop strong working relationships with all our recognised trade union partners, including Unison, NAHT, NASUWT, NEU. • We are reviewing our gender pay gap to identify where progress is needed and any future workforce activity which could have an impact, in order to have an informed context behind the current 'gap'. This has been greatly reduced over the last 12 months to the current position of 2.72%. 			
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	2	1	2	2	3	6	↔	↔
Resources	4	3	12	1	2	2	4	2	8	↔	↔
Service Delivery & Well-being	4	4	16	1	2	2	4	2	8	↔	↔
Reputation	4	3	12	1	2	2	4	2	8	↔	↔
Average risk score/ direction of travel	4	3	12	1	2	2	4	2	8 (Medium/ High)	↔	↔

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/HR001 (HR/A006)	Develop a strategic workforce plan for the next five years, which identifies skills gaps, growth areas, age profile etc and provides for mitigation.		✓	✓		✓		✓	✓	✓	TD	March 2022	GREEN (On track)
WFR/LD001	Deliver workforce planning with a focus on alternative service delivery and workforce implications.										DM		
ACTION UPDATE:	<p>The workforce strategy continues to be developed with specific work undertaken during Q3 to support areas of the workforce that could face shortages over the Christmas period. The Council has also applied for Sponsorship status to enable recruitment from outside of the UK/EU, which will help support recruitment to shortage occupations as required.</p> <p>Workforce planning remains embedded within Legal & Democratic services and is an on-going priority for 2021/22, with a focus on alternative models, smarter, digital working, and measures/action taken where necessary to ensure resilience with key members of the team.</p>												
WFR/HR002 (HR/A005)	Implement a new HR strategy, with a particular focus on employee culture, diversity and staff well-being, aligning with the Transformation Strategy, Climate Change Strategy and Accommodation Strategy. Contribute to the development of a new HR Strategy that reflects the new ways of	✓	✓	✓	✓	✓		✓	✓	✓	TD	March 2022	GREEN (On track)
WFR/AS001											SC/RE		

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
(AS/A008) WFR/CS001 (CS/A009)	working within Adult Services and to develop an appropriately agile offer within Children’s Services that enhances and supports staff wellbeing.												
ACTION UPDATE:	<p>The Workforce Plan and HR strategy continues to be developed during Q3.</p> <p>Within Adult Services, Q3 saw us encourage a return to offices and working in a hybrid manner, more akin to our planned future working practices. However, WG guidance then changed to reinstate the need to Work from home due to the increase in prevalence of Covid -in particular the threat of the Omicron variant and this led to us reverting back to heavy reliance on communications via digital means, unless there was a wellbeing needs to attend the office, or where assessments etc could not be done virtually, and there we reverted to our dynamic risk assessment to balance the risks of attending a person's own home, versus the risk of transmission. We have always maintained high levels of Infection prevention control with PPE and ensuring LTD tests are completed and reported routinely. We remain reengaged in the work around policies with our corporate HR colleagues to inform our practices and ensure that we balance the needs of our workforce as well as our populations care and support needs.</p>												
WFR/HR003 (HR/A008)	Develop a Wellbeing Strategy that supports Employee wellbeing and works in partnership with the Public Services Board to implement the Move More, Eat Well Plan with a focus on workplace settings and schools.	✓	✓	✓	✓	✓		✓	✓	✓	TD	March 2022	GREEN (On track)
ACTION UPDATE:	<p>The Cycle to Work scheme operated during Q3 was accessed by 54 staff. A review of the scheme will take place together with looking at other salary sacrifice schemes.</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/PB001 (PB/A025) WFR/ALN001 WFR/SP001 WFR/SL001	Utilise the learning from the pandemic to define and establish new ways of working and develop our management team across the service. Informed by the staff wellbeing survey, support the development and well-being of our staff including assisting staff to adapt to the new ways of working.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring DD/MH/ T Baker	March 2022	GREEN (On track)
ACTION UPDATE:	<p>Throughout the pandemic, the Policy & Business Transformation management team have met to identify areas of cross-over and opportunities to strengthen the connections between the teams. This is informing the development of the Insight function that will provide a strengthened evidence base for taking decisions and informing the teams' work.</p> <p>Within Learning and Skills division, due to the impact of the omicron variant it has been necessary to review working practices once again to reflect new guidance. This has required a renewed emphasis on staff working from home and reducing social contact. Managers have implemented these changes sensitively and worked with staff to ensure that working arrangements are tailored, where possible, to individual need to support positive wellbeing.</p>												
WFR/HR004 (HR/A004)	Develop an Engagement Strategy to increase diversity within the Council's workforce, including the Council's Apprenticeship and KickStart Schemes		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD	March 2022	RED (Slipped)
ACTION UPDATE:	<p>Further work has been undertaken during Q3 to review the application process for some of the hard to fill roles, to enable applicants to complete forms more effectively.</p> <p>Work will also be undertaken as per the annual reporting cycle to produce data on staffing equalities information as part of our Public Sector Equality Duty, and this will be reported during Q4.</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Further work will also commence in Q4 to improve further online access and advertising of jobs which will help support the 16-24 age population.												
WFR/HR003 (HR/A007)	Implement a new Culture Book and Employee Development Programme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD	March 2022	GREEN (On Track)
WFR/PB002 (PB/A026)	Contribute to the development of a new Employee Development Programme aligned with next phase of the Council's transformational change programme.										T Bowring		
ACTION UPDATE:	<p>The development of the Learning Catalogue has been progressed during Qtr3 and is due to be launched in Qtr4 and will provide information for all colleagues on learning and development available. In Q4 we will further develop external opportunities and information including Academi Wales Winter School; Infuse; New Local and CEIC.</p> <p>The Culture Book continues to be embedded and stories are updated regularly.</p> <p>Policy & Business Transformation, continue to provide assistance in terms of content and communications for this work. The most recent series focusing on diversity provided a good opportunity to bring the work of the Equalities and HR teams more closely together.</p>												
WFR/CS003 (CS/A008)	In partnership with the Training Unit conduct a Training Needs Analysis based on our new ways of working.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	RE	March 2022	GREEN (Completed)
											AP		Action completed and will be

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/RMS001 (RMS/A009)	Inform the development and implementation of a local training team to support the identification of training needs												reflected as a control in the Register
ACTION UPDATE:	<p>A training needs analysis informed this years' Children and Young People Service training programme including implementation of a strengths-based approach. Discussion will be furthered throughout the year to understand the impact of the training and to identify immediate and future training needs, including consideration of our new ways of working.</p> <p>A Social Care Workforce Development team working group established attended by Adult and Children's services representatives. Private sector engaged. Priority training areas identified</p>												
WFR/FIT002 WFR/HS001 WFR/LD002 WFR/NS001 (NS/A009) WFR/SRS001 WFR/AS002	<p>Further develop succession planning arrangements within the Finance Division as part of the corporate succession plan pilot in order to retain expertise and skills especially in business-critical areas for the long term.</p> <p>Ensure robust succession and growth plan to continue to deliver our Approved Health Practitioner Service.</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD CL MI DM ER MG DH SC	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
(AS/A009) WFR/RP001 (RP/A007)	Continue the review of Building Control and implement a staff succession plan.										MG		
ACTION UPDATE:	<p>Within Finance division, succession planning process has been completed for the division as a whole. Discussions did take place with staff via the #itsbaoutme process, and the findings will be fed into the Service's planning for the future.</p> <p>Within Housing Services, development opportunities identified through Academi Wales Winter School and Local Partnerships leadership programme for Senior Managers. 3 staff approved and following academic professional courses.</p> <p>Within Legal & Democratic services, succession planning remains an ongoing and is embedded within the department. Identification of key roles, with a review of LS structures under consideration/action.</p> <p>SRS is working with HR to develop further the succession planning programme initiated in 2020. The appointment of a new Head of service and the interim appointment of an Operational Manager demonstrates some of those arrangements.</p> <p>Within Adult Services, 2 x staff recently qualified as Approved Mental Health Practitioners (AMHP) and are now licenced to practice as an AMHP for the Council. However, the service remains fragile in the short to medium term, with our managers needing to step in to ensure we are able to cover the rota. However, our longer-term plans are working well, with 3 AMPH's commencing training, and a further three identified for training in the following year.</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Following retirement of Principal Building Control Officer, successfully appointed a permanent successor. Apprentice BCO appointed into permanent Assistant BCO role.												
WFR/RP002 (RP/A008)	Review the Planning Team structure in light of increased demand for planning and other applications, the review of the Local Development Plan and the development of a new Strategic Development Plan.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (Completed) Action completed and will be reflected as a control in the Register
ACTION UPDATE:	New Senior Planner in Development Management and new Assistant Planner in Policy successfully recruited in Q2.												
WFR/RP004 WFR/FIT001 (FS/A008) WFR/HS002 WFR/LD003 WFR/NS002	Promote and encourage staff involvement in directorate and corporate staff engagement and well-being initiatives and proactively support staff to work at home and in different ways.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG CL MI DM ER DH	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/SRS002													
ACTION UPDATE:	<p>Staff encouraged at team meetings and 1-2-1's to access the Councils wellbeing services such as Occupational Health and Care First</p> <p>Within Housing Services, staff away day proposals developed and ongoing discussion regarding format. Possible delay due to current covid position. Staff engagement newsletter to be circulated February. Additional bespoke survey for Building Services frontline staff in development.</p> <p>Within Neighbourhood Services, all Staff and most equipment moved in quarter 3 from Court Road to Alps. Planned closure of Court Road and hand over to education planned for March 2022 which is in line with Education's requirements.</p> <p>SRS has a series of initiatives in place such as match funded training, professional subscriptions, etc. and is engaged on a range of corporate programmes to support change within the Council.</p>												
WFR/HS003 WFR/NS003 WFR/SL002	Expand the Council's Apprenticeship Scheme to provide a greater number and range of opportunities. (Includes Kickstart scheme) Leverage apprenticeships schemes to grow capacity, expertise and sustainability, with a focus on the MIS, School Organisation and ICT sections of the service.		✓	✓	✓		✓	✓	✓	✓	MI T Baker	March 2022	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:	<p>Apprentice scheme with Housing and Building Services expanded. Within Neighbourhood Services a Kickstart apprentice started within the directorate and due to the experience allied for a role outside the organisation they were subsequently offered a full-time role. Will continue to progress in suitable roles.</p> <p>Within Strategy, Community Learning & Resources, adverts have been in place for 2 x Kickstarter positions (ICT Data Support Officer), unfortunately we haven't received any applications.</p>												
WFR/HS004 (HS/A008)	Implement a training programme to respond to the feedback received from the digital questionnaire aimed at assessing staff IT skills.		✓	✓	✓			✓	✓	✓	MI	March 2022	GREEN (On Track)
WFR/NS004	Deliver a programme of in-house training so that current and future officers are equipped with the skills required to manage services of the future (technical and HGV drivers).									ER			
WFR/ALNO 02	Implement a training programme for central staff in order to ensure readiness for the ALNET Act from September 2021/22.									DD			
ACTION UPDATE:	Shortages of HGV drivers experienced in quarter 3. Statutory services still being provided by additional Covid sickness and isolation has meant changes to arrangements for Christmas tree collections.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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 ALN and Wellbeing division, regular meetings with directorate managers around IDPs have been developed and training needs can be met through discussion in these meetings. Training will continue to be offered.												
WFR/PB003 (PB/A024)	Contribute to the development and co-ordination of a range of activities to enhance inclusivity in the workplace.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)
ACTION UPDATE:	We continue to support GLAM and the Ethnic Minorities Network and to post articles on national and international equality awareness days to promote better understanding of issues faced by disadvantaged groups. We have been working to prepare for activities during Race Equality Week in February 2022.												
WFR/FIT003 WFR/RP005 WFR/LD004	Focus on up-skilling and developing flexibility in skill sets across the organisation that includes further developing the Management Development Programme and encouraging self-development opportunities.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL MG DM	March 2022	GREEN (On Track)
ACTION UPDATE:	Staff are encouraged to use the iDev system and other external training opportunities that are relevant to their roles. On-going priority throughout 21/22 and embedded with a focus on development, opportunity, coaching, shadowing, and team working, despite the challenges posed by remote working.												
WFR/SRS003 (SRS/A003)	Continue to develop a recruitment strategy together with retention initiatives to address skill gaps within the Shared Regulatory Service.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	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:	This piece of work has not progressed in the manner envisaged. SRS has a series of initiatives in place such as match funded training, professional subscriptions, The additional work generated by the Coronavirus regulations has drawn students into the SRS, but few are entering the Food and TS disciplines where shortages are most acute. Consequently, consideration may need to be given to other financial measures, market supplements if the current skills shortage persists.												
WFR/HS005	Undertake a restructure of Building Services.		✓	✓		✓		✓	✓	✓	MI	March 2022	RED (Slipped)
ACTION UPDATE:	The Department has moved back into response phase to covid pandemic. Restructure proposals unlikely to be progressed until next financial year.												
WFR/NS005 (NS/A005)	Further develop agile working within the service area and contribute to the renewal of the Corporate CRM.		✓	✓				✓	✓	✓	ER	March 2022	Green (On Track)
ACTION UPDATE:	Phase one handed over on the asset management system, going through some issues in relation to street lighting. Phase 2 Pay Ground Equipment, data has been provided and input into the CONFIRM system.												
WFR/PB004 (PB/A023)	Establish effective internal communications campaign to embed the well-being agenda and the Council's values.	✓	✓	✓	✓			✓	✓	✓	TB	March 2022	GREEN (On Track)
ACTION UPDATE:	A new working group has been established with a view to linking together the work of the Communications Team, Learning and OD team, and the Council's Wellbeing Champions into a coherent programme of activity for 2022/23												

Return to Risk Summary Report

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

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

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

1.3 Impact on our contribution to the Wellbeing Goals

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

1.4 Risk Categories

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

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











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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<ul style="list-style-type: none"> 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. The Council has gone live with a new, hosted payments system. The Council has recently completed its annual IT Health Check (independent penetration and 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>security testing) and is currently undergoing assessment for a Public Services Network (PSN) compliance certificate. This compliance provides assurance and confidence in the Council's ICT security arrangements and allows connection to PSN services.</p> <ul style="list-style-type: none"> Information Governance Board ensures that changes made to working practices, support and maintain the integrity of our systems and the security of all information used by the Authority. A data flows exercise has been completed to map and identify any potential IT systems/databases where data is held by Third parties outside of the UK in preparedness for 'data adequacy' decision. 			
Resources	<ul style="list-style-type: none"> 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. Council has completed an independent Digital Maturity Assessment, part of which will inform security and compliance going forward. 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. All staff have been migrated to 365. Data Protection refresher training delivered to all relevant staff that incorporates the GDPR requirements. Maintained compliance with relevant security standards, including GDPR, PCI and PSN. Second internet connection has been installed at the Civic Offices. Review of WASPI documentation remains ongoing. 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> IT Asset Register maintained for all equipment/devices in schools that have an SLA agreement. As part of the Welsh Government Hwb project, the council has upgraded the infrastructure in all Vale schools to meet the Welsh Government's minimum digital standards for schools. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> Information Security & Governance Framework arrangements in place. Revised the Information Management Strategy to reflect how plans to use technology will support the delivery of the Council's Corporate Plan and the expected outcomes as well as how we will manage and safeguard information that we exchange between organisations and our partners. Implementation Plan aligned to the Strategy is in place and is being delivered. ICT Strategy has been signed off and ICT continue to support ICT projects that fall within the Digital programme of works associated with the Digital Strategy. Protocol to enable us to reuse information under the Open Government licence has been developed and published on our website. 	2	2	4
Reputation	<ul style="list-style-type: none"> We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so. 	1	1	1
Overall Effectiveness of Controls		2	1	2

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ISR/FIT001 (FS/A009)	Strengthen the Council’s approach to Information Governance to ensure our systems are robust, fit for purpose and compliant with current legislative requirements.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
ACTION UPDATE:	The information Governance Board continues to meet on a monthly basis.												
ISR/FIT002 ISR/SL002	Continue to work with colleagues across the Council to ensure compliance with relevant security standards, including GDPR, PCI and PSN.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL/NW	March 2022	GREEN (On Track)
ACTION UPDATE:	The Information Governance Board continues to meet on a monthly basis. The Schools admin network pilot due to start at the end of January.												
ISR/HR001	Review the business requirements for governance, information management controls and policies and procedures as part of the review the HR business partner structure.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD	March 2022	RED (Slipped)
ACTION UPDATE:	The review has slipped slightly during Q3, but will be picked up again in Q4.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/LS001 (LD/A010)	Keep under review the granting or otherwise of an 'adequacy decision' in respect of data flow between the EU and the EEA and the UK and advise on appropriate action by the Council to ensure compliance with associated legislation.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	GREEN (On Track)
ACTION UPDATE:	The UK has secured an adequacy decision. This requirement was to ensure that the Council was compliant with its responsibility under data protection law. The UK Government has secured an adequacy decision from the EU.												
ISR/SRS001	Undertake a review of information security against GDPR regulations.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	RED (Slipped)
ACTION UPDATE:	No progress against this action this quarter.												
ISR/SL001 (SL/A010)	Strengthen the Council's approach to Information Governance to ensure our systems are robust, fit for purpose and compliant with current legislative requirements.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)
ACTION UPDATE:	The information Governance Board continue to meet and make decisions and recommendations in relation to current Information Governance topics and issues. A ransomware prevention system has been procured and will be implemented in Q4 2021/22.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ISR/SL003 (SL/A003)	Deliver ICT infrastructure improvements within schools in line with the Welsh Government’s Education Digital agenda and to support new ways of working resulting from COVID-19.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)
ACTION UPDATE:	1,309 devices have been enrolled into Hwb's Microsoft InTune MDM for remote management. We are awaiting delivery of the Windows and Google devices. 81 large format/front of classroom displays have been delivered/installed, with the remaining 16 to be installed during the next quarter.												

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 including hotter temperatures, warmer, wetter winters, hotter, drier summers, increased summertime thunderstorms 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

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Inability and capacity of the Council and its key partners to work effectively together to meet its climate change commitment by 2030 and contribute to the climate change agenda locally.</p> <p>Failure to fully utilise our land use planning framework and other policy levers to become more resilient to climate change and its effects.</p> <p>Impact of COVID-19 on our ability to sustain momentum and buy in from key partners to address climate change issues collaboratively.</p>
Resources	Yes	<p>Limited asset renewal funding could result in the Council not being able to meet its CO₂ reduction target set out in the Carbon Management Strategy and Implementation Plan.</p> <p>Increased pressure on limited resources as a consequence of increased areas of maintenance.</p> <p>Insufficient funding availability to fully implement programmes/initiatives to reduce our carbon footprint.</p> <p>Annually shrinking budgets will impact negatively on consistently achieving high standards of cleanliness of the local environment.</p> <p>Impact of our failure to meet our commitments under the CRC Energy Efficiency Scheme and its associated financial benefits.</p> <p>Council incurs fines as a result of failing to meet statutory waste reduction targets.</p> <p>Impact of COVID-19 puts additional strain on our resources and effects our ability to progress commitments outlined in the Council's Climate Change Emergency Declaration E.g. Charter.</p>
Service Delivery and Wellbeing	Yes	<p>Failure to deliver key flood alleviation schemes across the Vale and exposing flood prone areas to a greater risk of flooding.</p> <p>Failure to implement the Shoreline Management Plan impacting on our ability to monitor and manage coastal erosion.</p> <p>Failure to reduce our carbon footprint by not reducing our CO₂ emissions and improving our energy efficiency.</p> <p>Disruption and financial cost of flooding to homes and businesses.</p> <p>Failure to engage and encourage residents to participate in Active Travel (use alternative forms of transport to the car).</p> <p>Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>The impact new developments places on putting in place a sufficient public transport infrastructure.</p> <p>Failure to fully deliver the Carbon Management Plan.</p> <p>Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including: i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales) and pollution of the local environment (e.g. contamination of groundwater; soil contamination).</p>
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	<ul style="list-style-type: none"> • 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) • review of the LDP underway which will further look to promote sustainable development until 2036. • Submitted bids to Welsh Government for Environment Grants to implement environmental and countryside programmes locally. • The Corporate Plan 2020-25 sets out our priorities relevant to promoting and enhancing sustainability. • Implementation of the requirements of the Environment Act 2016. • A Regional Transport Authority to govern and promote transport matters including Active Travel. • Motion passed by Full Council declaring a ‘Climate Emergency’ and a Nature 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. The Climate Challenge Plan was approved by Council in July and a nature emergency has also been declared. Meetings are taking place to ensure alignment across the workstreams. A Project Zero Project Plan has been developed and a Project Board has been established 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> Responded to the Welsh Government White Paper on Clean Air (Wales) Bill and the consultation on Reducing Emissions from Domestic Burning of Solid Fuels. 			
Resources	<ul style="list-style-type: none"> Development of updated Carbon Management plan (CMP). Zero Carbon surveys are being undertaken in buildings to create a programme of works which help towards meeting the Carbon Management Plan targets. Space Programme and Asset Management Strategy Automatic meter readings for utilities for all Vale owned buildings. We completed the implementation of LED lighting in residential areas during summer 2018. We have been awarded a Salix Grant to the value of £1,134,491 to undertake an LED main road (highway) street lighting replacement programme which has been completed. LED lighting installations have also been completed at Colcot school and a project for Cowbridge Leisure centre agreed with Legacy Leisure. Invested in new replacement vehicles that meet the EU Environmental Standards to operate on biofuel. Bids to Welsh Government for an Environment Grant submitted annually to implement environmental and countryside programmes locally. Explored opportunities to access funding via the City Deal. The City Deal footprint provides opportunities for local services regionally. Opportunities to seek S106 funding have been carried out as and when funding becomes available throughout the year, these have included S106 Barry Waterfront funding to carry out the signage scheme. Council owned & leased vehicles numbers are still continuing to be reduced; currently not all vehicles are being replaced at the end of their term. 	2	2	4











