Meeting of:	**Governance and Audit Committee**
Date of Meeting:	**Monday, 27 February 2023**
Relevant Scrutiny Committee:	Corporate Performance and Resources
Report Title:	Corporate Risk Register Qtr3 Update
Purpose of Report:	To update Governance and Audit Committee on the quarter 3 position of Corporate Risks for April 2022-December 2022 contained within the Corporate Risk Register as outlined in the Corporate Risk Summary Report.
Report Owner:	Rob Thomas, Chief Executive
Responsible Officer:	Tom Bowring, Director of Resources
Elected Member and Officer Consultation:	Consultation has been undertaken with designated Corporate Risk Owners and the Strategic Leadership Team.
Policy Framework:	The proposals are within the Council's Policy Framework.

Executive Summary:

- This report provides members with an overview of the Corporate Risk Register for Quarter 3 (April 2022-December 2022). A risk analysis is incorporated within the Corporate Risk Summary Report (**Annex A**). This enables officers and Members to identify and assess trends and the cross-cutting nature of risks with the ability to drill down to the detail of risks as and when required.

Recommendations

1. Note the Quarter 3 position of corporate risks (April 2022-December 2022) outlined in the Risk Summary Report (**Annex A**)

2. Refer any other comments to Cabinet for their consideration and endorsement at the meeting for Cabinet to consider 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 & Audit Committee to consider the quarter 3 risk 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 more 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 of the Register.

2. Key Issues for Consideration

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

2.2 **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. This section also 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.

2.3 **Section 2 Corporate Risk Register Summary:** provides an overview of all the corporate risks in the Register in terms of their inherent score, effectiveness of control score and residual score and provides an outline of the direction of travel for both current and forecast. This section of the report provides an analysis of the emerging risk issues associated with risks on the Register.

2.4 **Section 3 Overall Risk Heat Map:** uses a risk matrix quadrant to plot the residual risk scores in terms of likelihood and impact for each corporate risk in order to illustrate the distribution of corporate risks on the heat map. This section flags any key trends or issues in relation to the distribution of risk on the matrix.

2.5 **Section 4 Thematic Heat Map:** uses a similar risk matrix quadrant to plot the residual risk scores for each corporate risk by risk category. This provides a more holistic illustration of the distribution of risk by the different risk categories enabling a better understanding of the inter-relationship between risk themes. This also enables officers and members to view risk in a more cross-cutting/strategic light to identify if there is any need to address facets of risk through council-wide mitigating activity.

2.6 **Section 5: Corporate Risk Analysis:** This provides an overview and analysis of key aspects of risk in terms of the key risk issues to note in relation to the status of risks, direction of travel, forecast direction of travel and evolving risk developments .

2.7 **Section 6 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 is having a positive effect or in some cases is having a negligible effect. Equally the Risk Management Plan enables officers and members to flag risks where progress against actions has been slow/which may warrant further investigation.

2.8 **Section 7 Risk Action Exceptions:** This section provides reporting by exception (i.e. mitigating actions aligned to each corporate risk that have been assigned a red status for their progress). This enables officers and members to quickly identify and interrogate actions reporting a red status in relation to each risk. It lists each corporate risk and any corresponding actions that have a red RAG status and provides the corresponding commentary relating to that quarter.

2.9 There are 17 corporate risks on the Register. Six risks scored high, two risks scored medium/high, eight risks scored medium and one risk scored medium/low on the Register.

2.10 There has been some small movement in risk statuses during the third quarter of the year. The Project Zero risk has increased from a medium risk position (6) to a high status (12) reflecting the challenging circumstances we are currently operating in. By contrast the Brexit risk has decreased from a medium/high position (9) to a medium status (6).

2.11 In terms of forecast direction of travel, we anticipate that the legislative change & local government reform and integrated health & social care and Brexit risks will continue to diminish over time. The financial fragility risk, Project Zero, information security, market fragility and demand management and workforce risks are all anticipated to maintain an upward trajectory.

2.12 Good progress has been made during quarter 3 in relation to mitigations (actions) associated with the Risk Management Plans across all aspects of the Register. In total there are 329 mitigating actions currently being monitored via the Register. The majority of these are aligned to Corporate Plan Service Plan activity. During quarter 3, we have been able to assign a RAG status to 326 of these mitigating actions. Where it has not be possible to note a RAG status for an action, this is noted as N/A (not applicable) against the action in the Risk Management Plans.

2.13 At the end of quarter 3, a total of 92.3% (301) actions were Green (on track/completed) and 2.5% (8) were allocated an amber status for minor slippage and 5.2% (17) were allocated a red status to reflect slippage.

2.14 The Corporate Risk Summary Report is attached at **Annex A** . The Corporate Risk Register is published in full as **Annex B** which outlines the nature of each Corporate Risk in full.

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. Climate Change and Nature Implications

4.1 Within the Risk Register there is a corporate risk referred to as Project Zero. This corporate risk is defined as the failure to reduce our carbon footprint and mitigate against the impact/effects of climate change. The Project Zero risk identifies a wide range of climate change/nature related risks that are monitored and reviewed every quarter to ensure they reflect any emerging areas of risk/issues. The Project Zero risk has a Risk Management Plan that contains all risk related actions that will be undertaken during the year in order to further mitigate the associated risks and impact on climate change and the nature emergency. These risk actions are aligned to our Service Plans and the Annual Delivery Plan, which in turn are aligned to the Council's climate change programme of work known as 'Project Zero' and the associated climate change challenges as outlined in the Climate Change Challenge Plan. Monitoring risk in this way enables us to not only assess progress being made in relation to risk activity, but to also understand its contribution to the wider Project Zero programme.

4.2 Monitoring the Project Zero risk also provides an opportunity throughout the year for officers to consider any further mitigating actions that will enable us to further minimise the adverse consequences of our activities.

5. Resources and Legal Considerations

Financial

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

Employment

5.2 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)

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

6. Background Papers

Corporate Risk Management Strategy

VALE OF GLAMORGAN COUNCIL

CORPORATE RISK SUMMARY REPORT

QUARTER 3 APRIL 2022- DECEMBER 2022

Strong
Communities
with a Bright
Future

RISK DESCRIPTIONS & DEFINITIONS

Risk Ref	Risk	Scope
CR1	**Financial Fragility** **Appendix 1**	Inability to achieve/sustain a balanced budget and deliver key savings to address the financial challenges that lie ahead.
CR2	**Legislative Change & Local Government Reform** **Appendix 2**	Inability to appropriately respond/adapt to new and emerging legislative change and reform developments across the breadth of Council services.
CR3	**School Reorganisation & Investment** **Appendix 3**	Inability to invest in improving and developing the quality of our school buildings. This could result in schools no longer being 'fit for purpose' and not meet the Welsh Government's '21st Century Schools' agenda. Failure to effectively plan and provide sufficient school places to meet demand in relation to both English and Welsh Medium provision.
CR4	**Waste