2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> • 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 – Nature Emergency action plan is under development • Green infrastructure Strategy in development. • PSB Climate Emergency Charter was launched in February and accompanied by a social media campaign highlighting work being undertaken by partners. • Social Services have evaluated ways of working to inform the development of a new operating model that takes account of climate change and sustainability. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> • Prioritise maintenance in all council services – including gritting, drainage, etc. • Sustainable procurement outlined in procurement guideline documents • Green travel plan established and publicised to all staff • Active Travel – ensuring walking and cycling routes are provided. • Worked in collaboration with the PSB to develop a Staff Healthy Travel Charter that contains 14 commitments that will promote the use of public transport, walking and cycling, agile working, and ultra-low emission vehicles. There are also actions around communications and leadership. 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> • Internal and external publicity for individuals and organisations on how to reduce gas emissions • Minimise the risk and impact of flooding and coastal erosion via an effective Flood Risk Management Plan, flood reduction measures and a Shoreline Management Plan. We effectively monitor changes in coastal waters and coastal erosion. • BREEAM standard for major projects e.g. schools/Extra care • Local Biodiversity Plan • Licences for grazing land have been advertised and bids are currently being assessed. New licences will incorporate biodiversity gains wherever possible. • Introduced a new enforcement policy to reduce litter, fly tipping and dog fouling offences through the appointment of an environmental enforcement organisation. • Pre-planning consultation underway on the delivery of a Flood Alleviation Scheme at Llanmaes. • The Vale of Glamorgan Local Development Plan (LDP) 2011-2026 was adopted by Full Council in June 2017. The LDP will be the basis for decisions on land use planning in the Vale of Glamorgan and will be used by the Council to guide and manage new development proposals. Completed an Annual Review of the LDP. • Full review of LDP commenced in 2021 and will be completed 2025. • The Residential Development and Householder Design Guide, Conversion of Rural Buildings, Minerals Safeguarding and Biodiversity Supplementary Planning Guidance (SPG) and Renewable Energy SPG and the Tourism and Leisure Development SPG have been approved for use alongside the LDP to support planning decisions. • Completed two housing development schemes in the Vale of Glamorgan 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>utilising modern methods of construction.</p> <ul style="list-style-type: none"> • Grant funding from Welsh Government has been secured to support carbon reduction and tackle fuel poverty in relation to our housing stock. • Construction of Llancarfan Primary School, the first net zero carbon primary school in Wales, is progressing in line with agreed programme. The Council has allocated an additional £300k to support decarbonisation of the Centre for Learning and Wellbeing and Ysgol Y Deri Expansion schemes, • Planning policy Wales has been updated by Welsh Government and will focus on sustainable development including biodiversity and flood risk and an update to Technical advice note (TAN) 15: development and flood risk Has been released and will come into force in 2022 • A Placemaking Wales Charter has been developed in collaboration the Placemaking Wales Partnership. By developing this Charter we have agreed to support placemaking in all relevant areas of our work and promote the following principles of people and communities, location, movement, mixes of uses, public realm and identify in the planning, design and management of new and existing places. • Active Travel maps have been completed and published. The Council is seeking finance to implement routes where opportunities arise. • Review of the Active Travel maps is currently underway with consultation being undertaken on existing and proposed routes in quarter 3 and 4. • The feasibility works have been completed for the bus, cycle and walking routes from Weycock Cross to Cardiff Airport. The development of a more detail design is planned for quarters 1 and 2 2021/22 • Successful delivery of grant funded biodiversity programme. Projects have 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>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.</p> <ul style="list-style-type: none"> • Ten of our Parks, eight urban parks and two Country Parks have been awarded Green Flag Status. Penarth Marina and, Southerndown. have maintained their Blue Flag status. We have successfully maintained our Seaside Awards for Jackson Bay, Whitmore Bay Cold Knap. • The Greenlinks scheme provides transport to residents in the Vale of Glamorgan. The scheme runs five days a week and provides those unable to access regular public transport with a suitable alternative. • Council promotes the 'All Wales Concessionary Travel Scheme' and the 'My Travel Pass' on digital platforms. • Recruited volunteers to assist in the delivery of transportation initiatives. • Investment of S106 monies have improved walking and cycling access. • Delivered a programme of Biodiversity Projects funded by the Welsh Government's Single Environment Grant. • Submitted a planning application for a reuse shop at Atlantic Trading Estate in Barry. 			
Reputation	<ul style="list-style-type: none"> • 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 	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	awareness of planning policy and decision-making processes.			
Overall Effectiveness of Controls		2	2	4

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/RP001 (RP/A033)	Contribute to the Council's response to the declared climate change emergency and develop specific plans and strategies to support this work.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
ESR/FIT001 (FS/A015)	Contribute to the Council's work with partners to take collective action to tackle the climate emergency and implement our Climate Emergency Action Plan.									CL			
ESR/HS001 ESR/LS001	Support the Council's work to take collective action to tackle the climate emergency and implement our Climate Emergency Action Plan.									MI & DM			
ACTION UPDATE:	Work on the draft Green Infrastructure strategy is ongoing. We plan on reporting the draft strategy to Cabinet in the Spring and seek approval for a 6-week public consultation. Adoption of the Green Infrastructure Strategy is anticipated in June 2022. Work has also commenced following declaration of a Nature Emergency on an action plan for Nature recovery. A draft Tree Strategy for the Council has been prepared and is due to be consulted within the Council in Q4. In the countryside we are due to plant over 2,500 saplings in Q4.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>Within Finance, officers attend corporate working groups on climate change matters. The Carbon Management Plan is to be updated to reflect the requirements of the Council.</p> <p>Legal & Democratic services, in line with Council policy continues to support work to address the climate change emergency and contribute to the delivery of the Climate Change Action Plan.</p>												
ESR/PB001 (PB/A032)	Work with our partners to take collective action to tackle the climate change emergency and engage with the local community about priorities for the Vale as part of developing our response to the climate change emergency declaration.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TBowring	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>The Project Zero Board has met twice and discussed in detail the implementation of the Challenge Plan. A communications plan has been developed and issues around resources and training explored as key areas that will underpin the work of the Board. Engagement with the local community and key messaging to staff and the public continues. A report on progress will be presented to Cabinet in February and this will cover issues around resources, reporting and also details of the Council's carbon data emissions. Funding has also been granted through the Community Resilience Fund to undertake an exercise regarding emissions in the wider community.</p>												
ESR/RP002 (RP/A022)	<p>Start the Local Development Plan review before June 2021.</p> <p><i>(That includes Milestone for annual monitoring review)</i></p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (Completed) Action completed and

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
													will be reflected as a control in the Register
ACTION UPDATE:	Work started in May 2021 on the LDP Review, Service Plan Action complete. Regarding an update on LDP Review progress, the draft Review Report and draft Delivery Agreement was report to 27th September Cabinet which was recommended for a 6-week consultation subject to the Environment and Regeneration Scrutiny on 19th October. A 6-week consultation will take place depending upon the outcome of Scrutiny.												
ESR/RP003 (RP/A036) ESR/NS001 ESR/SL001 (SL/A024)	Work with colleagues to develop a Green Infrastructure Strategy to promote and develop green space, sustainable drainage, green travel routes, ecology and tree coverage, including reference to a tree strategy for our towns and villages which will also provide a response to Ash Dieback. Support development of a Green Infrastructure Strategy with a focus on maximising the contribution made through the education estate.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG TBaker	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	<p>Work on the draft Green Infrastructure strategy is ongoing. We plan on reporting the draft strategy to Cabinet in the Spring and seek approval for a 6 week public consultation. Adoption of the Green Infrastructure Strategy is anticipated in June 2022. Work has also commenced following declaration of a Nature Emergency on an action plan for Nature recovery. A draft Tree Strategy for the Council has been prepared and is due to be consulted within the Council in Q4. In the countryside we are due to plant over 2,500 saplings in Q4.</p> <p>Continuing to work with the Council’s Ecologist and Local Nature Partnership to finalise year 1 of modified cutting regime areas (managed as wilder areas / meadows) which will enhance / increase / improve the biodiversity within such areas and increase our green corridors for pollinators etc</p> <p>The Council has also developed and issued resource packs to encourage and assist schools to develop and use outdoor areas in their grounds. It promotes the potential for schools to contribute towards nature recovery and encourage the use of school grounds for learning and teaching about local wildlife. As part of the 21st Century Schools Programme, the Council has planted 1,260 tree saplings, 120 fruit trees and 1,125m2 of wildflower seeds. 32 Schools have returned audit responses. Identified key areas for improvement to feed into future projects.</p>												
ESR/RP004 (RP/A037)	Implement the Biodiversity Forward Plan with an emphasis on increasing staff awareness about the importance of embedding biodiversity across the work of the Council.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
ESR/NS002	Contribute to enhancing biodiversity and addressing climate change sustainability by implementing the relevant actions									ER			

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
(NS/A036) ESR/FIT002 (FS/A018)	<p>contained within the Biodiversity Forward Plan, including the drafting of a Tree Management Strategy and an action plan to manage Ash Dieback.</p> <p>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.</p>										CL/LC		
ACTION UPDATE:	<p>Regeneration and Planning continue to play a key part of the Council’s response to the Nature Emergency and will undergo revision as it reaches year 3.</p> <p>Discussions remain ongoing with internally (also now involving VoGC Ecologist), arranging to discuss with informal cabinet during early 2022 in order to progress Tree Management Strategy and associated action plan to manage Ash Dieback.</p> <p>No new farm business tenancies have been granted in Q3.</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/RP005 (RP/A025) ESR/NS003 (NS/A026)	Encourage and support sustainable changes to people’s travel patterns and increase safe walking, cycling and public transport infrastructure in existing areas (includes new housing developments either through direct provision or through the Section 106 process).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG ER	March 2022	GREEN (On Track)
ACTION UPDATE:	Schemes continue to be developed to improve walking, cycling and public transport infrastructure in existing areas and new housing developments either through direct provision or through the S106 process. Phase II of the works in Wick have been completed this quarter. An additional 5 schools have signed up to WOW and will start early in 2022. Bike Pumps/Repair stations funded by PHW arrived and will be installed early in Q4.												
ESR/RP006 (RP/A035)	Deliver the statutory planning function in order to protect, preserve and where possible enhance our natural and built environment and cultural heritage <i>Milestone: Ensure new developments deliver appropriate recreation and sports facilities and protect existing facilities where necessary.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	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:	<p>During Q3 349 planning applications have been determined, 330 of these applications were approved (95 % of decisions). 7 Applications for Listed Building Consent were determined, all of these were approved. 35 applications were determined in relation to trees: 22 TCA's (Work to trees in a conservation area) and 15 TPO's (Work to trees covered by a Tree Preservation Order). 6 applications for advertisement consent were approved. No new Tree Preservation Order have been confirmed. 93 planning enforcement cases were resolved during the quarter.</p> <p>Out of the 349 approved planning applications the following decisions related to decisions within planning designations: 31 were approved in a Special Landscape Area (SLA). It was considered that none of the proposed development would have a detrimental impact upon the SLAs by nature of their design and scale; 4 applications were approved in Green Wedges but neither approval impacted upon the openness of the green wedge or the other reasons for their designation; 8 applications were approved within the Glamorgan Heritage Coast. The approvals within the Heritage Coast related to householder or minor developments and all approvals were considered to not detract from the character of the Heritage Coast; 0 applications were approved in a SSSI; 1 application was approved within a SINC.</p> <p>During this Quarter, 0 applications have been received which increases or decrease the amount of open space within the Authority. The remaining applications were approved outside of designations important to protecting and enhancing the historic, built and natural environment of the Vale of Glamorgan. Additionally, the Council has previously adopted the following SPGs to ensure development proposals respect the built and natural environment: Residential and Householder Development SPG; Conversion and Renovation of Rural Buildings SPG; Public Art SPG and; Trees, Hedgerows, Woodlands and Development SPG. The Council also has an adopted Biodiversity and Development SPG and Design in the Landscape SPG, however, these documents are currently under review to reflect changes to national planning policy in edition 11 of PPW.</p>												
ESR/NS004 (NS/A040)	Invest in sustainable transport, community facilities and parks as a result of negotiating Section 106 payments from developers.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER		GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/RP007 (RP/A039)	Invest in education, sustainable transport and community facilities as a result of negotiating Section 106 payments from developers.										MG		
ACTION UPDATE:	The Council continues to use S106 contributions to invest in education, sustainable transport and community facilities as a result of negotiating Section 106 payments from developers. For example, a new play area at Belle Vue was completed in this quarter. Consultation is underway for a new play area at St. David's Crescent in Penarth, and for additional community facilities in Wenvoe.												
ESR/RP008 (RP/A038)	Establish a Local Nature Partnership to work together to improve the local natural environment.	✓	✓	✓	✓	✓	✓	✓	✓	✓	MG	March 2022	GREEN (On Track)
ACTION UPDATE:	Task and Finish Groups are looking at rare and threatened species in the Vale and devising plans of action which will be themed around habitats. Community Grants continue to support local group actions for biodiversity and engagement.												
ESR/RP009 (RP/A013)	Use Section 106 funding from development to support the development of sustainable transport	✓	✓	✓	✓	✓	✓	✓	✓	✓	MG	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	links to the airport including cycle, bus and rail links.												
ACTION UPDATE:	Highway Development are seeking to progress the detailed design work for the footway/ cycleway.												
ESR/FIT003 (FS/A016)	Continue to meet our commitments under the CRC Energy Efficiency scheme and achieve annual certification.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
ACTION UPDATE:	The Carbon footprint of the Council in line with the Welsh Government Net Zero Reporting duty has been finalised and has been submitted to WG.												
ESR/FIT004	Progress an energy efficiency improvement programme across council services in line with the Council's climate change priorities.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
ACTION UPDATE:	Work continues to be progressed.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/FIT005 (FS/A017)	Work towards achieving our targets in the Vale of Glamorgan Council Carbon Management Plan 2018-22.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On Track)
ACTION UPDATE:	The development of energy improvement works are in the process of being finalised. Emphasis this quarter has been on Net Zero Reporting. The programme of installation of electric charging for fleet vehicles has been developed and will be implemented in the coming months. Work on public charging infrastructure has also commenced. Work to completely refresh the Councils Carbon Management Plan will commence in the coming months also.												
ESR/HS002 (HS/A033)	Deliver a range of environmental projects through the Community Investment scheme to include communal space improvements at Fair Oaks, Dinas Powys; Trebeferad, Llantwit Major and Buttrills, Barry to enhance the local area and improve neighbourhoods.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	Planned Environmental projects continue to progress. The Fair Oaks parking scheme has recently been completed and consultation is ongoing with residents at Buttrills is ongoing ahead of the next phase of environmental works. Further schemes, including Trebeferad are in the pipeline. Housing staff are putting together a list of potential future schemes which will be prioritised in a forward work programme												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/HS003 (HS/A030)	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. <i>Milestone: Develop a co-ordinated approach to tackling fuel poverty.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	External wall insulation and other fabric first measures continue to take priority whilst other technologies such as air source heat pumps and solar panels are being trialled before commitment. Welsh Government are working on WHQS2 which is expected to set standards and targets of performance and this is expected to drive key technologies. Delivery of the Optimised Retrofit Project is enabling properties with the worst performing heating system to be upgraded and improved for energy performance.												
ESR/HS004	Develop a sustainable alternative sewage arrangement for residents at Channel View, Marcross and Croft John, Penmark.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	Develop a sustainable alternative sewage arrangement for residents at Channel View, Marcross and Croft John, Penmark.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/HS005 (HS/A031)	Deliver near zero carbon, or at a minimum A rated new Council homes and utilise Optimised Retrofit Programmes that include Modern Methods of Construction and off-site manufacturing to meet carbon reduction targets.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	Officer working group formed to progress. Resident consultation to be undertaken Jan 2022. Natural Resources Wales licence issued.												
ESR/HR001 (HR/A010)	Review our corporate policies to invest in supporting infrastructure to encourage more encourage more freedom, trust and empowerment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD	March 2022	GREEN (On Track)
ACTION UPDATE:	A review of other staff initiatives that support Project Zero, will be undertaken over the next few months.												
ESR/NS005 (NS/A032)	Continue to develop a more environmentally sustainable fleet including the use of hybrid, alternatively fuelled and electric vehicles	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	AMBER (Minor slippage)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p><i>Includes Milestone actions:</i></p> <ul style="list-style-type: none"> 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. 												
ACTION UPDATE:	Energy Service Wales report on fleet options and zero emission infrastructure received and currently being reviewed. Two demo electric refuse vehicles (one converted and one new) trialled with waste management staff. Investigating the costs of electric pool cars together with the implementation of charging points. Procurement due of electric vehicle pool cars in Qtr4 with Welsh Government funding being applied for to make up the difference between cost of diesel and electric vehicles.												
ESR/NS006 (NS/A027)	Deliver the Nextbike programme in Penarth and explore the potential for expansion of the Scheme to Sully, Dinas Powys and Barry as part of promoting active travel and a review of existing Active Travel Routes.	✓	✓	✓	✓	✓	✓	✓	✓	✓	ER	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Due to high levels of vandalism in Cardiff the bike scheme has been temporarily suspended, due to relaunch early January 2022. Locations for 2 stations in Penarth have been confirmed and will be installed by end of financial year.												
ESR/NS007 (NS/A002)	Use our property and land assets to support changes in service delivery, including, agile working, tackling climate change and achieving financial savings. Schemes include leisure centre boiler replacements, construction of a reuse shop in Barry, extension of the electric bicycle hire scheme, use of alternatively fuelled vehicles, installation of electric charging points review of pool cars and technological improvements to bus shelters. Milestone: Open a reuse Shop in Barry.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)
ACTION UPDATE:	PV panels are presently being installed at Cowbridge Leisure Centre as part of the roof replacement scheme. This is one of a number of initiatives within Leisure Centres aimed at reducing energy use thereby tackling climate change and achieving further savings. E-taxi "try before you buy" scheme launched by CCR. 2 taxis in the VOG. Additional EV charging points at key locations within Council ownership installed.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integrat	Collaboration	Involvement	Prevention	Long-Term			
ESR/NS008 (NS/A012)	Work with partners including the Cardiff Capital Region, Welsh Government and landowners to develop sustainable transport links to the airport including cycle, bus and rail links.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	RED (Slipped)
ACTION UPDATE:	No progress made with landowners to gain access to land to complete surveys. Discussions being held with internal teams to use drone to survey area.												
ESR/NS009 (NS/A033)	Complete the Main Road LED Street Lighting Replacement programme with the use of SALIX finance.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (Complete) Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The few minor outstanding issues have now been resolved and works are complete												
ESR/NS010 (NS/A28)	Improve cycle and pedestrian facilities and revise the Active Travel Integrated Network Maps for the Vale of Glamorgan	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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:	Active Travel Network Map statutory 12-week consultation completed, and maps presented to Cabinet 20 December												
ESR/NS011 (NS/A042)	Ensure there are sufficient and appropriate end designations for the resale and reuse of recycled material and minimise the export of recycling and waste wherever possible.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)
ACTION UPDATE:	Living Streets WOW project – a further 5 schools signed up ready to launch in Jan22. OvoBikes have temporarily been removed from docking stations due to vandalism (mainly in Cardiff) – due to relaunch early January 2022, and locations agreed for the 2 additional stations in Penarth. Active Travel Network Maps presented to Cabinet 20 December 2021, all maps on DataMapWales ready for submission. Cardiff Road consultation closed Oct 2021 and draft report prepared for discussion with Cllrs. Eglwys Brewis AT route consultation launched Dec21 for 4 weeks. Fairfield SRIC construction commences 10 January 2022 along Wordsworth Avenue and all other AT schemes progressing well for full spend by end of financial year.												
ESR/NS012 (NS/A043)	Deliver a range of improvements to waste management including the creation of a Re-Use Facility, completion of the Resource Recovery Centre and the development of a Household Waste Recycling Centre in the Western Vale.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<ul style="list-style-type: none"> Milestones: Monitor and review the existing waste collection rounds. Promote recycling and waste elimination via social media campaigns. 												
ACTION UPDATE:	The re-use shop has been delivered/installed and the civil works to complete the build are underway. The scheme will be finished in quarter 4. The construction of the Resource Recovery Facility remains underway but due to the impact of Covid and the availability of materials, the operational date is expected August 2022. The development of a new western Vale HWRC is progressing, and land options identified. A preferred site has now been identified and a construction design is being considered.												
ESR/NS013 (NS/A049)	Maintain environmental standards by retaining our awards for Green and Blue flags.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)
ACTION UPDATE:	The coastal awards have been received for 2021 and all awards have been retained with the exception of the blue flag at Whitmore bay which we could not apply for, as it did not meet the required level of water quality from 2020 testing. Green Flag parks - all parks retained their Green Flag Status; we are progressing with modifying our cutting regimes to increase biodiversity within our environment. We have reduced our "annual bedding" and replacing with more biodiverse perennial displays. Our Green Flag parks continue to be pesticide free. We are planting additional trees within our Green Flag parks and Open Spaces and will continue to do so into Q4												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/NS014 (NS/A052)	Monitor and assess changes in coastal morphology, including the beach and cliffs, in accordance with the appropriate Shoreline Management Plans. Includes milestone action: <ul style="list-style-type: none"> Monitor the actions contained in the Shoreline Management Plan. 		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)
ACTION UPDATE:	The collection of waves, water level and meteorological data continuing at Penarth Pier. An additional detailed laser scanner survey was carried out between Lavernock and Cardiff to profile and record the existing coastline in Q3.												
ESR/NS015 (NS/A050)	Revise the Local Flood Risk Management Strategy in response to the updating of the National Flood and Coastal Erosion Risk Management Strategy		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	RED (Slipped)
ACTION UPDATE:	Update on hold pending guidance from Welsh Government.												
ESR/NS016 (NS/A051)	Implement the Llanmaes Flood Risk Management Scheme.		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)
ACTION UPDATE:	The planning application is programmed to be considered by planning committee on 26th January 2022. Tenders have recently been returned and are currently being assessment prior to award in Q4 when a proposed construction phase during the Spring and Summer period 2022. The implementation of the scheme remains subject to deemed planning consent and successful application for funding to WG. Land entry notices and plans have been prepared and are due to be issued to relevant landowners in Q4.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/SL003 (SL/A021)	Improve existing school buildings and deliver new buildings for St Davids and Llancafarn Primary Schools, making them low carbon and where possible zero carbon buildings to operate and create an adaptable and scalable school design in partnership with the construction industry.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TBaker	March 2022	GREEN (On Track)
ACTION UPDATE:	K2N date continues to be returned for operational school buildings. Whitmore High School data demonstrates that the building is meeting its hot water usage target but is slightly over heating target by 0.14 kWh. All electricity targets have been met.												
ESR/SL004 (SL/A022)	Work via the SIOB Decarbonisation Sub-Group to consider the behaviour change, asset renewal strategy and infrastructure required to respond effectively to the Council's climate emergency and advise SLT and schools.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TBaker	March 2022	GREEN (On Track)
ACTION UPDATE:	The Council has also launched energy dashboards to all schools in order to change how are buildings are used. This provides each school with data on how much energy they consume throughout the year. The dashboards allow schools to see how their consumption compares against other similar sized schools. The dashboards also include a simple guide to reducing energy consumption. The Council has agreed a simplified approach to developing Salix schemes in order to ensure quick wins are identified and implemented. In total, the Council has identified 10 Salix projects which have been approved and due to be implemented over the next 18 months. These projects will save 63.5 tonnes CO2e/pa. The Council is also trialling Fuel Stretcher in 2 primary schools and a secondary school. This system integrates into the building management system to improve optimisation of												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
heating to reduce energy consumption. The Council is also working with the Carbon trust to develop plans to retrofit 3 existing primary schools to achieve net-zero (operational) carbon.													
ESR/ALN001	Ensure specialist provision continues using online technology for assessments and reviews where possible ensuring that ALN needs are addressed	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
ACTION UPDATE:	Progress continues to be made in developing this platform and trials undertaken have been positively received. Based on the feedback given further adaptations will be made and the process of development will be ongoing.												
ESR/ALN002	Continue to support staff to work from home where possible to reduce travel, carbon emissions and use of cars and pool cars.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
ESR/NS017	Implement and promote the Public Service Board’s Staff Healthy Travel Charter and encourage staff to use their cars less and to be more active.										ER		
ESR/LS002	Continue to support staff to work from home where possible to reduce travel, carbon emissions and use of cars and pool cars.										DM		

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	<p>Within Learning & Skills, due to the impact of the Omicron variant it has been necessary to review working practices once again to reflect new guidance. This has required a renewed emphasis on staff working from home and reducing social contact. The Cycle2Work scheme ended in Q3 with 54 staff purchasing a bike in this second phase. Staff travel survey completed in December saw 48% of staff working in a hybrid way.</p> <p>Legal & Democratic Services, in line with Council policy continues to support staff to work from home where possible.</p>												
ESR/RMS001 (RMS/A021)	Optimise agile working practices to enable us to define a more sustainable operating model.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ESR/CS001 (CS/A020)	Review our working practice to operate more sustainably.									RE			
ESR/AS001 (AS/A008)	Contribute to the development of a new HR Strategy that reflects the new ways of working within Adult Services.									SC			
ACTION UPDATE:	<p>Within Resource Management, Safeguarding, all services continue to be provided from home, with the exception of weekly payments and some administrative tasks that are required to be completed in the office. Financial Assessment and Benefits Advisors continue to offer virtual meetings where appropriate and only visiting in person if no other option is available.</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>Within Children and Young People Services, work is continuing to inform the Council’s future operating model / use of space and sustainability is central to these discussions</p> <p>Within Adult Services, Qtr 3 saw us encourage a return to offices and working in a hybrid manner, more akin to our planned future working practices. However, WG guidance then changed to reinstate the need to Work from home due to the increase in prevalence of Covid -in particular the threat of the Omicron variant and this led to us reverting back to heavy reliance on communications via digital means, unless there was a wellbeing needs to attend the office, or where assessments etc could not be done virtually, and there we reverted to our dynamic risk assessment to balance the risks of attending a person's own home, versus the risk of transmission. We have always maintained high levels of Infection prevention control with PPE and ensuring LTD tests are completed and reported routinely. We remain reengaged in the work around policies with our corporate HR colleagues to inform our practices and ensure that we balance the needs of our workforce as well as our populations care and support needs.</p>												
ERS/AS002 (AS/A003)	Undertake a review of our assets to enable the service to respond to our changing accommodation requirements in order to meet future service needs.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>The Head of Service has liaised with Operational Managers to consider our operating models post Covid and seeking to inform the accommodation strategy for our teams moving forward. We have engaged with this process and ensure full participation to shape the future accommodation needs fit for the purpose to deliver high quality services to those we support. The integrated nature of the Adults Division has required Cardiff and Vale UHB and Swansea Bay UHB as key delivery partners are appraised of the accommodation review.</p>												

1 – Risk Overview	
<p data-bbox="86 293 368 322">1.1 Risk Description</p>	<p data-bbox="448 293 1430 488">The UK Government’s Welfare Reform has introduced the greatest change in the administration of welfare benefits for a generation. In addition to a significant change in the way in which the council will run the housing and council tax benefits service, the changes also affect Social Services and Housing Services and ultimately have an impact on the overall finances of the authority.</p> <p data-bbox="448 528 1430 689">The changes associated with Welfare Reform relate to the Housing Benefit scheme and the introduction of the Council Tax Reduction Scheme to replace Council Tax Benefit. The Welsh Government implemented the Discretionary Assistance Fund from April 2013 and the DWP started the roll out of the Personal Independence Payment in Wales from July 2013.</p> <p data-bbox="448 730 1430 925">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. Full implementation in the Vale of Glamorgan did not commence until October 2018.</p> <p data-bbox="448 965 1430 1227">Originally the key facet of this risk concentrated on how we would manage our response to the Welfare Reform changes in terms of their impact on our services. Initially these challenges focused on the impact these changes would have on our ways of working (systems/processes), our workforce and our finances. Since the administration/processing of the Universal Credit claims is now undertaken by the local Job Centre Plus and the ‘Universal Support’ aspect is now provided by the Citizens Advice Bureau the administrative pressures associated with this risk have now diminished.</p> <p data-bbox="448 1267 1430 1697">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.</p> <p data-bbox="448 1738 1430 1995">In relation to the private rented sector, there are a number of reasons why a tenant may lose their accommodation, one of which includes rent arrears. It is difficult to establish the true reason for the loss of private rented accommodation, as both tenants and landlords are often reluctant to share this information. As a result, the Housing Solutions Team will record the homelessness presentation as a generic loss of rented accommodation. However, with the roll out of Universal Credit, it is anticipated that rent arrears in the Public Rented Sector will rise. The impact of this is likely to be</p>

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

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

The advent of COVID-19 has seen a growth in the numbers of people claiming Universal Credit in all areas of the Vale of Glamorgan. There is the danger that COVID-19 may further compound the issues around rent arrears and see an increasing number of private homeowners in mortgage payment arrears (who are now reliant on Universal Credit). These factors have the potential to further drive up the risk of a break down in tenancy/repossessions and homelessness. The challenge facing our housing services is how can we proactively work together to respond effectively to this crisis and support our citizens to maintain their homes/tenancies and prevent homelessness.

The other emerging area of concern that is likely to have a further detrimental impact on those in receipt of Universal Credit is global energy crisis and the impact of price rises on domestic customers. Although, the public have been protected from sudden price rises through the energy price cap (maximum price/charge for those on a standard tariff), this is set to change. At the end of October, Ofgem confirmed in an open letter to energy suppliers its intention to review and consult on the price cap methodology¹. They outline that in order to protect the interests of the consumer, at the price cap reflects the costs, risk and uncertainties facing the energy supply chain currently². A decision on a rise in the cap is expected in February 2022, with the view of implementing any changes to the cap from 1st April 2022³. Analysts have forecasted there will be a significant rise to the price cap.

In terms of the risks the energy crisis presents to our residents, there is the risk that energy price rises and any significant rise in the energy price cap from April onwards, is likely to push more and more people into fuel poverty. There are growing concerns in the midst of inflationary rises (cost of living) and changes to Universal Credit that those on the lowest of incomes are likely to be driven further into poverty. The Consumer Price Index rose by 5.4% in the 12 months to December 2021 (Qtr3) an increase from 5.1% in November and the Consumer Prices Index (including owner occupier's housing costs) (CPIH) rose by 4.8% in the 12 months to December 2021 (Qtr3), up from 4.6% in the 12 months to November⁴. This figure remains more

¹ Ofgem, [Open Letter to Energy Suppliers](#), 29th October 2021

² Ofgem, [Open Letter to Energy Suppliers](#), 29th October 2021

³ Ofgem, [Open Letter to Energy Suppliers](#), 29th October 2021

⁴ ONS, [Consumer Price Inflation UK: December 2021](#)

than double the Bank of England's target of 2%⁵. The Bank of England and were already anticipating that the figure will rise above 4% by the end of the year⁶. Inflation is being driven by housing and household services and transport (fuel and second-hand cars). Household costs are rising for food and non-alcoholic drinks as well as in relation to restaurants, hotels, furniture, clothing and footwear, have all been cited in driving up the inflation rate⁷.

The Bank of England (at its 15th December 2021 meeting) agreed to increase the bank rate by 0.15 percentage to 0.25%⁸. However, there is concern that increasing the base rate (cost of debt) will place an additional squeeze on households already struggling with rising costs of living.

Citizen's Advice estimate that a third of people on Universal Credit are likely to end up in debt as a consequence of the £20 per week cut in Universal Credit⁹. During quarter 3 (16th November), in response to rising cost pressures facing citizens, the Welsh Government announced a £51m package of support for the lowest income families impacted by the cost-of-living pressures. This Household Support Fund will be targeted at households to provide financial support in paying their energy bills over the winter and there is also additional funding for foodbanks and community food schemes¹⁰. £38m of this funding will be made available to eligible households in the form of a Winter Fuel Support Scheme for those in receipt of working-age means-tested benefits¹¹. This will enable eligible households to claim a one-off cash payment towards their energy bills¹².

Although the announcement from the Welsh Government is welcomed, the combination of the financial pressures still likely to detrimentally impact the lowest income households living in poverty in Wales. At a time when people's incomes (Universal Credit) are not rising in line with inflation there is the risk that some of our citizens will need to make difficult decisions as to whether they can maintain their tenancies, eat or heat their homes.

1.2 Risk Owner		Mike Ingram (Interim Risk Owner) Head of Housing & Building Services				
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

⁵ BBC News, [Inflation: Rise in cost of living slows in September](#), 20th October 2021
⁶ Bank of England, [Monetary Policy Report](#), November 2021
⁷ ONS, [Consumer Price Inflation UK: December 2021](#)
⁸ Bank of England, [Monetary Policy Report](#), December 2021
⁹ BBC News, [Universal Credit: What is the taper rate?](#), 27th October 2021
¹⁰ Welsh Government, [£51m support fund to help families hardest hit by cost of living crisis](#), 16th November 2021
¹¹ Welsh Government, [£51m support fund to help families hardest hit by cost of living crisis](#), 16th November 2021
¹² Welsh Government, [£51m support fund to help families hardest hit by cost of living crisis](#), 16th November 2021

						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	<p>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.</p> <p>Changes in welfare reform are likely to impact on the resourcing and workforce needs/requirements for delivery of the programme.</p>
Service Delivery and Wellbeing	Yes	<p>Failure to safeguard principles of social inclusion as a result of welfare reform.</p> <p>Welfare reform could have a detrimental impact on service user's finances and affect their ability to sustain tenancies and pay bills.</p> <p>Social impact of welfare reform and any reduction in Universal Credit allowance, has implications for tenant's health, their ability to heat their homes (especially in the context of rising inflation and rising energy prices) , live in good quality housing and feed themselves.</p> <p>Poor communication of the welfare reform changes to clients could result in them getting into debt.</p> <p>Increased number of citizens unemployed due to COVID crisis pushes more people into debt and poverty. Any detrimental impact to their finances could impact on their ability to pay their mortgages/ sustain tenancies, pay bills and afford food. This in turn puts our benefits and housing and homelessness services under increased pressure to source solutions that will enable them to continue to live in their homes, prevent homelessness and access food.</p>
Reputation	Yes	<p>Poor implementation of welfare reform measures having an adverse impact on equalities commitments and our reputation as a Council.</p> <p>Failure to effectively communicate and manage delivery of welfare reform changes could damage the client's relationship and trust of the Council and ultimately its reputation.</p>

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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) 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> 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. Alongside this a Housing Support Grant Delivery Plan has been developed. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> Improved the management and access to and use of Discretionary Housing Payments. Improved engagement with tenants affected by the removal of the spare-room subsidy through: the provision of regular advice and information on the options open to them to address the financial impact of the change in their circumstances; the promotion of the 'Your benefits are changing' helpline; and the provision of support to tenants specifically affected by the removal of the spare-room subsidy to participate in regional/national employment schemes. Supported the effective roll out of Universal Credit across the Vale of Glamorgan. There are various initiatives/support mechanisms in place for families who are experiencing financial hardships such as the Sofa scheme, provision of advice and sustaining our partnership with the Food Bank. The Multi-Agency Landlord group meets regularly to discuss and identify how we mitigate the adverse impacts of welfare reform on tenants. For example, working on a joint communication campaign to raise awareness of welfare reform. Community Investment Team works with tenants to support them through accessing 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>employment, promoting digital inclusion and working with tenants to participate in Time banking schemes.</p> <ul style="list-style-type: none"> • Universal Credit went live on the 10 October 2018. Citizens requiring digital or personal budgeting support are assisted by the Citizens Advice Bureau. • The Council website contains up to date information and advice on Universal Credit with links to Gov.uk along with signposting to digital platforms get further information and help. • We continue to work alongside the DWP and act in accordance with the DWP legislation for Universal Credit only accepting claims from those who are exempt from claiming it. We also ensure Housing Benefit claims are cancelled correctly when we are notified of Universal Credit claims and send the notifications back to DWP. • Applicants are signposted for help at Citizens Advice Bureau if they need additional assistance for helping to claim UC as access is all online. If they just require access to a PC or WIFI customers are signposted to the libraries where they can access these services. • Worked with the Department of Work and Pensions to provide a range of work placement/work experience opportunities in the Council for volunteers in receipt of state benefits. • The Income Team/Money Advice Team (Housing Services) work with households in financial difficulty by provided advice and assistance on budgeting, accessing additional benefits, identifying preferential tariffs, support for backdated claims/appeals. Established a procedure to proactively contact new claimants to offer advice/support. • A Homelessness Prevention Strategy and Action Plan is in place which incorporates homeless prevention and housing support requirements. The Housing Support Grant Delivery Plan has been developed and circulated to all Members. • Social media has been used throughout the Pandemic to communicate with businesses/citizens in relation to grants and support available. 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> We continue to promote support available through the armed forces covenant and disregard all armed forces related benefits to ensure maximum take up of benefits. Established a 'One Stop Shop' to provide residents with money advice, information and debt support on a range of issues including housing, benefits, employment and training. 			
Reputation	<ul style="list-style-type: none"> Council's website is updated with information guides on Welfare Reform for Vale residents. 	2	2	4
Overall Effectiveness of Controls		2	2	4

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WRR/HS0 02	Prioritise tenants receiving Universal Credit for Money Advice.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	All tenants who submit a new claim for UC are contacted by a Money Advisor. In addition, tenants in arrears are referred to Money Advice for tailored assistance to ensure they maximise their income and claim all eligible benefits.												
WRR/HS0 03 (HS/A026)	Maximise any grant funding opportunities for longer term accommodation to address the increased homelessness demand.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	All funding opportunities are being considered including the extended funding for block booking of rooms in B&Bs but also funding for the provision of new temporary and permanent housing. The Council is also using its own reserves to fund accommodation.												
WRR/HS0 04 (HS/A012)	Work across the Council and with partners to support residents as changes to Welfare Reform are rolled out.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	The Money Advise team to continue to deal with a high case load. Anecdotal feedback has highlighted there are concerns related to Christmas and also the rising costs of fuel and other goods. Advisors continue to work with individuals in financial pressure and new referrals are prioritised according to need, with urgent cases being seen within a few days.												
WRR/HS0 05 (HS/A009)	Enhance people's skills and readiness for work through community investment opportunities including the Council housebuilding programme, Supporting	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	People Scheme 21 st Century Schools and training opportunities.												
ACTION UPDATE:	There is an established process in place for adding community benefit clauses to large development contracts and the Community Investment team work with local people to match them into training, apprenticeship and employment opportunities. The CI team continue to work with partners via the Opportunity Knocks scheme to provide training and support to get individuals into employment.												
WRR/HS0 06 (HS/A010)	Implement the Community Investment Strategy to improve our tenants' quality of life and wellbeing through the development of a single gateway for employability advice and support expansion of Timebanking and review social value clauses.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	A range of CI interventions continue to be delivered focussing on digital inclusion, employability and health and well-being. The expanded food pod has recently opened in Penarth and provides a much needed means of supporting local residents. This area-based model is making a significant impact and plans are being developed to replicate aspects of the approach in different areas.												

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	<p>Public Buildings Compliance relates to our responsibilities and duties as a public organisation for ensuring that all our assets are satisfactorily compliant with all current legislative building requirements. The primary risk associated with public buildings compliance is that we fail to comply with our statutory responsibilities for ensuring the health, safety and welfare of both staff and the public when using our premises.</p> <p>The Health and Safety at Work Act 1974 places specific duties on managers in the control of buildings to ensure; employees, building users and other members of the general public do not come into harm whilst using the building. Over the years, this act has been supplemented by a number of supporting regulations to ensure the safe management of, electricity, gas, asbestos, legionella, fire, lifts, etc. These duties cannot be discharged to third parties and it is the premises manager/duty-holder that is ultimately responsible for managing the risks and discharging the requirements of all the regulations associated with the building.</p> <p>Whilst the legal duty to manage a building's compliance does not in all cases sit directly with the Council's Client Teams, for example: for Schools where the duty holder would be the Head teacher, the Council has a vicarious responsibility to ensure the protection of all users of its corporate buildings. There will also be cases whereas a Council we externally commission services to be delivered by a Third Party. Although we are not the responsible Premises Manager/Owner of these sites, we do hold a reputational stake in ensuring that our reputation is protected. Therefore, we need to assure that there are suitable processes and procedures in place to both establish the extent of the risks that the Council is exposed to and how those risks are being effectively managed. Equally issues around leasehold and service agreements also need to be considered in terms of any potential risk implications this has the Council where we have a vested interest in the building where services are being operated from. E.g. Community Libraries.</p> <p>During September 2017 a report was tabled at the Council's Corporate Management Team and it was agreed a major review would be undertaken of the Council's current management of compliance arrangements, led by the Director of Environment and Housing.</p> <p>The arrangements for the management of compliance and specifically the 'compliance data' for the Council's Corporate Building Stock has significantly improved and work continues to control identified gaps in compliance. Data on compliance of our corporate buildings was not previously held centrally, and this has been a matter of concern raised by the Wales Audit Office in a recent review and was subsequently identified as a proposal for improvement in the Council's Corporate Assessment. In response to these concerns it was agreed to manage corporate compliance through a central team.</p>
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	<p>Limited availability of accurate and up to date compliance data in relation to both Council-owned assets and Third-Party provision results in the Council not being able to meet its building compliance obligations.</p> <p>Budgetary pressures impacting on the availability of asset renewal funding will impact on how the Council prioritises and meets its building compliance obligations.</p> <p>Failure to adopt a strategic approach to the management of building compliance in relation to our existing Council-owned assets.</p> <p>Insufficient resources available to effectively, monitor, prioritise and project manage completion of building compliance work.</p>
Service Delivery and Wellbeing	Yes	<p>Failure to fully deliver our building compliance responsibilities. This is pertinent in the context of COVID-19 when contact and access to buildings has been problematic which in turn has made the monitoring compliance more difficult.</p> <p>Failure to put in place adequate quality assurance mechanisms to assure the Council the Third-Party providers and Schools are effectively managing any building compliance issues and associated risks. This is relevant in the context of COVID-19, as contact with sites has become more difficult due to school closures.</p> <p>Failure to safeguard the wellbeing of our service users/residents/pupils in Council-owned assets and other associated public buildings as a result of an incident arising from non-compliance.</p> <p>Inability to sustain service delivery/business continuity from premises as a result of an incident associated with non-compliance.</p>
Reputation	Yes	Erosion of public confidence and trust in the Council as a result of a compliance failure which would damage its reputation and attract negative criticism from Welsh Government our regulators.

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

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

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

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

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

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BCR/FIT001	Continue to support the monitoring of corporate building compliance data including supporting managers to use the CIPFA (IPF) asset management system to record asset information.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL/LC	March 2022	GREEN (On Track)
ACTION UPDATE:	This work continues as business as normal												
BCR/HS001	Monitor corporate building compliance within Schools to raise awareness with premises Managers of any compliance risks.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI/AT	March 2022	GREEN (On Track)
ACTION UPDATE:	Annual inspections continue across all school sites and corporate premises. A recent internal audit report has found reasonable assurance with some recommendations for improvement.												
BCR/NS001	Undertake regular public buildings inspections to ensure we meet our building compliance responsibilities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	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 & Legal	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Still on track, a decision was made in Q3 to try and streamline the contractors to improve efficiencies in regard to undertaking compliance												
BCR/SL001	Maintain and report an up to date position with respect to building compliance in relation to the Learning & Skills Directorate's building assets and within schools.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)
ACTION UPDATE:	Regular monthly reporting on all aspects of School compliance continues to take place via the School Investment Operational Board. Identification of areas of possible weakness are explored and raised with individual schools. The Directorate recently participated in an audit of Compliance. The recommendations within this report will be acted upon.												
BCR/HS002	Provide regular compliance updates to the School Investment Operational Board (SIOB).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI/AT	March 2022	GREEN (On Track)
ACTION UPDATE:	Monthly updates and attendances continue to occur.												
BCR/LS001	Provide the required legal support for the Council's work in relation to Public Buildings Compliance.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	In line with Council policy and in particular title investigation work by the property and contract team to be progressed on request at a tight timescale, if required.												
BCR/HS003	Work in liaison with the Corporate Health and Safety Team to resolve compliance issues identified at various sites.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AT	March 2022	GREEN (On Track)
ACTION UPDATE:	Liaison with the Corp H&S team occurs where necessary to resolve and progress issues. A monthly meeting between the two section managers occurs to discuss ongoing and upend coming issues.												

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	<p>The Council has produced a Corporate Safeguarding policy including the Safer Recruitment Policy, the Staff Supervision Policy and the Referral of Safeguarding Concerns procedure. These policies and procedures are in place to ensure the Council meets its safeguarding responsibilities in relation to the protection of children, young people and adults at risk by ensuring that recruiting managers comply with pre-employment DBS and reference checks and once in post, employees are supervised in terms of their practice with people considered to be ‘at risk’. The Council will also have a responsibility to comply with the Wales Safeguarding procedures when they are launched in November 2019.</p> <p>The Provider Performance Protocol provides a framework for escalating concerns about safeguarding issues and the impact on vulnerable people arising within care homes and other relevant commissioned services.</p> <p>Should these procedures not be followed there could a risk of injury or harm to individuals. Injury or harm could also lead to financial loss to the council in terms of compensation claims and reputational damage to the council, leading to a loss of public confidence in key services. The likelihood of this risk occurring increases if policies and procedures are not frequently reviewed and updated, or if compliance with these policies is not fully implemented across the council. Therefore, the overarching risk is that corporate safeguarding procedures may not be sufficient, followed, or are ineffective.</p> <p>Of huge concern is the impact that the pandemic will have on children and young people at risk of abuse and or child sexual exploitation. During the pandemic, children may be at a higher risk as traditional face to face contacts with statutory services such as teachers, health care professionals, which help mitigate and respond to any emerging risks have been reduced. Although, services have adapted their processes to operate digitally, it does not replace the benefit of regular face to face contact when it comes to safeguarding matters. The pandemic has heightened our awareness of the ‘Duty to Report’ and we have undertaken a Facebook campaign to enhance the public’s awareness of Social Services and the ‘101 telephone number’ to report any concerns about the safety/welfare of children, young people and adults. The concern is that the impact of COVID-19 and the associated restrictions will contribute to a surge in demand for our children and young people services.</p>
1.2 Risk Owner	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	<p>The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse. Other organisations are unable to meet their responsibilities for responding effectively to situations where people are at risk of neglect or abuse.</p> <p>Political and legislative repercussions of failing to meet the requirements of key legislation and the Wales Safeguarding procedures which could lead to litigation and/or political instability.</p> <p>Inability to implement safeguarding requirements of the Social Services and Well-being (Wales) Act 2014.</p> <p>Our Corporate Safeguarding procedures are insufficient, not followed or are ineffective.</p> <p>Risk of judicial review as a result of insufficient capacity in care settings to deliver services that effectively meet the identified care and support needs of service users.</p>
Resources	Yes	<p>Recruiting managers are not sufficiently trained to apply the relevant safeguarding procedures resulting in these procedures being breached.</p> <p>Inability to provide levels of training for staff or independent sector to ensure quality of care for citizens provided by Council.</p> <p>Failure to safeguard vulnerable groups as a result of recruiting unsuitable staff.</p> <p>Impact of workforce capacity to safeguard adults and children and young people, as a result of recruitment and retention difficulties.</p> <p>Failure to have suitable information sharing mechanisms in place to ensure safeguarding concerns are reported to the right people at the right time.</p>

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> Established a corporate-wide policy on safeguarding covering all council services that provides a clear strategic direction and clear lines of accountability across the council. Six monthly reporting to Cabinet of application of the safer recruitment policy and corporate safeguarding arrangements. The Corporate Safeguarding Group (CSG) meet quarterly and they have developed a work plan to help monitor the implementation of the Corporate Safeguarding Policy. Regular compliance monitoring received by group. A designated safeguarding page has been designed which will hold all the details of the CSG policy, personnel with links to relevant policy/procedures and other guidance to support safeguarding practice and awareness. On-going regular CSG meetings taking place which a review of the action plan. A smaller task and finish group has been developed to concentrate on specific actions within directorates across the local authority. Progress on the action plan and the CSG remit is reported annually to each cabinet and scrutiny committee. Child Practice Review and Adult Practice Review Sub-groups are well established. On an ongoing basis, thematic learning from these and associated reviews are collated and presented to the Safeguarding Board to inform the work programme of the Safeguarding Board sub-groups. SRS- Audit recommendations have been mainstreamed into the core business of the SRS Management Board. Evidence of progress against the recommendations is presented to the Joint Committee through the quarterly update reports. 			
Resources	<ul style="list-style-type: none"> Safer Recruitment Policy is in place to ensure safeguarding checks are carried out on staff working with the public and vulnerable people. All schools in the Vale 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>of Glamorgan have also adopted the policy.</p> <ul style="list-style-type: none"> • 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 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. 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> 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. The iDev mandatory module for Safeguarding was rolled out to all Vale of Glamorgan employees in November 2017. Data linked to CSE is collated on a monthly basis and is reported through annual reporting. The Regional Safeguarding Children's Board has recently piloted a 'deep dive' case audit using the CEF tool and findings from this audit will be considered and how to implement within the local authority. Recommendations from this audit have been presented to the Business Planning Group of the Regional Safeguarding Board. The new Wales Safeguarding Procedures were launched in November 2019, led by Cardiff & Vale Safeguarding Board with the chair of the Project Board being the Director of Social Services from the Vale of Glamorgan. These national procedures will be formally adopted and then implemented by regional safeguarding boards by March 2020. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> 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 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> • A Child Sexual Exploitation Strategy has been developed and a Sexual Exploitation Risk Assessment Framework referral process is in place. • Information sharing protocols are in place and used appropriately. • Ongoing implementation of the actions arising from Operation Jasmine with a particular emphasis on bringing together policies and processes and reviewing the escalating Concerns Policy. • The application of the Safer Recruitment policy continues to be promoted within Service areas and is monitored on an ongoing basis, with reports to Cabinet and the relevant Scrutiny Committee on a six-monthly basis. All Schools are compliant with the Safer Recruitment Policy. The process is now fully established and operational but will be subject to continual monitoring and review to ensure full compliance remains showing our commitment to the protection, welfare and safeguarding of children and adults at risk. • Developed a mechanism to utilise learning associated with safeguarding. • CPR/APR/DHR learning is regularly disseminated, mechanisms for sharing within various platforms to be explored. • Good compliance with Safeguarding training. • Staff are following the Wales Safeguarding Procedures and using the App and other resources to inform their practice. Levels 1,2 and 3 training is available to our workforce. • The Wales Safeguarding Procedures are fully embedded within all setting within L&S and schools and staff activity is monitored to ensure compliance by DSP's and safeguarding leads. • CPR/APR/DHR learning is regularly disseminated, mechanisms for sharing within various platforms to be explored. 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> Regional Exploitation Strategy has been ratified by the Regional Safeguarding Boards. As part of 21st Century Schools Investment Programme, safeguarding is a regular agenda item at design team meetings. Policies for schools visits and safer recruitment in schools are supported via iDev that has been rolled out to all schools. 			
Reputation	<ul style="list-style-type: none"> 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. 	2	2	4
Overall Effectiveness of Controls		2	2	4

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SR/RMS001 (RMS/A016) SR/AS001 (AS/A018)	<p>Implement and put into practice the Wales Safeguarding procedures to ensure a consistent and coherent approach to embedding the procedures across the region.</p> <p>Support the roll out of the Wales Safeguarding procedures to ensure the workforce are fully trained in adhering to the procedures in keeping our citizens safe. (includes Adult Practice Reviews).</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
										SC	March 2022		
ACTION UPDATE:	<p>Operational practice, along with strategic planning takes account of Wales Safeguarding Procedures and is embedded across Social Services. All Adult Services staff have access to the All Wales Safeguarding Mobile App and are encouraged to use and discuss its use and application in supervision and team meetings. All staff have undertaken training on the App and Adult Services are preparing for a further roll out of Adult Safeguarding Training to all case management staff during Q3 and 4 of 2021/22.</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SR/ALN001	Implement the Wales Safeguarding Procedures within all education settings and in-house and monitor and challenge compliance.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (Completed) Action completed and will be reflected as a control in the Register
ACTION UPDATE:	The Wales Safeguarding Procedures are fully embedded within all setting within L&S and schools and staff activity is monitored to ensure compliance by DSP's and safeguarding leads												
SR/RMS002 (RMS/A017	Implement the Social Services elements of the Safeguarding Work Plan and work with other directorates to co-ordinate their contribution to delivery of the plan.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Corporate Safeguarding Group (CSG) Workstream established and will undertake operational business of CSG and report into the strategic CSG group.												
SR/RMS003 (RMS/A018)	Support implementation of the Regional Safeguarding Board Priorities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Continued representation across SSD within the regional safeguarding board to support the work of the board and implement/develop regional board work priorities.												
SR/HR001 (HR/A009)	Support the Corporate Safeguarding Group to monitor and challenge compliance with the Council's Safeguarding Policy in line with our responsibilities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TD	March 2022	GREEN (On Track)
ACTION UPDATE:	Information on safer recruitment is provided on a weekly basis to ensure that actives are monitored and any non-compliance is addressed immediately. Information is also provided to cabinet and scrutiny which is currently being prepared for Q4.												
SR/SRS001	Support the three Councils to meet the Wales Audit Office recommendations placed upon them in respect of safeguarding.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	GREEN (Completed) Action completed and will be reflected as a control in the Register
ACTION UPDATE:	These recommendations have now been mainstreamed into the core business of the SRS Management Board. Evidence of progress against the recommendations is presented to the Joint Committee through the quarterly update reports.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SR/SRS002	Undertake a series of activities to safeguard the vulnerable to ensure that children are protected from harmful substances and products, older people are protected from rogue traders and scams and vulnerable people are not subject to exploitation, slavery and trafficking.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	GREEN (On Track)
ACTION UPDATE:	During Qtr 3 the service received 20 Intelligence reports regarding underage sales which resulted in 15 interventions being carried out where the businesses concerned received advice relating to underage sales and warned about future conduct. Furthermore 2 intelligence led underage sales operations were conducted where 13 retail premises (5 in Cardiff and 8 in Vale) were visited with an underage volunteer who attempted to test purchase age restricted products including alcohol, tobacco and e-cigarettes. 2 premises sold alcohol to the under-age volunteer and the investigation into these offences are ongoing.												
SR/SP001 & SR/SL001 SR/HS001 (HS/A014) SR/LS001 SR/PB001 SR/SRS001 (SRS/A006) SR/SP001	Contribute to the implementation and delivery of the Corporate Safeguarding Work Plan.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SR/RP001 (RP/A029) SR/FIT001 (FS/A014)													
ACTION UPDATE:	The Head of Services/OMs are members of the Corporate Safeguarding Group and attend regularly to contribute to the implementation of relevant actions contained in the Corporate Safeguarding Work Plan. Heads of Service/OMs ensure compliance with undertaking mandatory training via iDev. Continue to liaise with contractors and safeguarding is discussed as part of the monthly progress meetings. All Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV) and wider safeguarding training in place. Housing staff participating in Corporate Safeguarding workplan groups. Corporate Safeguarding midyear report presented to Homes and Safe Scrutiny Committee.												
SR/SL001	Continue to work in partnership to maintain rigorous safeguarding protocols as part of the 21 st Century School Investment programme governance scheme and monitor compliance.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	TB	March 2022	GREEN (On Track)
ACTION UPDATE:	Continue to liaise with contractors and safeguarding is discussed as part of the monthly progress 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			
SR/FIT001	Implement the Corporate Safeguarding Work Plan with a focus on the Safer Recruitment Policy and ensuring that all frontline staff have up to date safeguarding training.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL	March 2022	GREEN (On track)
ACTION UPDATE:	The service contributes to this work as required via inclusion in various working groups and supporting individual service as required.												
HS/A014	Implement the Corporate Safeguarding Work Plan and ensure all staff complete the relevant safeguarding training.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On track)
ACTION UPDATE:	All VAWDASV and wider safeguarding training in place. Housing staff participating in Corporate Safeguarding workplan groups. Corporate Safeguarding midyear report presented to Homes and Safe Scrutiny Committee.												

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	<p>Adult Services are becoming increasingly integrated with health services in order to provide service users and patients with seamless care arrangements. There is also an emphasis as part of the Social Services Wellbeing Act to focus on looking at integrated ways of working through collaboration. The recommendations arising from the recent Parliamentary Review of Health and Social Care has further cemented the need for further developing our approach to integrating health and social care services. The Parliamentary review identified that the focus needs to be on ‘empowering individuals to take decisions, tailoring care to the individual’s expressed needs, whilst being more proactive and preventative. The review also emphasised the need for care provision to be ‘seamless’, of high quality and as close to home as possible.</p> <p>Existing HR and IT arrangements may need to be reviewed as organisations work more closely together. The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&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. We also work in an integrated way with Swansea Bay Health Board to provide wholistic Learning Disability Services. The focus continues to be on accessing funding similar to the former Integrated Care Fund and Transformation Fund in order to further expand and develop our integrated service models.</p> <p>Although, significant strides have been made by the Vale of Glamorgan in relation to integrated health and social care services, there continue to be risks and challenges associated with its delivery. For example, developing a more integrated approach to service provision is likely to propose further challenges with technology, information sharing, staffing structures and governance re policies and financial management. Financial scrutiny will be required to ensure that any risks associated with mandated pooled funding are properly considered. There are also risks associated with the overall sustainability of these new ways of working, given that a significant amount of investment in new ways of working is via Grant funding and therefore short term and finite.</p> <p>These challenges and associated risks have been compounded by the COVID-19 pandemic and the capacity pressures associated with rising levels of demand for our service. Despite this, there has been some opportunities where change has accelerated our approach to how we develop seamless and integrated service provision. Managing increasing customer expectations alongside more complex presentations, when accessing health and social care, at a time when there continues to be high demand for our services will continue to be an ongoing challenge as we manoeuvre our way through the uncertainty and seek to change how we deliver sustainable services in the future.</p>
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	<p>Concerns regarding the workforce capacity of all partners to further develop the integration of 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 and other unintended consequences of the restrictions such as increased loneliness, reduced wellbeing and delayed access to treatment/services.</p> <p>Failure to put in place effective governance structures to ensure accountability and transparency in decision making which could have a detrimental impact on the ability to integrate health and social care services.</p>
Resources	Yes	<p>Failure to effectively project plan, manage and communicate changes to models of service delivery resulting in delays and/or compromising the quality and delivery of integrated health and social care services.</p> <p>Inability of staff to work effectively across organisational boundaries to deliver the integrated health and social care programme, as a result of capacity of key team members whilst managing operational issues, and lack of experience in managing projects. Collaboration by partners could become increasingly more challenging in light of COVID-19, as we along with our partner organisation seek to focus our resources on our recovery from the pandemic, if we work in silos this may compromise identification of opportunities to deliver services differently and not effectively use resources in a collaborative way. Council staff are supported to effectively work from home and we move towards a hybrid model now that restrictions are lifting, however, our key strategic partners do not have the same opportunity. This furthers the potential for silo working and undermines the partnership/integration if the access to effective IT/digital solutions is not equitable especially within integrated teams/services.</p> <p>Failure of partners to implement the statutorily required integrated IT information system that is accessible to staff across the health and social care organisational boundaries.</p> <p>Failure to agree further pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Ineffective scrutiny of the utilisation and expenditure of properly pooled budgets.</p> <p>The volatility of grant funding streams impacts on our ability to develop, commission and sustain integrated health and social 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 has been further compounded in the advent of COVID, as it became necessary to redeploy staff to support COVID related work some of which continue to be redeployed within our integrated teams, affecting service development plans and delivery of agreed project outcomes.</p> <p>Capacity to deliver fully integrated service models with existing assets and infrastructure and in line with the University Health Board's 'Shaping our Future Well-being' agenda that will see the development of Well-being Hubs/Health Centres. This is applicable in the context of COVID, when our resources and those of our health partners have been diverted to the frontline. This could potentially impact on our capacity to progress transformation projects including service developments such as implementing the 'Shaping our Future Well-being' Agenda particularly in relation to timelines.</p> <p>Rising demand on our services limiting our capacity and resources to progress the 'integration' agenda and develop and operate services that are seamless, sustainable and resilient to demand.</p> <p>Inability to transform our services and seize opportunities to explore and develop new ways of working to develop services that are fit for the future.</p>
Service Delivery and Wellbeing	Yes	<p>Failure to maintain business continuity and strengthen service resilience as a result of changes made to service delivery models during the transitional period.</p> <p>Risk that developing and implementing new models of service delivery could have a detrimental impact on any group with protected characteristics.</p> <p>Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services.</p> <p>Disproportionate funding split in relation to partners spending/commissioning of care arrangements impacting on the ability to deliver integrated health and social care services that meet the diverse needs of the community.</p> <p>Poor communication with staff and service users regarding changes to how services will be delivered could impact on the quality and consistency of service delivery and on the awareness/take up of services.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		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	<ul style="list-style-type: none"> 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 	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>resources for the Integrated Care Fund (ICF) and Transformation Fund.</p> <ul style="list-style-type: none"> Senior managers are linked into the Dementia Action Groups as appropriate. Head of Adults Services attends the Welsh Government Steering Group - Dementia Oversight and Implementation Group on behalf of all Heads of Adults Services across Wales and more recently co-opted onto the Learning Disability Ministerial Advisory Group. 			
Resources	<ul style="list-style-type: none"> 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 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. Progression of the '@home' locality programme has reinvigorated the plans to develop a Vale Alliance, and within it to progress the Access Workstream to improve our front door services under the name 'Wellbeing Matters Service' which is an enhanced Single Point of Access for all referrers and the public. We have reopened Ty Jenner following closure due to the pandemic, so health and social care staff are now co-located. Currently our District Nursing teams are not located in the building due to the restraints on numbers in Council premises to observe social distancing. We have invested in the Locality structure and explored the development of a Vale Alliance to strengthen integration and to provide capacity and strategic leadership. We monitor implementation of the 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. 	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> • Work on Exit Strategies from short term funding is ongoing to ensure we are able to effectively plan for the future. • Joint Commissioning Strategy for Adults with learning Disabilities continues to be the focus of all developments with Learning Disability services. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> • 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 through the development of the Wellbeing Matters Service. • Effectively use funding including the Integrated Care Fund and Transformation Fund to explore new models/ways of working to further enhance integrated service delivery. • Built further upon the successful Outcome Focused Case Management project called 'Your Choice'. The pandemic has accelerated the implementation of this project, through the development of contingency plans as our plans for responding to the pandemic and the likelihood of our workforce (internal and externally commissioned) being adversely affected due to the number of COVID related cases initially and then the domiciliary care crisis in terms of recruitment and retention difficulties. • All Community Mental Health Teams are based at Barry Hospital to form the Integrated Mental Health team. • Joint Commissioning Strategy for Adults with learning Disabilities continues to be the focus of all developments with Learning Disability services. 	2	2	4
Reputation	<ul style="list-style-type: none"> • 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

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
IHSR/AS001 (AS/A011)	Recommence engagement plan in relation to 'Wellbeing Matters' project and develop implementation plan dependent on outcomes.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>The Wellbeing Matters steering group is focussed on two further developments:</p> <ul style="list-style-type: none"> Falls Service - In conjunction with Telecare, VCRS and Daytime Triage a model of identifying and supporting people who have fallen or are at risk of falling is being developed. A Rapid Response service is being developed to respond to Telecare customers who have fallen, thus avoiding reliance on Ambulance Services and minimising unnecessary hospital admissions while at the same time linking them into preventative and rehabilitative falls services. Compassionate Communities - Taking inspiration from the Somerset Model of Compassionate Communities, while building on the existing networks of local community support across the Vale and in response to the fragile nature of the domiciliary care sector, the @ Home Accelerated Cluster models exploring the potential benefit of actively supporting the creation of micro-enterprises to support the care and support needs of local communities. 												
IHSR/AS002 (AS/A013)	Evidence the effectiveness of projects delivered through the provision of short-term grant funding - previously Integrated Care Fund (ICF) and Transformation funding and determine future options for sustainability of funding for those deemed	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	effective, and identify the risks associated with ceasing these projects.												
ACTION UPDATE:	Officers continue to engage in the evaluation of the ICF and Transformation Grant funding schemes, conducted by an external organisation to inform WG decision making re future funding alternatives. The Division has identified the financial and service risks if funding is removed. The DMT have included this risk in the cost pressures submission for the directorate and remains concerned should replacement funding not be identified. Working with the Health and Social Care Partnership, we have prepared for the development of new business cases in anticipation of future funding and how we wish to operate and deliver services as articulated under the current '@home locality model.												
IHSR/AS003 (AS/A010)	Progress the work of the Alliance Model through the new grant funding model (currently awaiting sign off)	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	This has gained approval in principle to work up an implementation plan, we are currently working with legal representatives to consider possible mechanisms for setting up such models for future operating. Before sharing more widely, we are seeking to discuss with WG officials to test out the high-level proposal. It is planned that a proposal will be completed and ready to present to Cabinet and the Cardiff and Vale UHB Board early in Qtr. 4. Resources to support the project management have been identified and are in post.												
IHSR/AS004 (AS/A014)	Develop new models of joint working with the Health Board with a particular focus on sustainable integrated services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	As per Qtr. 1 No further plans to integrate services, but to enhance what we already have in place. We continue to celebrate our integrated services and build upon the models. The evolving Wellbeing Matters Service is a great example of where we are developing the model following successful												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	foundation of the Single Point of Access, by adding additional services to the offer and ensuring we maximise the skills and resources available, minimising duplication for our workforce and reducing the number of hand offs experienced by a citizen. The development of the Vale Alliance seeks to further embed the integrated models that are well established in this area.												
IHSR/AS005 (AS/A012)	Implement actions arising from Vale Community Resource Service review.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	The nursing model is also linked with the Wellbeing Matters Service, nurses were recruited but then redeployed so we have been unable to further the model as planned. The review has been concluded and written up. A business case has been presented as part of the cost pressures exercise to request permanent appointment to the leadership structure. Lots of progress has been made regarding the development of the Falls Service and consideration of the enhancement to a Rapid Response Service complementing our VCRS and Telecare services and supporting our WASAT colleagues. As per AS/011 there remains uncertainty regarding the future funding models to replace the grant funding that will cease in March 2022. This has hindered some ability to forward plan.												
IHSR/AS006 (AS/A015)	Create a sustainable and integrated model for single point of access to Well-being Matters services (via the Contact Centre).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	The Wellbeing Matters steering group is focussed on two further developments: <ul style="list-style-type: none"> Falls Service - In conjunction with Telecare, VCRS and Daytime Triage a model of identifying and supporting people who have fallen or are at risk of falling is being developed. A Rapid Response service is being developed to respond to Telecare customers who have fallen, thus avoiding reliance on Ambulance Services and minimising unnecessary hospital admissions while at the same time linking them into preventative and rehabilitative falls 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			
	<ul style="list-style-type: none"> Compassionate Communities - Taking inspiration from the Somerset Model of Compassionate Communities, while building on the existing networks of local community support across the Vale and in response to the fragile nature of the domiciliary care sector, the Wellbeing Matters Steering Group is exploring the potential benefit of actively supporting the creation of micro-enterprises to support the care and support needs of local communities. <p>The nursing model is also linked with the Wellbeing Matters Service, nurses were recruited but then redeployed so we have been unable to further the model as planned. The review has been concluded and written up. A business case has been presented as part of the cost pressures exercise to request permanent appointment to the leadership structure. Lots of progress has been made regarding the development of the Falls Service and consideration of the enhancement to a Rapid Response Service complementing our VCRS and Telecare services and supporting our WASAT colleagues. As per AS/011 there remains uncertainty regarding the future funding models to replace the grant funding that will cease in March 2022. This has hindered some ability to forward plan.</p>												
IHSR/AS007 (links to AS/A016)	Explore alternative care and support commissioning and delivery models to enable us to safely support discharges from hospital.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	Qtr 3 has been particularly challenging as a consequence of the lack of capacity in domiciliary care, this is well reported in the public and press. We have continued to work collaboratively across the health and social care system to try to facilitate timely and safe discharges, meanwhile also balancing the needs of people in their own homes and reducing the need for them to be admitted to hospital. This has been particularly difficult in the qtr, with high demand and expectations and limited resources to commission. One example of developing new models of care include isolation beds at Ty Dyfan to assist with safe hospital discharges.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/RMS001 (RMS/A010)	Review the Regional Commissioning Work Plan to support the Healthier Wales agenda.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Regional Commissioning Board meeting on monthly basis. Current work includes Market Stability Report, Market Sustainability Report and contribution to Population Needs Assessment.												
IHSR/RMS002 (RMS/A013)	Implement the regional care home contract in consultation with partners.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Contracts with Legal for signature under seal. Information collated as to those providers who have yet to sign.												
IHSR/RMS003 (RMS/A012)	Review and roll out of the 'Your Choice' model in co-ordination with other operational services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Work on blended rates has continued, with 3 agencies coming on to the scheme, with a further 2 agencies in the process of offering "Your Choice". Further implementation is somewhat hampered by the current staffing situation in the sector.												

Return to Risk Summary Report

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

	budgets. This has continued to be an ongoing risk that has been further compounded by the COVID-19 pandemic. Unlike other areas within Social Services, there a greater likelihood of us defaulting on our statutory responsibilities in relation to DoLs. This has continued to be a concern during the Pandemic as health and social care resources needed to be reprioritised and redirected to the frontline to deal with COVID-related issues.					
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
<i>Political & Legislative</i>	Yes	<p>Risk of legal challenge as a result of a failure to adhere to the Deprivation of Liberty Safeguards for relevant care home residents or for those living in their own homes (where authorisation from the Court of Protection has not been sought) and for young people lacking capacity.</p> <p>Political repercussions as a consequence of failing to adhere to the Deprivation of Liberty Safeguards.</p>
<i>Resources</i>	Yes	<p>Inability and capacity of key partners to effectively work together to safeguard adults who are at risk of deprivation of liberty. This is particularly pertinent in the context of COVID-19, when the much of our workforce and resources as well as those of our health colleagues have been reprioritised and redirected to address COVID issues.</p> <p>Financial repercussions as a result of court proceedings where there has been a failure to safeguard clients and there has been an unauthorised deprivation of liberty.</p> <p>Lack of suitably qualified staff to undertake best interest assessments within designated timescales.</p> <p>Increased demand for best interest assessments as a result of changes in law impacting on staff capacity and putting pressure on budget thresholds.</p>
<i>Service Delivery and Wellbeing</i>	Yes	<p>Failure to undertake assessments resulting in unauthorised deprivation of liberty that could have detrimental impact on the health and wellbeing of the individual. This is applicable in the</p>

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

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

Overall Inherent Risk Score	3 (Probable)	3 (High)	9 (Medium/High)
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2.2 Controlling Inherent Risk

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Service Delivery & Well-being	<p>Ongoing prioritisation of cases based on levels of risk and deprivation assisted by an effective case management system.</p> <p>The CMHT for Older People has relocated from Ty Jenner to Llanfair Unit at Llandough Hospital.</p> <p>Advocacy Gateway provider has been identified through market analysis with plan to go live with Gateway in June 2018. Existing providers are to continue to provide advocacy and Independent Professional Advocacy as accessed through the Gateway.</p> <p>Gateway provider will monitor demand for advocacy and Independent Advocacy to inform future commissioning intentions. This work will lead to the Cost-effective commissioning of advocacy Services that meets the needs of service users.</p> <p>Established a robust monthly monitoring mechanism to provide effective monitoring of DoLS across the partnership with quarterly reporting via the Deprivation of Liberty Safeguarding Partnership Board.</p>	1	2	2
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	3	3	9	1	2	2	3	2	6	↔	↔
Reputation	3	3	9	1	2	2	3	2	6	↔	↔
Average risk score/ direction of travel	3	3	9	1	2	2	3	2	6 (Medium)	↔	↔

3. Risk Management Plan – Mitigating Actions

		Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DOLR/RM S001	Review current service requirements to assess readiness for legislative changes associated with implementation of the Liberty Protection Safeguards (LPS).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	Red (Slipped)
ACTION UPDATE:	Work remains ongoing. The implementation date of LPS has been delayed from Central and Welsh Government. The draft codes of practice are yet to be received and reviewed. Mapping and scoping work continues via the LPS implementation group.												
DOLR/RM S002	In partnership with legal services, progress DoLS community applications to ensure the least restrictive practice is utilised and assessments proportionate	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	Red (Slipped)
ACTION UPDATE	Mapping work continues in relation to community DoLS to align with LPS operational requirements when implementation date is known.												
DOLR/AS0 01	Progress DoLS community applications to ensure the least restrictive practice is utilised and assessments proportionate.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	Red (Slipped)

3. Risk Management Plan – Mitigating Actions

		Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	<p>No further update to Q2. In preparation for the impending implementation of the Liberty Protection Safeguards, all team managers are encouraged to raise awareness within their teams of the 'acid test' for deprivation of liberty to ensure all people living in domestic setting but are deprived of their liberty have the opportunity for their situation to be assessed to ensure that their care arrangement is in their best interests. This has enabled the teams to identify individual Care and Support Plans that require the authorisation for the Court of Protection. The team is currently working with legal in preparation of Court for a small number of individuals. The Liberty Protection Safeguards draft code of practice has been delayed and the date of implementation is expected in Q1 2022-23.</p>												

Return to Risk Summary Report

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

	explore and implement. The arrival of COVID-19 will to of some extent delayed progress in developing the new financial module and the system's functionality. But once the Council's emphasis shifts towards recovery, we will have capacity to resume and progress its development.					
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
<i>Political & Legislative</i>	Yes	<p>Political and legislative repercussions of failing to fully implement WCCIS across the Directorate fully within required timescales. Delays in developing key aspects of the system as a consequence of COVID-19 are likely to add to the likelihood of this aspect of risk.</p> <p>Failure to put effective information security safeguards in place resulting in personal/sensitive and confidential information being leaked/revealed in the public domain could cause political instability and loss of credibility.</p> <p>Failure of other regional partners to implement the system, thus not maximising the benefits of the systems particularly in relation to integrated teams.</p>
<i>Resources</i>	Yes	<p>Failure to fully maximise and mobilise our existing resources to ensure full implementation/development of WCCIS across the Directorate. Delays in developing key aspects of the system as a consequence of COVID-19 are likely to add to the likelihood of this aspect of risk.</p> <p>Increased risk of data protection breaches following transition to new WCCIS system due to the large volume of users and the financial impact of these breaches.</p> <p>Limited skill resilience to extract and report relevant data from the system.</p>
<i>Service Delivery and Wellbeing</i>	Yes	<p>Failure to fully develop WCCIS and its potential could impact the ability of service users to access services readily. Delays in developing key aspects of the system as a consequence of COVID-19 are likely to add to the likelihood of this aspect of risk.</p>

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

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> Regular reporting of progress/updates via Insight, CMT and Cabinet. 			
Resources	<ul style="list-style-type: none"> WCCIS system is now fully embedded across all of Social Services. Identified Super users for the system maintain links with the national and regional team. Successfully trained all staff on using WCCIS now that it is operational. Training has been delivered on performance reporting and officers continue to access support from other local authorities to develop their expertise on the system. Performance staff have been trained in SQL to build performance related reports. Performance staff liaise with other WCCIS sites (local authorities) to access additional support and to gain greater understanding of how to build reports and access data. Senior Systems Support Officer is responsible for progressing WCCIS project delivery. Welsh Government Performance Measurement Framework guidance is designed to be referenced by Local Authorities when undertaking or commissioning work on both the "Understanding Experiences and Outcomes" element and the "Using Evidence to Inform Improvement" element of the Performance and Improvement Framework. 	1	2	2
Service Delivery & Well-being	<ul style="list-style-type: none"> 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. 	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> Representatives Attend Regional and National Operational Meetings to identify and discuss any operational issues with the system and impact on service delivery. Fortnightly operational meetings post-implementation to identify and address system-based issues as they arise. Such as changes to social work practice and including the development of new forms etc. Established a 'clinic' for users to attend to discuss their forms and requirements. Dashboards within WCCIS have been developed to enable staff to manage their own data have been completed. A WCCIS Wizards Group for Superusers is well established to help practitioners with the development of the system. WCCIS Operational Group is well established that enables the identification and resolution of areas of concern. Financial assessments are also undertaken virtually. 			
Reputation	<ul style="list-style-type: none"> Effectively managed expectations and raised awareness with our Regulator (Care Inspectorate Wales) and Welsh Government regarding any limitations associated with reporting. We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so. Performance staff are being trained and continue to learn and develop their expertise in building reports in order to access data and prepare reports using SQL databases. Linked with other WCCIS sites to share knowledge and skills. Work regarding the implementation of the Finance Module will be restarted when the Covid 9 response has dissipated. 	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	4	3	12	1	2	2	4	2	8		
Resources	4	3	12	1	2	2	4	2	8		
Service Delivery & Well-being	4	3	12	1	2	2	4	2	8		
Reputation	3	3	9	1	2	2	3	2	6		
Average risk score/ direction of travel	4	3	12	1	2	2	4	2	8 (Medium/High)		

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WCSR/RMS 001 (RMS/A004)	Explore the use of technology to support payment for certain services. (e.g. WCCIS Financial Module development)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	AP	March 2022	RED (Slipped)
ACTION UPDATE:	Agreement has been given that this action will not be completed until next financial year due to the performance issues of WCCIS following the upgrade.												
WCSR/RMS 002	Contribute to WCCIS development via the NWIS Board and support the development of a reporting mechanism for system issues.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Continue to attend all relevant WCCIS development workstreams and Boards. Contributing to an evaluation of the system and benefits realisation with IPC and National Board.												

Appendix 14 Corporate Risk 14: Brexit

Return to Risk Summary Report

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

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

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

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

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
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	<ul style="list-style-type: none"> Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. Director of Environment and Housing is a representative for the Council on local resilience form to make connections between council and other key regional partners. Developed strong links with the WLGA to access specialist advice, information and briefings. Established a mechanism regionally for reporting and collating information/issues relating to Brexit. Any information is fed into and collated by South Wales Police, which is then forwarded to the Welsh Government's Emergency Control Centre. Data flows exercise to map and identify any potential IT systems/databases where data is held by Third parties outside of the UK. To date no significant areas of concern have been identified. 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Resources	<ul style="list-style-type: none"> • 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 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 managers across all service areas to help them to support potential employees who may need to apply for settled status Worked with our local Trade Unions, we have provided the ability for staff to access advice and support from HR to support them to apply for settled status. • 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. • Worked closely with managers to raise awareness of the EUSS scheme and for eligible employees to apply via the scheme by the deadline. Eligible employees have been directed to the government information on applying for EU settled status. 	2	1	2

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> Developed a Preparing for Brexit web page for the website to signpost our businesses to advice and information to the Business Wales website. Two pilot awareness raising webinars on the EUSS scheme were held with housing and homelessness services staff and external partners. Established an exploratory group that meets on a regular basis to explore potential food poverty projects in Llantwit Major. Worked with the Citizens Advice Bureau to provide training to front line staff in supporting residents to apply for settled status. Internal legal advice sought and appropriate training and guidance note issued to staff regarding rights to access housing service in light of legislative changes relating to Brexit. 			
Reputation	<ul style="list-style-type: none"> 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. EUSS scheme promoted both internally and externally. This was undertaken via Staffnet and the Council's social media accounts. 	1	1	1
Overall Effectiveness of Controls		2	1	2

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/FIT001 BXR/RP001 BXR/HS001 BXR/LS001 BXR/NS001 BXR/SRS001 BXR/SL001 BXR/PB001 (PB/A012)	Support the monitoring and reporting of the Brexit Impact Assessment Action Plan. <i>Contributes to SP Action: Work with our partners and engage our citizens to respond to the impact of Brexit to ensure our services and communities are effectively prepared for change.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CL/MG/M I/DM/DH/ T Baker T Bowring	March 2022	GREEN (On Track)
ACTION UPDATE:	The Council has continued to utilise its social media channels to share information and Brexit related developments, information and advice. The Council's Corporate Risk Register contains a corporate risk associated with Brexit and this has continued to be monitored during the quarter. The Council's SLT continues to review major risks/issues impacting the organisation in terms of labour, supply chain and financial implications on a regular basis. The impact of Brexit on the Capital programme and the availability of suppliers continues to be monitored. We also regularly review cost price inflation utilising cost consultants on high value contracts and tenders with any updates provided to inform the Corporate risk register. Work is ongoing with schools and suppliers to mitigate the impact of employment shortages and construction costs linked to Brexit. This includes mobilisation of staff, additional measures in risk assessments, and reprofiling spend when required.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/ALN001 BXR/SP001	Ensure that appropriate exit strategies are in place for ESF funded projects.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 20202	GREEN (On track)
ACTION UPDATE:	<p>The Youth Service Inspire programmes I2A and I2W will still end on Dec 31st 2022, this has been relayed in cabinet report, alongside internally within DMT and wider education teams.</p> <p>Discussions have started regionally as to the longer term funding possibly coming as part of the Shared Prosperity pot, as this states it is post16 employability the youth service is looking at what adaptations are needed to continue some form of pre-16 pre-NEET engagement work within schools supporting those more at risk of exclusion and becoming NEET in the future- this is ongoing – however with the changes on Welsh Government funding the post 16 world will depend heavily upon career Wales and their range of projects and programmes.</p>												
BXR/ALN002 (ALN/A011)	Work with partners and others including key businesses, to support employment and the development of skills for the future post Brexit, including the delivery of initiatives such as Kick Start.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>Regional work through the LA Cluster Employment and Skills group was successful in securing the largest CRF Grant in Wales (CELT) - notification of this was 4 months later than advertised. This CELT work has started in the Vale with over 50 Partnership organisations contacted and 10 people about to sign up to the programme. Regional workshops have also taken place to explore other key themes for development within a future SPF bid (SPF guidance is due in the next few months). Both of these developments will shape the vision and aid a SPF bid. The regions shared employability report has been shared with all 10 LAs Cabinets and accepted a principle to go forward. One idea put forward is for the CCR LAs to work on a Challenge Fund</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	bid to develop a single company model to bid for regional and national contracts, although this remains early in discussion with a purpose of securing LAs place in the employability market, the impact of the recent launch by Whitehall/DWP schemes continues to have a detrimental impact on referrals regionally to WG funded schemes like CfW. As a kick-start provider we are progressing well having seen 69 young people enter a placement.												
BXR/SP002 (SP/A009)	Work with partners and others including key businesses, to support employment and the development of skills for the future post Brexit, including the delivery of initiatives for young people such as Inspire to Work (I2W) and Inspire to Achieve (I2A).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	March 2022	GREEN (On Track)
ACTION UPDATE:	Further discussions continue regarding the shared prosperity fund which will be implemented in light of ESF ending. There are also plans for core Youth Service budget to be allocated to the NEETs agenda to address I2A related workstreams.												
BXR/PB002 (PB/A033)	Work with the PSB and partners to deliver a food poverty pilot in Llantwit Major and utilise lessons learnt from the pilot to further develop the model, so that it can be applied to other areas. <i>Milestone action: Work with the PSB and partners to deliver a food</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<i>poverty pilot in Llantwit Major. Utilise lessons learnt from pilot to further develop the model, so that it can be applied to other areas post transition.</i>												
ACTION UPDATE:	Phase 1 of the public engagement has ended with the public survey closing this quarter. The information from this survey will be analysed alongside the information gathered through phase 2. Phase 2 has commenced with interviews taking place between the project team and local experts and service providers to explore future opportunities and potential gaps. Phase 2 has also seen the launch of a Sense Maker public survey to gather more qualitative data to show peoples lived experiences of food access in Llantwit. The data will be analysed in quarter 4 and presented to the wider network to identify potential future actions and initiatives to help improve food access in the area.												
BXR/PB004	Work in collaboration with GVS to assess Community Organisation/Third Sector readiness/preparedness for Brexit to support the identification of high-risk organisations that have minimal resilience/mechanisms in place.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)
ACTION UPDATE:	The focus of this activity has been to undertake some initial desktop research to explore what toolkits are currently available in use across the sector and or any best practice approaches that would enable us to quantify and have a better understanding of Community Organisations/Third Sector's												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
response and readiness to the impact of Brexit post-transition. This piece of work will focus in particular on the challenges and risks facing Third Sector/Community Organisations and how collectively we can look at building resilience.													
BXR/PB005	Refresh the communications plan for the public and our staff on key Brexit developments post- transition.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)
ACTION UPDATE:	Further communications have been issued via the Council's social media channels during the quarter, however, this activity is reducing now following the registration deadline.												
BXR/RP002 (RP/A003)	Work with partners in the region to ensure that a consistent approach is adopted to engage with the business community to communicate Business Wales, UK Government and Welsh Government advice around Brexit.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
ACTION UPDATE:	Regular meetings are continuing with colleagues across Wales in Regeneration and Finance and the WLGA to discuss progress on existing and upcoming business support measures. WG Grant schemes are still being implemented if required in reaction to any new covid measures and restrictions. WG Emergency Business Fund launching in January 2022.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/RP003	Work with UK Government, Welsh Government and Cardiff Capital Region to support and promote inward investment projects.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
ACTION UPDATE:	The tendering process was completed for The Barry Growth Programme with consultants appointed and contacts commencing mid December 21. The consultants work will include a Barry Masterplan and Levelling Up Funding bid. Ongoing meetings are taking place with UK Government and the consultants will be carrying out a site visit in Barry in January 2022.												
BXR/RP004	Work with Welsh and UK Government on the scope and delivery of the Shared Prosperity Fund (UK Government replacement for EU funding) and lobby to ensure that the Vale of Glamorgan is no worse off in relation to funding.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
ACTION UPDATE:	White Paper due from Welsh Government by end of January 2022. Council expects opening of second round of Levelling Up in late Spring 2022. Preparatory work has already commenced through the appointment of consultants to lead on a future bid based around Barry.												
BXR/RP005	Work with Welsh and UK Government to try and secure a	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	replacement programme for Creative Rural Communities which focuses on the future needs of the rural communities including community led local development funding.												
ACTION UPDATE:	Details will emerge on the Shared Prosperity fund from UK Government in January 2022 but no current UK or Welsh Government funding has been identified. Instead, the focus for the final quarter of the year will be on sharing best practice around Community Led Local Development and highlighting the benefits of this approach to decision makers.												
BXR/HS002 (HS/A004)	Refine and enhance our Community Tensions Monitoring process for the Vale of Glamorgan to inform of potential community cohesion issues arising as a result of Brexit.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>The Community Cohesion Group took stock of group structure and form having met for a half year period. It was decided that a more meaningful meeting would mirror quarter ends so that data discussed could be reflective of quarters and the membership group has been increased to include a new member who is the chair of Cardiff Airport disability forum and has a range of experience in the areas of disability rights, social care and LGBTQ+. The format of the meeting will also be amended to shorten data presentations and increase contribution of members on voicing issues of cohesion and tensions within the communities they represent.</p> <p>The Community Cohesion post went to advert and a candidate interviewed however this did not result in successful recruitment, therefore the</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>position will be readvertised in the next Qtr.</p> <p>The team continues to remain vigilant to the impact of COVID on cohesion in the community especially given the prospect of future restrictions coming in after Christmas. No obvious signs of issues are evident in the Vale at present.</p> <p>The team continue to work closely with SWP hate crime Officer and other colleagues to monitor community tensions and respond to incidents of hate crime appropriately. Issues with obtaining data will be rectified for the next Qtr return to provide stats on hate crime figures across the Vale.</p>												
BXR/HS004 (HS/A032)	<p>Develop a “Local Pantry Scheme” to reduce food poverty and further develop an Education Centre and Plastic Bottle Green House at the Margaret Avenue garden project.</p> <p><i>Milestone action: Identify mechanisms to support those in the greatest of need/poverty to continue to be able to access food supplies (for example Food Banks).</i></p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>The Penarth Food Pod has recently been expanded via funding for an additional building on site and a member of staff had been recruited on a fixed term basis to organise volunteers and promote more engagement. The scheme is proving very popular and provides much needed assistance to residents.</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/LS002 (LS/A002)	<p>Provide support to officers in relation to the review of procurement practices and policies to ensure our procurement activities contribute to the national well-being goals and support work around climate change.</p> <p><i>Milestone action: Provide support to officers in relation to the review of procurement rules and embedding the approach to sustainable procurement in line with the Well-Being of Future Generations (Wales) Act 2015.</i></p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	GREEN (On Track)
ACTION UPDATE:	The support is available to officers if required and requested but no such request has been received from the service.												
BXR/NS002 (NS/A007)	Work with contractors (providers) to gain assurance for their readiness for the impact Brexit post transition.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	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:	No significant issues to report during the quarter.												

1 – Risk Overview

1.1 Risk Description

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

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

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

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

Core aims of the new ALN system

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

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

Some key aspects of the Act are outlined below:

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

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

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

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

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

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

Currently, a small group of young people from the Vale of Glamorgan with complex ALN access college placements on leaving statutory education. Currently these high cost placements are funded by Welsh Government. From 2022, Welsh Government will pass on the funding and responsibility for these placements to local authorities. This exposes the local authority to increased risk as the number of young people requesting college placements is likely to increase. The ALN Act places a much greater focus on working collaboratively, particularly in relation to health bodies. The Act also allows for greater involvement and participation amongst children and young people and gives parents/carers and young people the right to appeal against decisions made regarding their ALN and/or IDP. Local Authorities will also be required to provide access to independent advocacy services.

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

expectation will be difficult to achieve at a local level and a regional approach will be needed to ensure that this aspiration is deliverable and cost effective.

Alongside the challenges faced in implementing the new duties associated with the Act, the local authority is increasingly faced with growing demand for ALN provision, particularly in relation to three key areas. These relate to children and young people with complex autism, physical and medical difficulties and those experiencing social and emotional health difficulties. Developing sufficient provision to meet demand in these growth areas will present an ongoing challenge for the service.

The COVID-19 pandemic has significantly disrupted education and learning at all levels. It has seen our schools repurposed for a period of time to care for the children of key workers and the most vulnerable. It has also seen a departure from classroom teaching to home-based learning, where children have been enabled to continue with their learning remotely. Although this has been positive, this learning approach will not replace the learning time lost from school and there is the real danger that in the longer-term educational inequalities will emerge amongst our most vulnerable learners and in particular those with Additional Learning Needs. The hurdle going forward is how to best address the growing demand for ALN provision which is exacerbated by the emerging issues and inequalities as a result of COVID.

The disruption to education due to COVID has also had a significant impact on preparations for the implementation of reform from September 2020.

Access to school staff for training purposes has been limited and many working groups both locally and regionally were suspended. These groups are now operational but significant time has been lost which will impact negatively on the preparations for implementation of the reform in September 21.

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

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

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

1.3 Impact on our contribution to the Wellbeing Goals

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
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						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 <i>Additional Learning Needs and Education Tribunal Act 2018</i> could lead to litigation, fines and/or political instability.
Resources	Yes	<p>Extending the duty of care to a wider age range of children and young people (0-25), impacts on our workforce capacity and our ability to widen our service provision to bring in more specialist skills/support. The legislation will require a significant amount of additional provision to be created without sufficient additional financial resources.</p> <p>Insufficient knowledge and expertise in the workforce to fully meet the new requirements of the Additional Learning Needs Education Tribunal Act. This could have significant training and development implications for the local authority staff as well as school-based staff.</p> <p>Insufficient funding to deliver our additional duties under the Additional Learning Needs Educational Tribunal Act. The discharge of new responsibilities/duties under the Act could present a significant financial risk to the Council where there is already a growing need for ALN provision.</p> <p>Demographic changes are having a significant impact on our capacity to meet rising demand for our services. There are rising numbers of children and young people presenting with more complex needs which is affecting our ability to meet those needs in the current financial climate in line with the Act.</p> <p>Inability to undertake/progress preparatory work in readiness for the legislative changes due to serious disruption to education services resulting in widespread school closures and the diversion of resources in response to major business continuity issue e.g. pandemic.</p>
Service Delivery and Wellbeing	Yes	<p>There is a risk that the local authority will fail to meet its statutory duties in delivering the requirements of the Additional Learning Needs and Education Tribunal Act 2018.</p> <p>Inability to deliver a fully bilingual service as set out in the Act in terms of Additional Learning Needs, creating a lack of parity of</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>provision across the service and a failure to meet both the requirements of the legislation and the needs of our learners.</p> <p>Risk that this legislation could lead to a dilution in support services for those who have the most complex needs (i.e. those who previously had statements) especially if all learners will now require the same type of statutory plan. This could impact on the wellbeing of children and young people and their parents/carers if our services are unable to meet their basic needs.</p> <p>Lack of sufficient provision to meet the increasing numbers of children and young people across the three key growth areas of children and young people with complex autism, physical and medical difficulties and those experiencing social and emotional health difficulties. There is the concern that COVID-19 could further compound this risk, as a consequence of school closures there is an increased likelihood of a rise in social and emotional health needs of children and young people.</p> <p>There is a financial risk associated with providing ongoing bespoke transport solutions to a growing number of children and young people with complex needs in order to access education.</p>
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)
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2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> Current Controls 	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	<ul style="list-style-type: none"> Regular updates on ALN provision and progress against meeting the requirements of the Act presented to Scrutiny and Corporate Management Team. Work closely with the Consortium with regular progress updates and reports. The Transformational Project Board meetings are attended regularly, and monitoring of the plan is on target. Effective partnership with the Central South Consortium Joint Education Service, schools, children and their families to improve the outcomes of vulnerable learners and reduce inequalities in education. A significant amount of training has been undertaken on trauma informed approaches. 	2	1	2
Resources	<ul style="list-style-type: none"> Budget setting process includes considerations of cost pressures arising from ALN developments. A readiness survey has been completed. This has identified areas of staff development and training requirements that will form the basis of a training programme. A PCP audit has been undertaken and results have been analysed in clusters and regionally. Awareness raising training has been delivered to Headteachers, ALNCOS and Governors on the Act. IDP training has continued through ALNCO training. IDPs have been trialled and training has addressed the format, systems and procedures around IDPS. Regular half termly ALNCO training has continued to address the wider implementation needs of the Act and the new code. Strategic links have been developed with CAVC to develop an agreed 	1	1	1











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

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> Current Controls 	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> Partners have advocated for the educational needs of learners in the 7 different vulnerable groups. Proposals have now been through all stages of the consultation process for the development of an additional resource base at Whitmore High. All schools are trialling Individual Development Plans (IDP) and EY and LA IDPS. Person Centred Planning (PCP) and IDP reviews have been developed and new formats trialled. PCP training has continued to be run and offered. A PCP toolkit has been developed. Outreach services have worked regionally to consult on barriers to learning and provision to address these barriers. New policies on pupil well-being have been well received by schools and are going to Governing Bodies for adoption. Additional provision for school-based counselling has been commissioned via Barnardo's Cymru to provide additional capacity. A specialist counsellor has also been commissioned to deliver a counselling service to primary aged pupils. In response to increased need the capacity of the Engagement Service which works with schools to meet the SEMH needs of children and young people in the Vale has been increased. An additional specialist teacher has joined the team and plans are in place to employ clinical psychologist to add further expertise. The Motional assessment tool has been purchased for schools for 3 years 2021-2024. Motional is an online tool for identifying, assessing, and improving the emotional health and wellbeing of children and young people. It builds capacity within mainstream schools to respond 			

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> Current Controls 	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>quickly to mental distress as pupil assessments generate activity/intervention plans tailored to the emotional health profile of the individual.</p> <p>In order to build emotional resilience of staff and schools have been provided with the following:</p> <ul style="list-style-type: none"> 2 x 45 minutes 'Recovery from Trauma' webinar Dr Coral Harper for all staff working in schools Action for Happiness initiative across all schools including resources and training for staff self-care, Keys to Happier Living journal Increased provision of clinical supervision for education staff working as trauma informed practitioners Subscription to The Happy Newspaper for all staffrooms <p>In addition to the comprehensive Trauma and Mental Health Informed Schools training already commissioned and continuing 2019-22 additional training has been made available to schools as follows:</p> <ul style="list-style-type: none"> 'Supporting the Return to School' Trauma Informed Schools 3 hr training for all education staff Additional Senior Leaders Trauma Informed Schools 2-day course for all pastoral leads/heads of year in secondary schools Mental Health first Aid training available for all schools Therapeutic workshops, Play, music, OT understanding the functions of behaviour DDP Level 1 training – for all secondary schools <p>The following resources have also been made available to schools:</p> <ul style="list-style-type: none"> Action for Happiness Schools Toolkit – All primary schools and Year 7 pilot group 			

2.2 Controlling Inherent Risk				
Category	<ul style="list-style-type: none"> Current Controls 	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> Rainbow Pathway – Trauma informed PSE curriculum - all primary schools Comprehensive library of books and resources to support emotional wellbeing Additional Welsh language books and resources Resources to support co and self-regulation including drum kits, balance boards, exercise balls, stretchy bags/tunnels and bands, floor surfers, spinners The Centre for Learning and Wellbeing was established in September 2021, albeit on the current site of the PRU. Also, the autism resource base opened to pupils in September in the newly constructed Whitmore High School and is providing excellent provision for those attending. 			
Reputation	<ul style="list-style-type: none"> A communication strategy in relation to the ALN Act is being developed. 	1	1	1
Overall Effectiveness of Controls Score		2	1	2

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ALNR/SPO 01 (SP/002)	Work in partnership to ensure children and families of vulnerable groups receive the information they need to make informed decisions about their children’s education. (SP/002)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>There was further development of the Personal Education Plan, to align with the Individual Development Plan, leading to genuine inclusion of the adults that are involved with looked after children.</p> <p>The updated process ensures that there is meaningful engagement with looked after children, their families and other adults to receive and more importantly, understand the information they need to make informed decisions about their children’s education. The piloting of an online CLA IDP supports partnership working to make informed child centred decisions.</p> <p>Pupil Engagement Team now fully implemented to ensure pupils on EOTAS pathways have effective family engagement and guidance on pastoral support plans in all EOTAS settings is monitored effectively with meaningful engagement with parents. Pupil Engagement Team due to recommence EOTAS quality assurance in Spring 2022. PE Team members are also now members of SEMHP and the EOTAS Monitoring group which enables planning for EOTAS learner pathways and also ensures cases are monitored appropriately with key communication with parents prioritised.</p>												
ALNR/AL N001 (ALN/006)	Continue to develop early years ALN provision in line with the expectations of the ALNET (Wales) Act. (ALN/A006)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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 Early Years team continue to identify An in EY settings and work with settings to write IDPs and one-page profiles. The EYF has successfully run since September, further processes around Children Looked After pupils and pupils with complex needs are being identified to fit in with existing structures and ensure that pupils are entering school with their needs / barriers to learning being clearly identified on consistent and useful paperwork. Further EY training is being run to ensure all EY settings have accessed appropriate training and have access to the EY toolkit. Work on ONE is being developed to ensure that actions around pupil's needs are detailed for the future, and that the LA will be able to oversee the level of need through reports of data collected. Further work on SharePoint (for schools) and the website (for parents) is ongoing												
ALNR/AL N002 (ALN/A008)	Develop additional specialist resource base and special school places to meet current and projected need. (ALN/A008)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
ACTION UPDATE:	The SRB is developing into an excellent provision and highly positive feedback has been received from parents and pupils. Plans are now being developed to utilise the expertise of staff to support a new model of service delivery utilising the base as a hub to support mainstream provision. Plans for a pilot will be developed by the end of the Spring term.												
ALNR/SP0 02 (SP/006)	Develop a coherent strategy for the support, monitoring and delivery of EOTAS provision which ensures our most vulnerable learners and	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	EOTAS learners not in education settings are able to access a curriculum that meets their needs and allows them to progress at a rate appropriate with their age and ability. (SP/A006)												
ACTION UPDATE:	Pupil Engagement Team now fully implemented to ensure pupils on EOTAS pathways have effective family engagement and guidance on pastoral support plans in all EOTAS settings is monitored effectively with meaningful engagement with parents. Pupil Engagement (EOTAS) strategy was discussed with DMT and agreed. EOTAS quality assurance to recommence in Spring 2022 to ensure pupils are accessing high quality and appropriate EOTAS provision. All PSPs and IDPs for EOTAs learners have been monitored and evaluated for progress.												
ALNR/SPO 03 (SP/A008)	Work with the 21 st Century Schools’ team and other stakeholders to establish the Centre for Learning and Wellbeing that meets the increasing need to support children with identified social and emotional health needs. (SP/A008)	✓	✓	✓	✓	✓	✓	✓	✓	✓	MH	March 2022	AMBER Minor Slippage)
ACTION UPDATE:	This project is now due to be delivered by Spring or summer 2023. Some contamination has been found on site and as such the opening of the building might be delayed until August 2023. The present lease agreement allows for the current buildings to be utilised until 31/8/23.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ALNR/AL N003 (ALN/009)	In readiness for Additional Learning Need (ALN) reform, provide training to school staff to facilitate the roll out of person-centred planning and Individual Development Plans in a range of educational settings. (ALN/A009)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
ACTION UPDATE:	Training for ALNCOs continue around IDPs, processes and standardised paperwork, to ensure that all schools have a consistent approach. The newly appointed ALN officers are working closely with schools to give support with more complex pupils and answer questions or concerns. IDP champions are working within clusters to support IDP writing, supported by the ALN officers. A wider directorate IDP group has been meeting successfully to address wider issues and processes around pupils who may be in alternative provision/ out of mainstream school. Training will be offered to these providers.												
ALNR/AL N004 (ALN/010)	In readiness for ALN reform, collaborate with further education and training providers to develop and promote education and training opportunities for young people 16-25 with additional learning needs. (ALN/010)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
ACTION UPDATE:	Liaison meetings around post 16 action plan have been attended. A survey has been sent out to stakeholders around the transition protocol and plan, results will be collated. CAVAC forum continues to be held. More consistent contact with Bridgend college is being planned. IDP pathway for post 16 pupils is being discussed to ensure it will be in line with school IDP processes.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ALNR/AL N005 (ALN/001)	As part of preparatory work for implementing the ALNET Reform Act, provide advice and guidance for parents/ carers about the new way of working and what provision and support they can expect from schools, the LA and its partners. (ALN/A001) Milestone action: Improve the quality and availability of information to parents/carers, young people and all service users about additional learning needs provision.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
ACTION UPDATE:	Work on the LA website and school websites continue, to ensure that parents and carers can access up to date information. A new parental inbox for requests and enquiries has been set up and details shared with schools and partnership agencies. An informational video/ Q and A for parents and carers about IDPs has been developed through the Index and is being shared.												
ALNR/AL N006 (ALN/A003)	Develop a shared understanding between the Health Board and Las for identifying and supporting the needs of learners with ALN (ALN/A003).	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	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:	Meetings and liaison continue with Health to promote a joint understanding of what can be included in section 2c of the IDP. Health have attended one ALNCO session to detail and discuss their input, further sessions have been scheduled.												
ALNR/AL N007 (ALN/A00 5)	Develop and implement a regional approach to increase ALN provision available to Welsh medium schools to ensure sufficiency of provision. (ALN/005)	✓	✓	✓	✓	✓	✓	✓	✓	✓	DD	March 2022	AMBER (Minor Slippage)
ACTION UPDATE:	The review has been delayed due to the officer needing to prioritise work relating to wellbeing. The review will now begin in January 2022.												
ALNR/AL N008 (ALN/A00 2)	Develop the role of outreach services to further support the inclusion of children and young people with social, emotional and mental health difficulties in all educational settings, including working with the Health Board to develop a range of services to support learners with these additional needs. (ALN/A002)	✓	✓	✓	✓	✓	✓	✓	✓	✓	DD	March 2022	GREEN (On Track)
ACTION UPDATE:	New referral criteria and cluster approach is working well, the service remained open to new referrals throughout the autumn term. Staff wellbeing in mainstream schools identified as limiting inclusion of some pupils. Weekly ES check-ins with key staff are being trialled as part of a Spiral of Enquiry and external supervision for all headteachers and targeted groups of staff has been sourced to start later this month. An enhanced package of ES support to help build stronger foundations and resilience across the board will be offered to the 6 Primary schools identified as having the highest level of need. This												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	will include an audit of the environment for safety and nurture in conjunction with OT SAI specialist. Unable to appoint a clinical psychologist in December, will re-advertise more widely Spring 22.												
ALNR/SP004 (SP/A005)	Work in partnership with the CSCJES to address issues arising from the impact of COVID-19 on schools and pupils, ensuring continuity of learning and that the specific needs of vulnerable learners are addressed, using the WG's Accelerated Learning Programme grant to target those cohorts of pupils identified as most at risk. (SP/005)	✓	✓	✓	✓	✓		✓	✓	✓	MH	March 2022	GREEN (On Track)
ACTION UPDATE:	<ul style="list-style-type: none"> • Appropriate priorities have been identified in SDPs to address the impact of Covid. Nearly all schools have a priority relating to pupils' wellbeing and there is a strong focus on supporting pupils' skills, particularly literacy skills. Improvement Partners continue to work alongside school leaders to monitor the progress and impact of priorities; however, a few planned monitoring activities did not happen in the autumn term due to Covid. Progress of priorities will be reported as planned at the end of January, April and July. • PDG spending plans for nearly all schools approved; work continuing in relation to monitoring the impact grant (to be undertaken by end of March 2021). • Appropriate use by schools of the Accelerated Learning Programme grant; strong focus on developing pupils' literacy skills and wellbeing. All Welsh medium schools using grant to support pupils' development in Welsh, particularly those from English speaking homes. • Careful identification of schools to be involved in specific PDG literacy professional learning programmes. Work to support writing is underway, with the programme on reading starting early January. • Engagement of Pencoedtre and Whitmore with the RADY programme is ongoing; too early to monitor impact. 												

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 to manage and slow its spread.

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

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

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

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

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

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

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

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

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

2 – Risk Evaluation

2.1 Inherent Risk Scoring

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Ministers on our position and response to the crisis.</p> <ul style="list-style-type: none"> • Directors in regular liaison with professional bodies and national forums to understand the latest policy position relevant to their area. 			
Resources	<ul style="list-style-type: none"> • 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. • Investment in ICT developments to enable home working. 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> Updated guidance on annual leave, flexi leave, and TOIL that has been published to reflect and adapt to the changing circumstances. Recovery Strategy approved by Cabinet that has been used to inform recovery focused Annual Delivery Plan actions. Localised Recovery Planning priorities have been identified and reflected within the Annual Delivery Plan for 2021/22. Isolation beds were utilised and reviewed and unit will transform into Bridging Unit from January 2022 to accommodate discharges of people waiting for community care packages. 			
Service Delivery & Well-being	<ul style="list-style-type: none"> 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. 	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<ul style="list-style-type: none"> 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. Coordination of food parcel deliveries to shielding people with no other form of support. For residents who have not been asked to shield for 12 weeks but are vulnerable and in crisis the Council has established a dedicated COVID Crisis Support Line to ensure that they also receive the necessary support. Housing/Homeless Service secured temporary hotel accommodation to provide shelter for homeless people. Secured donations from private and charitable organisations to support the provision of food to families and people who are vulnerable. New services have been put in place to support homeless people throughout the lockdown. This is involved providing single person accommodation and support for individuals. This has been funded via short term revenue support from the Welsh Government. The Council's Communications Manager is the Communications lead for a range of regional groups responding to the coronavirus pandemic. A Community Impact Assessment and an Economic Impact Assessment dashboards are regularly updated and discussed at SLT. Dashboard data is also regularly disseminated and shared with staff via weekly messages from the Managing Director. Within Social Services, vaccinations have been made available in a timely and 			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>coordinated way, with the majority of staff having received both vaccinations. Lateral Flow daily tests have been circulated to all frontline staff with encouragement to test twice weekly.</p> <ul style="list-style-type: none"> • Recommended respite services to support resident's physical and mental health. 			
Reputation	<ul style="list-style-type: none"> • 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

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

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		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CV/ALN001 CV/RP001 CV/HS001 CV/NS001 CV/SRS001 CV/SP001 CV/SL001	Implement the Directorate Recovery Plan to address the impact of COVID-19 on our services, service users and their families and communities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD MG MI ER DH MH T Baker	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>Progress continues to be made across all directorates in relation to implementing recovery plans aligned to our Annual Delivery Plan. For example, within Regeneration & Planning, we have worked with Town Centre organisations including Chambers of Trade and Town Councils to support recovery and the development of master planning work for Barry to support a possible Levelling Up bid. Across Homeless and housing services, we have undertaken viability assessments to increase temporary accommodation supply and block booking hotels for 22/23. Within Learning and Skills, progress continues to best very strong. In order to support the introduction of the ALN Act, we have created new 'casework co-ordinator' positions; these are key roles to support children and young people who have additional learning needs and required to have a personal education plan (PEP) or individual development plan (IDP). The interim snapshot of our young people who are NEET (not in employment, education or training) is positive and shows an improvement from 2020. This is as a result of the hugely successful work of the I2A and I2W teams. Regular monitoring and reporting on mitigations across the directorate and schools both internally and externally to Welsh Government, South Wales Resiliency Forum etc continues. Services continue to be flexible to respond to continual changes in national guidance</p>												

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Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CV/PB001 (PB/A018)	Work with GVS and other partners to build a legacy for Vale Heroes.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On track)
ACTION UPDATE:	Discussions have taken place with officers across the Council and with GVS to identify the best approach to establishing sustainable partnership working with the third sector. It is proposed that extensive and internal engagement is undertaken to shape this work identifying strengths and areas for further development. It's recognised that the relationship is complex and diverse but that it is important that strong and consistent arrangements are in place providing a framework for grants, commissioning, engagement and partnership working. A report will be presented the Scrutiny and VSJLC in response to the Audit Wales report.												
CV/PB002 (PB/A033) (Links to Brexit risk)	Work with the PSB and partners to deliver a food poverty pilot in Llantwit Major and utilise lessons learnt from the pilot to further develop the model, so that it can be applied to other areas	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)
ACTION UPDATE:	Phase 1 of the public engagement has ended with the public survey closing this quarter. The information from this survey will be analysed alongside the information gathered through phase 2. Phase 2 has commenced with interviews taking place between the project team and local experts and service providers to explore future opportunities and potential gaps. Phase 2 has also seen the launch of a Sense Maker public survey to gather more qualitative data to show peoples lived experiences of food access in Llantwit. The data will be analysed in quarter 4 and presented to the wider network to identify potential future actions and initiatives to help improve food access in the area.												
CV/PB003 (PB/A031)	Work as part of the Test, Trace and Protect (TTP) Regional Operational Board and with colleagues across the Council to respond to the	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>Covid-19 pandemic and to develop and deliver our Recovery Strategy.</p> <p>Contribute to and support the local, regional and national response to the pandemic including TTP and mass vaccination and the Recovery Strategy.</p>												
ACTION UPDATE:	<p>The Council's Communications Manager remains the lead for communications associated with the TTP programme. During the quarter, a series of communications activities have supported a range of stakeholders both internally and externally, including schools, social care and the public. The Head of Service attends the UHB's mass vaccination programme board to ensure linkages are made between that programme and the Council's contribution to other coronavirus/preventative actions.</p>												
CV/SRS002 (SRS/A007)	Work in partnership to respond to the COVID-19 pandemic by leading on the Test, Trace Protect service and supporting care homes, schools and nurseries.	✓	✓	✓	✓	✓	✓	✓	✓	✓	DH	March 2022	GREEN (On Track)
ACTION UPDATE:	<p>During Q3 the team followed up 833 cases of COVID19 in the care sector in the Cardiff and Vale Health Board area to identify any work-related close contacts and ensure IP&C measures were being correctly and robustly implemented. Care providers with active outbreaks were provided with support to arrange LHB whole home testing, facilitate new admissions wherever possible and manage visits in accordance with a risk assessed approach. Care homes were also kept up-to-date with current PHW/WG guidance as the rules on outbreak management and testing changed in accordance with the</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	revised winter plan for acute respiratory illness. The CD team maintained a level of weekend cover, including during the Christmas/New Year period, to ensure that care providers had ready access to support 7 days a week.												
CV/SRS003 (SRS/A008)	Support local businesses to trade in a COVID-19 safe environment by ensuring compliance with social distancing and other COVID-19 controls through the provision of advice and increased enforcement activity.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DH	March 2022	GREEN (On Track)
ACTION UPDATE:	The work of the COVID enforcement teams continues to ensure compliance with detailed advice being given to individual businesses to support them in operating safely and enforcing the regulations where necessary. During Qtr 3, the focus of the teams shifted to the routine checking of arriving travellers with over 1000 checks being made in the Cardiff and Vale Health board area to establish if people are self-isolating as they should. In addition, checks were also made on positive cases that were referred by TTP to ensure they were self-isolating.												
CV/PB004 (PB/A025) CV/AS001 (AS/A005) CV/CS001 (CS/A018) CV/NS005	Utilise the learning from the pandemic to define and establish new ways of working and develop our management team across the service.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring SC RE ER	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Review the way journeys are undertaken by staff including the use of pool cars.												
ACTION UPDATE:	<p>Throughout the pandemic, the Policy & Business Transformation management team have met to identify areas of cross-over and opportunities to strengthen the connections between the teams. This is informing the development of the Insight function that will provide a strengthened evidence base for taking decisions and informing the teams' work.</p> <p>Within Adult Services, the Head of Service, has liaised with Operational Managers to consider our operating models post-Covid, and seeking to inform the accommodation strategy for our teams moving forward. We have engaged with this process and ensure full participation to shape the future accommodation needs fit for the purpose to deliver high quality services to those we support. The integrated nature of the Adults Division has required Cardiff and Vale UHB and Swansea Bay UHB as key delivery partners are appraised of the accommodation review.</p> <p>A model of strength-based and outcome focused assessment and care management is being developed utilising existing best practice from around d the UK and adapting to inform Adult Services in the Vale of Glamorgan. It is clear that Adult Services practitioners already work in a manner that respects and strengths of individuals and seek to help people to achieve their personal outcomes. the next stage of this work is to undertake stakeholder engagement exercise to fine tune the service modelling. Within Children and Young People Services, learning continues to inform our practice and the Division's future operating model.</p> <p>Within Neighbourhood Services, the review for pool cars still be undertaken but further COVID advice to work from home hindered progress, Decision taken to install electric chargers at main offices and also to purchase a number of electric pool cars.</p>												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CV/PB005 (PB/A011)	Lead on the development and delivery of a new Transformational Change Programme with an emphasis on community, resources and new ways of working.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Bowring	March 2022	GREEN (On Track)
ACTION UPDATE:	Following Cabinet's approval for the new Reshaping programme in March 2022, work has continued on the project monitoring arrangements, resources and any additional governance arrangements required to deliver the cross-cutting programme. The Programme Board has continued to meet to provide oversight to this activity, including receiving presentations on the Climate Change Challenge Plan, Culture Book, Social Services Reshaping Programme and work on the Llantwit Major Food Poverty project.												
CV/RMS001 (RMS/A020)	Continue to support mechanisms to ensure care settings are following the latest prevention control processes in line with TTP requirements.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Discussed regularly at provider forums, plus emails as and when guidance changes. Incident tracker in place and outbreaks closely monitored.												
CV/RMS003 (RMS/A011)	Review effectiveness of isolation beds with the view of reintroducing for reablement services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (Completed) Action completed and will be reflected

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
													as a control in the Register
ACTION UPDATE:	Isolation beds were utilised and reviewed during Q3- 100% complete. With agreement of ICF will change to Bridging Unit 17/1/22 to accommodate discharges of people waiting for community care packages.												
CV/ALN002	Work in partnership to address issues arising from the impact of COVID-19 measures on schools, ensuring continuity of learning and that the specific needs of vulnerable learners are addressed. (ADP/026)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	Amber (Minor Slippage)
ACTION UPDATE:	Awaiting delivery of Hwb's 2021/22 funded devices.												
CV/ALN003 (ALN/A013)	Seek further opportunities through the Children and Communities Grant (CCG) and Housing Support Grant to target interventions for children and young people and their families ensuring that services adapt in response to issues arising from COVID-19.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
ACTION UPDATE:	All projects continue to report regularly and delivering what is expected although Covid19 continues to hinder direct 1-1 work. Projects continue to respond positively continuing to use innovative methods to keep in contact with service users . Monitoring has been ongoing and RBA report cards are due early January 2022 and will reflect how well these continue to be managed in the current crises. The Winter of Wellbeing activities are proving												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	successful, although some issues with the number of providers WG have funded directly to deliver this - this is not CCG but related as it directly links to 2 of the existing CCG grants streams. CCG continues to fund a wide variety of C&YP services. WG has provided additional Covid funds to increase services to reduce waiting lists, proposal was agreed to develop additional mentoring service for children, a project to support children who have experienced domestic abuse and a family support project and delivery of a course focussed on families with late diagnoses of ASD. Other Families First projects have had staffing increases.												
CV/ALN004	Support residents whose physical or mental health has been negatively impacted by coronavirus.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DD	March 2022	GREEN (On Track)
ACTION UPDATE:	This work is ongoing and significant as outlined in a recent report to scrutiny. A recent development has been the commissioning of a leadership development programme for wellbeing leads in schools. This programme aims to support leaders to develop a comprehensive Whole School Plan for Wellbeing.												
CV/SP002 (SP/A005) CV/SL002 (SL/A011)	Work in partnership with the CSCJES to address issues arising from the impact of COVID-19 on schools and pupils, ensuring continuity of learning and that the specific needs of vulnerable learners are addressed, using the WG's Accelerated Learning Programme grant to target those cohorts of pupils identified as most at risk.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MH T Baker	March 2022	GREEN (On Track)
ACTION UPDATE:	<ul style="list-style-type: none"> Appropriate priorities have been identified in SDPs to address the impact of Covid. Nearly all schools have a priority relating to pupils' wellbeing and there is a strong focus on supporting pupils' skills, particularly literacy skills. Improvement Partners continue to work alongside school leaders to 												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	<p>monitor the progress and impact of priorities; however, a few planned monitoring activities did not happen in the autumn term due to Covid. Progress of priorities will be reported as planned at the end of January, April and July.</p> <ul style="list-style-type: none"> • PDG spending plans for nearly all schools approved; work continuing in relation to monitoring the impact grant (to be undertaken by end of March 2021). • Appropriate use by schools of the Accelerated Learning Programme grant; strong focus on developing pupils’ literacy skills and wellbeing. All Welsh medium schools using grant to support pupils’ development in Welsh, particularly those from English speaking homes. • Careful identification of schools to be involved in specific PDG literacy professional learning programmes. Work to support writing is underway, with the programme on reading starting early January. • Engagement of Pencoedtre and Whitmore with the RADY programme is ongoing; too early to monitor impact. " 												
CV/SL003	Continue to manage PPE provision, support and deployment for schools and Education staff.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	GREEN (On Track)
ACTION UPDATE:	No issues in Learning & Skills, managed centrally via the corporate PPE team.												
CV/SL004 (SL/A003)	Deliver ICT infrastructure improvements within schools in line with the Welsh Government’s Education Digital agenda and to support new ways of working resulting from COVID-19.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	GREEN (On Track)
ACTION UPDATE:	<ul style="list-style-type: none"> • 1,309 devices have been enrolled into Hwb’s Microsoft InTune MDM for remote management. • Awaiting delivery of the Windows and Google devices. • 81 large format/front of classroom displays have been delivered/installed, with the remaining 16 to be installed during the next quarter. 												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CV/SL005 (SL/A004)	Support schools with COVID-19 financial impact analysis and claims against the COVID Hardship Fund.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	GREEN (On Track)
ACTION UPDATE:	Schools continue to claim from the covid hardship grant and every time the guidance is updated by WG new guidelines are circulated to all schools. A total of £1,758,696 has been charged to the covid hardship grant for the period up to 23.12.21.												
CV/SL006 (SL/A005)	Support schools in managing Welsh Government's Accelerated Learning Programme Grant targeted to support year groups 7, 11, 12 and 13	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	GREEN (On Track)
ACTION UPDATE:	The accelerated learning grant expenditure continues to be monitored by the school finance support officers who will ensure all schools fully spend their grant allocations by the end of the financial year.												
CV/SL007 (SL/A014)	Work in partnership with Communities4Work to promote the Employability Hub. <i>Milestone action: Collaborate with contractors, local businesses and the third and public sectors to deliver a range of community benefits which improves people's skills and employment prospects.</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	T Baker	March 2022	GREEN (On Track)
ACTION UPDATE:	Arranging construction employment events with C4W. Working with C4W to develop a series of construction themed events targeted at job seekers. Events will include a construction preparedness digital workshop, site tours and mentoring sessions. Contractors working with C4W to develop better links with supplier preferred agencies so process easier to inform service users when opportunities arise. Human library trialled to offer opportunity for contractors to share knowledge Sept 21.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CV/RP002 (RP/A016)	Support our Town Centres to recover and adapt following the effects of COVID-19, by supporting the development of a mix of business premises and homes within town centre locations, promoting a town centre first approach.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)
CV/NS002 (NS/A014)	Support our town centres to recover and adapt following the effects of COVID-19, by improving green spaces, public areas and transport infrastructure-												
ACTION UPDATE:	We will continue to implement a Town Centre first approach to retail and associated facilities through the planning system. Further funding is being made available for revenue and capital projects in our town centres for the remainder of this financial year. Projects are likely to include CCTV and waymarking for Barry. A series of online events are being planned for March 2022 to support high street businesses to improve their digital presence and use of technology. Several successful Christmas events were held in Town Centres such as Santas Post Box in Barry and Cowbridge. The aim of these events was to drive footfall.												
CV/RP003 (RP/A018)	Identify grant support for businesses and investment in regeneration project and	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MG	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	deliver Welsh Government COVID-19 Grant Schemes as required.												
ACTION UPDATE:	Implementation of Transforming Towns, Legacy Projects (20/21 committed spend) has continued during Q.3. Cabinet approved governance and budget management arrangements for Transforming Towns, Placemaking Grant 21/22 and Transforming Towns, Business Fund 21/22 (minute C710 refers) on 25th October 2021.												
CV/FIT001 (FS/A005)	Monitor and tackle the financial impact that coronavirus will continue to have on the Council's finances.	✓	✓	✓	✓	✓			✓	✓	CL	March 2022	GREEN (On Track)
ACTION UPDATE:	Claims for additional expenditure have been submitted to WG for April to November. Q1 + Q2 lost income claim has also been submitted with Q3 to be submitted during January 22												
CV/FIT002 (FS/A013)	Review the Capital Programme and the use made of the Council's assets to support recovery and economic growth including the consideration of an investment strategy.	✓	✓	✓	✓	✓			✓	✓	CL	March 2022	GREEN (On Track)
ACTION UPDATE:	Investment Strategy to be presented to Cabinet and Governance and Audit Committee in Q4												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/HS002	Work with partners to mitigate the impact of COVID-19 by continuing to facilitate the Homelessness Coordination Cell meetings fortnightly so that any issues are identified early, and the appropriate preventative action is taken.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	Meetings continue to take place monthly and review Covid 19 impacts, focussing in particular on homelessness and temporary accommodation and ensuring that preventative steps are taken to ensure that people in temporary accommodation are safe and have access to health and support services.												
CV/HS003 (HS/A023)	Continue to work to the Welsh Government COVID-19 Homelessness Plan, phase 1, providing bed and breakfast accommodation for homeless persons as defined by the new Welsh Government Duty placed on Local Authorities.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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:	WG have committed to support the booking of B&B rooms to the end of March 2023. Officers are currently reviewing data available in respect of new build completions and forecasted new homeless presentations to quantify ongoing needs. This will be completed prior to March 2022 so that funding can be agreed.												
CV/HS004 (HS/A024)	Work with partners to sustain the reduction in homelessness achieved during the crisis and implement a Housing Support Programme Strategy.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	MI	March 2022	GREEN (On Track)
ACTION UPDATE:	Cell meetings continue to ensure key services are delivered to homeless households. The Task and Finish Group are developing options for increasing 'move on' of homeless households into more permanent accommodation.												
CV/LS002	Continue to review the impact of COVID on the Legal and Democratic Services and contribute to the Council's recovery objectives	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	DM	March 2022	GREEN (On track)
ACTION UPDATE:	In line with Council policy.												
CV/NS003	Work with partners to mitigate the impact of COVID-19 by working with Legacy Leisure,	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Community Associations, Schools, Heath Authority etc.												
ACTION UPDATE:	Leisure Centres remain open but are now operating under a revised set of rules that has re-introduced advance booking only. Usage did slip before immediately before Christmas but indications for the new year have seemed positive with many customers keen to return even with restrictions in place.												
CV/NS004 (NS/A038)	Work with Keep Wales Tidy, our community and partners to provide safe and accessible public spaces recognising the value placed on these during the COVID-19 restrictions.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ER	March 2022	GREEN (On Track)
ACTION UPDATE:	This quarter the service has continued to support our partners to deliver the local environmental agenda. Additionally we continue to maintain safe and secure open spaces and ensure our arrangements are in line with the Corona Virus (Wales) Regulations.												

1 – Risk Overview

1.1 Risk Description

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

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

A key risk factor driving the fragility of the social care market is in relation to workforce capacity. External providers are facing the same national workforce pressures that are being experienced across the rest of our Social Services departments. Within the external provider market, before Brexit and the pandemic, there were challenges in recruitment and retention with longstanding issues in relation to high turnover of staff and unfilled vacancies. These workforce issues have been linked to low pay and limitations in career progression. Approximately 56% of the social care workforce in Wales earn below the real living wage (£9.50 an hour)¹. Consequently, there is a high level of turnover of care workers to other sectors. Due to poor rates of pay and career prospects, the external social care market is often in direct competition with retail/hospitality sector where there are more attractive rates of pay and benefits. In addition, there is also pressure from the NHS where rates of pay and terms and conditions are significantly better.

Although the planned rise in National Minimum Wage to £9.50 from April 2022², is welcomed amongst social care workers, it is likely to further add to the cost pressures of external social care providers. The Welsh Government have signaled its commitment to paying social care staff a ‘real living wage’, which if not fully funded would be an added cost pressure to care providers who may already be struggling financially. In ADSS Cymru’s response to the Welsh Parliament’s Inquiry into the impact of Covid-19 on the management of health and social care, they highlighted that there is ‘acute awareness’ of

¹ Cominetti N, Gardiner L, Kelly G, [What happens after the clapping finishes? The pay, terms and conditions we choose for our care workers](#), Resolution Foundation, April 2020

² UK Government Press Release, [Large minimum wage increase to boost low-paid workers’ incomes](#), 27th October 2021

	<p>the anxieties that some care providers face regarding their survival in the short term³.</p> <p>In the context of rising demand for services, local authorities' budgets are increasingly being stretched and are subsequently constrained by what fees can be paid to externally commissioned care providers. This in turn can potentially challenge a care provider's financial sustainability. Consequently, residential care homes are more likely to become reliant on cross-subsidisation in order to remain viable⁴. The Competition and Markets Authority reported that 24% of care home residents are self-funded and pay on average 36% more than their local authority counterparts for similar service provision⁵.</p> <p>Some externally commissioned care providers were already in a financially precarious situation prior to the pandemic which has been further compounded by the financial cost of Covid. In response to the Welsh Parliament Inquiry into the impact of Covid-19, ADSS Cymru highlighted additional cost pressures associated with sourcing PPE, insurance liabilities and the pressure associated with carrying empty beds (voids)⁶. These voids have been in part driven by the pandemic, as a result of more deaths and the reluctance of families to fill beds with new residents. Residential care homes need to maintain high levels of occupancy to remain financially viable. Therefore, there is a real risk that some care homes could financially collapse. Any failure could result in local authorities intervening to safeguard and ensure continuity of care for its citizens. However, ADSS Cymru acknowledge that this is at a time when local authorities have limited capacity, and they indicate this could have a knock-on impact on other aspects of care such as hospital discharge processes and greater pressure on domiciliary care⁷.</p>
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1.2 Risk Owner	Lance Carver
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1.3 Impact on our contribution to the Wellbeing Goals						
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A Globally Responsible Wales	A Prosperous Wales	A Resilient Wales	A Healthier Wales	A More Equal Wales	A Wales of Cohesive Communities	A Wales of Vibrant Culture and Thriving Welsh Language
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³ Welsh Parliament: Health and Social Care & Sport Committee, [Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers](#), March 2021

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

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

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

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>being of our most vulnerable citizens and an inability to meet their basic needs.</p> <p>Increase in voids 'empty beds' in residential care homes and/or reduction in self-funders impacts on the viability of externally commissioned care homes to continue to operate and provide residential care services. Impact of a provider failure on social services' capacity to provide alternative residential accommodation.</p>
Reputation	Yes	<p>Provider failure jeopardises the safety of citizens, residents and the negative reputational impact on the sector. Provider failure could result in serious harm to citizens, if there is no local authority capacity to ensure continuity of care and support.</p> <p>Failure to ensure continuity of care and support and meeting the needs of vulnerable people would damage the reputation of the council and attract negative criticism from our regulators.</p> <p>Loss of public confidence and trust in Social Services ability to meet the care and support needs of citizens and maintain their health and well-being.</p>

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

2.2 Controlling Inherent Risk

Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Overall Effectiveness of Controls Score		1	1	1

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
MFR/RMS001 (ADM12)	Consider how to promote better use of Direct Payments to encourage use of non-agency carers. Review current arrangements and identify any areas that can be streamlined. Develop a database to monitor and track progress.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On track)
ACTION UPDATE:	Review of current Direct Payments has commenced to identify any blockages and database is under development. Management action plan ins in place. Working with the Social Care Workforce Development Team on the Track to Care Scheme. Database has been created and continues to be developed to update all records with regularly monitoring of the database in place.												
MFR/RMS002 (ADM13)	Agency recruitment/hours: Encourage providers to offer part-time staff extra hours on either a permanent or temporary basis until successful recruitment.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Conversations to be held between brokerage and providers to discuss potential extra hours for part-time workers and to be discussed in provider meetings.												
MFR/SS001 (ADM14)	Weekly discussion with Cabinet Member and Director of Social Services regarding pressures affecting service delivery to meet assessed needs of our citizens to escalate issues.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC/SC/RE /AP	March 2022	GREEN (On track)

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	There is a weekly reporting requirement to the University Health Board for on-call briefings. Established and embedded weekly meetings with the Cabinet Member, Director of Social Services and Heads of Service to give opportunity and updates and to seek support, escalate issues and maintain an ongoing dialogue with a proactive management of issues. Report on escalating issues/risks to be considered by Cabinet/Scrutiny so all Elected Members are aware of the risks and concerns associated with managing high levels of demand for care and support and our capacity to meet citizen’s assessed needs.												
MFR/RMS003 (ADM9)	Actively engage with provider to discuss capacity and potential solutions- includes listing all packages available to be circulated to market, contingency arrangements for care packages	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On track)
ACTION UPDATE:	Brokerage have contacted providers daily with all available POC and will where possible group POC together in runs. Providers have reviewed their current care packages to determine if any hours can be clawed back. This interim arrangement is reviewed weekly at CTA meeting which are well established.												
MFR/SS003 (BP3)	Align fee uplifts in C&YPS with those in Adults/RMS. Utilise financial and service pressure information from C&YPS to allow RMS to consider future fee uplifts.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC/RE/AP	March 2022	GREEN (On track)
ACTION UPDATE:	Agreement that the process needs to shift to RMS and the Budget Programme Board. Increased details of commitments for consideration at Budget Programme Board are required and this year’s fee increases in CYPS completed retrospectively. Cost pressures have been submitted in relation to fees.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
MFR/SS004 (BP1)	Monitor Welsh Government changes to grant funding and ensure prioritisation of services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC	March 2022	GREEN (On track)
ACTION UPDATE:	Indications from Welsh Government that some funding elements will continue although uncertainty remains. Prioritisation documents have been completed. Additional funding from Welsh Government received in the form of the Recovery Fund. Some Recovery funding has been passported to providers to enable them to sustain services and recruit/retain their workforce.												
MFR/SS005 (YC1)	Relaunch and continue expansion of the 'Your Choice' programme.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/SC	March 2022	GREEN (On track)
ACTION UPDATE:	Identified next provider in respect of 'Your Choice' scheme. Awaiting guidance that will be rolled out to teams once approved. Brokerage elements to be included as part of this guidance.												
MFR/RMS004 (YC3)	Agree blended rate calculations with providers with packages of care commissioned at greed rates.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	AMBER (Minor slippage)
ACTION UPDATE:	Blended rates agreed with two providers. Work is underway to meet with a further two providers to discuss the scheme and agree the blended rate. Significant challenges exist within the market that continue to be the focus of discussions.												

Return to Risk Summary Report

1 – Risk Overview	
1.1 Risk Description	<p>It is widely acknowledged that the social care system is under significant strain due to rising demand for our services and tackling challenges associated with our capacity. Progress on reforming social care has repeatedly stalled over the years. The pandemic has only served to further exacerbate the issues around demand and capacity to deliver social care services.</p> <p>There is increasing pressure on local authorities to manage demand for social care services, and this has become even more challenging during the pandemic. There has been a significant growth in demand for our services and with that increasing cost pressures.</p> <p>There are increasing numbers of children and young people and their families and adults that are presenting with more complex needs. In common with the position across Wales, there are increasing numbers of Children Looked After in the Vale. Where a child has been assessed as needing to be looked after, the Council is responsible for placing that child in a placement appropriate to their needs. This is challenging in the current environment where placement demand is exceeding availability, and placements in the independent sector are costly.</p> <p>Similarly, there is an increasing ageing population in the Vale of Glamorgan. The Health Foundation forecast that future demand pressures for social care will continue to increase and it is estimated that social care cost pressures will increase in Wales by 4.1% per year between 2015 and 2030-31 due to demographic trends, chronic conditions and rising costs of care and it is anticipated that these costs will reach £2.3billion in 2030-2031¹. The increased demand for social care services has also been driven by the pandemic. In response to the Welsh Parliament Inquiry into the impact of Covid-19 on the management of health and social care, ADSS Cymru highlighted there is increased service demand and pressures being felt across domiciliary care in relation to individual's requiring rehabilitation post-Covid and they also noted that long Covid has the potential to put pressure on services in the longer term especially amongst those who prior to Covid would not have required social care². In addition, the pandemic has also resulted in a delayed presentation of care, which in turn has meant opportunities to signpost to preventative services as at an earlier stage have been prohibited. Consequently, when citizens do present in need of social care services, they often require greater levels of intervention/support as they have become frailer, and their care needs more complex. At this point, our interventions have a limited impact on their reablement and ability to regain independence. The reluctance of individuals to seek appropriate health care treatment from health care professionals at the most critical time,</p>

¹ Watt T, Roberts A, [The path to sustainability: Funding projections for the NHS in Wales to 2019/20 and 2010/31, The Health Foundation](#), October 2016

² Welsh Parliament: Health and Social Care & Sport Committee, [Inquiry into the impact of the Covid-19 outbreak, and its management, on health and social care in Wales: Report 3-Impact on the social care sector and unpaid carers](#), March 2021

	<p>has resulted in the presentation of more complex needs in our communities. The pandemic has created feelings of isolation and has negatively impacted on the mental health and wellbeing of individuals and informal. A consequence of this has been where informal carer arrangements breakdown, which places additional demand on our services to provide urgent care.</p> <p>A key risk factor driving service capacity is the workforce pressures we face. In keeping with the national picture, the Vale of Glamorgan’s Social Services is experiencing higher staff turnover/shortages and difficulties within recruiting and retaining social workers (particularly Children and Young People Services) and residential and domiciliary care staff supporting Adults.</p> <p>Challenges in recruitment and retention of social workers in Children and Young People Services remains an ongoing challenge, which is acutely felt within social work teams at the ‘front door’. Even when there are opportunities to attract social workers, the lag time between interview, offer and start date impacts on teams. In the context of Children and Young People Service, there are known workforce pressures within the Integrated Family Support Team and the Care Planning and Proceedings Team. The workforce capacity pressures within CPP Team impact on the IFST, as the IFST will pick up on CPP cases but are unable to transfer to other teams that CPP would have normally dealt with.</p> <p>Within Adult Services, the capacity of the residential and domiciliary care has been impacted by staff shortages/absences due to high Covid infection rates or impact of the pandemic on the mental health of staff. There are also significant recruitment and retention difficulties being experienced across Adult Services including commissioned care. Care Home and domiciliary care workers work in challenging and demanding roles, often on low pay and these positions are often perceived as having limited opportunities for career progression. There is also significant competition from the NHS where pay and conditions for similar skill sets are significantly better. There have been calls for greater parity in pay between the NHS and local authorities as this has been viewed as a driver behind recruitment and retention difficulties in local authority care roles. The Welsh Parliament’s recent inquiry into the impact of Covid-19 on the management of health and social care highlighted the need to ‘assure parity of esteem, treatment or conditions between the two sectors’ and recommended the need for properly remunerated career pathways for social care workers to ensure that it is an attractive career option³.</p> <p>The key aspects of this risk can be defined as insufficient social care capacity to meet the significant growth in demand for social care services. This is not just in the context of the volume of demand, but also the severity and complexity of need.</p>
<p>1.2 Risk Owner</p>	<p>Lance Carver</p>

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

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	<p>Political and legislative repercussions of failing to discharge our statutory functions and comply with statutory requirements of service delivery.</p> <p>Risk that the Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse. Other organisations are unable to meet their responsibilities for responding effectively to situations where people are at risk of neglect or abuse.</p> <p>Risk of judicial review as a result of insufficient capacity in our care settings to deliver services that effectively meet the identified care and support needs of service users.</p>
Resources	Yes	<p>Insufficient funding available that can be used to meet unprecedented demand in our most critical social care services.</p> <p>Insufficient operational staff capacity to manage demand and operate services sustainably and safely . For example, within IFST and CPP, our residential care settings and our domiciliary care staff.</p> <p>Impact of increased demand for adult and children’s services coupled with complexity of need impacts on our ability to cost-effectively meet the needs of individuals.</p> <p>Ability to fully operate preventive/early intervention is undermined by the impact of the pandemic and the strain on how we target our resources and build resilience in services.</p> <p>Uncertainty regarding the ongoing funding support from Welsh Government regarding recovery from the pandemic and social care reform. This impacts on the medium to longer term planning and sustainability of social care services in the future.</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>Inability to transform our services to mobilise our assets, technology and workforce, to deliver and operate services in new ways that are sustainable and resilient to future demand.</p> <p>Workforce shortages of specialist key staff impacting on our ability to deliver statutory service functions where redeployment from other areas is not possible</p> <p>Lack of capacity to seize opportunities to explore and develop new ways of working to transform services that are fit for the future. Financial, asset and workforce challenges could jeopardise the viability and resilience of service delivery to meet future demand.</p> <p>Lack of available and affordable placements for children looked after with complex needs places a significant financial strain on budgets.</p> <p>Risk that case managers are in situations where they are unable to obtain appropriate levels of care and support for their service users, resulting in the need for them to manage significantly higher levels of risk within their caseloads.</p>
<i>Service Delivery and Wellbeing</i>	Yes	<p>Capacity to meet the growing demand for children and families in need of crisis support. A lack of capacity 'at the front door' impedes our ability to undertake timely assessments of need and risk, support families and children through lower tier early intervention/prevention and signpost to other support services.</p> <p>Inability to operate safe carer to citizen/resident ratios in our care settings due to staff shortages/absences and or recruitment difficulties.</p> <p>Late presentation of care needs impacting on our ability deliver lower cost prevention and early intervention to citizens and families in need.</p> <p>Impact of the pandemic on the voluntary sector's capacity and ability to continues to support vulnerable citizens in our communities. This has the potential to impact on demand for care with the presentation of more complex care needs in the future if there is a lack of early/preventative Third Sector support in communities.</p> <p>Capacity to manage and respond to increased demand for care and support as a result of the pandemic. Increased pressures on domiciliary care services due to the emergence of an additional cohort of adults requiring reablement care following discharge from</p>

1.4 Risk Categories		
Categories	Yes/No	Definition
		<p>hospital as part of their recovery from Covid or as a result of long Covid.</p> <p>Risk that unsafe/poorly planned discharges from hospital impacts on patient outcomes but also demand for social care services. This could result in discharge without the identification of home support they need and a lack of co-ordination result in delayed access to care packages. This in turn puts pressure unpaid carers (usually family member) to meet their care and support needs.</p> <p>Failure in our duty to ensure the safety and well-being of our most vulnerable citizens and an inability to meet their basic needs.</p> <p>Risk that 'burn out' of unpaid carers impacts on their ability to continue to fulfil their caring role, places additional pressure and demand on social care services.</p> <p>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.</p>
Reputation	Yes	<p>Failure to provide critical services and meet the needs of vulnerable people would damage the reputation of the council and attract negative criticism from our regulators.</p> <p>Loss of public confidence and trust in Social Services ability to meet the care and support needs of citizens and maintain their health and well-being.</p>

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	<p>Reshaping Board meets monthly to discuss issues associated with demand management, workforce.</p> <p>Regular meetings between Director, Heads of Service and Cabinet Member to discuss emerging issues relating to demand management and capacity.</p>	1	1	1
Resources	<p>To address some recruitment pressures. Some Registered Support Workers have agreed to increase hours temporarily.</p> <p>VCRS reablement technicians to provide some care and support calls on a temporary basis.</p> <p>Day Service staff approached to provide additional support to VCRS.</p> <p>Capacity planning workstream has been established with agreed Terms of Reference and an action plan to address areas for improvement.</p> <p>Necessary use of agency staff to meet statutory responsibilities.</p>	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	<p>Development of the staff training project to recruit, fast track and train care staff to get them work ready for the market -work on principle of not competing for staff from neighbouring authorities or agencies or NHS, in order not to destabilise the market further.</p> <p>Consideration of incentivising care posts on completion of training and successful employment</p>			
Service Delivery & Well-being	<p>Case management teams have reviewed all cases in receipt of a current package of care, with a view to temporarily moving them to 'contingency' plans through asking family members to provide some additional support, reducing calls for sitting services, shopping etc in order to try to redistribute care hours to those awaiting any POC.</p> <p>To manage capacity and service delivery within VCRS, staff have reviewed caseloads, apply screening criteria. Individuals that don't meet the criteria are signposted to alternative support.</p> <p>Opening the Bay Unit as an isolation/bridging unit as interim measure agreed in principle with reopening in January 2022. This supports discharge from hospital for those with low level support needs awaiting domiciliary care packages in the community to support their discharge. Provides support to domiciliary care and provides additional capacity and reduces length of hospital stay.</p> <p>Effective prioritisation/reprioritisation according to need. Spreadsheet has been developed to support, actively manage and review all requests for care and support on discharge from hospital. Exception reporting in place and identification of enablers and barriers support solution focused discussion.</p> <p>Prioritised time sensitive calls due to specific needs e.g. medication. Occupational</p>	1	1	1

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

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

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ADM12	Consider how to promote better use of Direct Payments to encourage use of non-agency carers. Review current arrangements and identify any areas that can be streamlined. Develop a database to monitor and track progress.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Review of current Direct Payments has commenced to identify any blockages and database is under development. Management action plan is in place. Working with the Social Care Workforce Development Team on the Track to Care Scheme. Database has been created and continues to be developed to update all records with regularly monitoring of the database in place.												
ADM13	Agency recruitment/hours: Encourage providers to offer part-time staff extra hours on either a permanent or temporary basis until successful recruitment.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Conversations to be held between brokerage and providers to discuss potential extra hours for part-time workers and to be discussed in provider meetings.												
ADM18	Recruitment of Reablement Support Workers via campaign.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	Recruitment drive for independent providers delivered mid-October. VCRS recruitment- agreed to continue to recruit to vacant hours for Reablement Support Workers. VCRS successfully appointed 4 positions during quarter 3 which were all actively in the on-boarding process. During the quarter there has also been a consideration of developing Kick Starter roles for candidates that can drive.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ADM1	Review process and roles and responsibilities within I&A to explore opportunities for improvement and capacity issues.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	Completed review and restructure put in place to focus on allocation and waiting list. Monitoring progress and resource allocation. Vacancies have been filled to support this work with four agency Social Workers in the team.												
ADM11	Social workers to engage with clients to support them to manage care.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	Providers can offer times outside those requested and there are ongoing conversations with service users and families to accept available times with a view to review at a future date. Liaised closely with service users and their families to outline the risks associated with a lack of care and have offered residential placement on a temporary basis where necessary.												
ADM14	Weekly discussion with Cabinet Member and Director of Social Services regarding pressures affecting service delivery to meet assessed needs of our citizens to escalate issues.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC/SC/RE /AP	March 2022	GREEN (Completed) Action completed and will be reflected as a control in the Register

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	There is a weekly reporting requirement to the University Health Board for on-call briefings. Established and embedded weekly meetings with the Cabinet Member, Director of Social Services and Heads of Service to give opportunity and updates and to seek support, escalate issues and maintain an ongoing dialogue with a proactive management of issues. Report on escalating issues/risks to be considered by Cabinet/Scrutiny so all Elected Members are aware of the risks and concerns associated with managing high levels of demand for care and support and our capacity to meet citizen’s assessed needs.												
ADM2	Review of response times to inform demand analysis.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	Analysing demands and trends in order to establish required levels of resources to meet forecast demand at the front door. Worked with partners within the Council and the Health Board to develop the well-established Single Point of Access (SPoA) into a broader Wellbeing Matters Service to ensure we use our integrated resources to meet the need at the right time with the right team/professional.												
ADM4	Review process within OT Service to explore opportunities for improvement and capacity	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (On Track)
ACTION UPDATE:	During Q3, early discussions have taken place with the Operational Managers within Adult Services to progress this work forward. Proposals regarding targets for completing each priority cohort currently being worked through.												
ADM7	Risk assessments of all requests and prioritisation/reprioritisation according to need, VCRS ‘bridging’ packages and hospital discharge.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	SC	March 2022	GREEN (Completed) Action completed and

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
													will be reflected as a control in the Register
ACTION UPDATE:	Spreadsheet has been developed that is being actively managed and reviewed at Call-to-Action meetings with wide stakeholder involvement. Exception reporting in place and identification of enablers and barriers support solution focused discussion.												
ADM8	Monitoring of all packages awaiting domiciliary care agency availability to actively manage the position and ensure flow to protect prevention of hospital admission/hospital discharge and VCRS capacity.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AP/SC	March 2022	GREEN (On track)
ACTION UPDATE:	Brokerage continues to give VCRS 'bridging packages' and hospital discharge cases the highest priority but are struggling with market capacity particularly for those cases who have already been with a number of providers previously.												
BP1	Monitor Welsh Government changes to grant funding and ensure prioritisation of services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC	March 2022	GREEN (On Track)
ACTION UPDATE:	Indications from Welsh Government that some funding elements will continue although uncertainty remains. Prioritisation documents have been completed. Additional funds received via Welsh Government's Recovery fund, with some money passported to providers to sustain services and tackle workforce pressures.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFP11	Review current Workforce Plan for all service areas.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC/RE/SC /AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Exploring the possibility of utilising PowerBI to produce an informative workforce dashboard on a regular basis. Work in progress to establish an approach to monitoring and alerting managers to levels of vacancies and to utilise and understand recruitment and retention statistics.												
WFP12	Understand levels of demand into the CYPs, RMS and Adult Services and any associated gaps.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC/RE/AP /SC	March 2022	GREEN (On Track)
ACTION UPDATE:	Information on caseloads per case worker to be available on an easily accessible dashboard. Weekly caseload reports currently provided.												
R1	Review recruitment practices and consider further opportunities to enhance recruitment and retention.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC/RE/SC /AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Information about posts recruited to be easily accessible on a dashboard. Ongoing monitoring currently taking place.												
R5	Consider opportunities for overseas recruitment.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC/RE/SC /AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Consideration of opportunities for overseas recruitment continues to be explored. After initial conversations, it was identified this option would not be effective for all types of social work recruitment. Currently partnering with a social work agency to explore options for encouraging Social Workers to												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	return to the profession. We also continue to increase our numbers of unqualified post to address capacity challenges and enhance our ability to 'grow our own'. Agreement to establish and recruit 11 new Social Care Officer posts. Supporting retention is equally as important an element to recruitment.												
R2	Undertake a recruitment mapping process to understand trends and analyse areas of the market not yet explored.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC/RE/SC /AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Information about posts recruited will be accessible via a dashboard with ongoing monitoring taking place.												
R4	Consider wider employee wellbeing offering.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	LC/RE/SC /AP	March 2022	GREEN (On Track)
ACTION UPDATE:	Wellbeing offering has been enhanced to look after our staff with a variety of online fitness classes and encouragement to take breaks and work hours flexibly.												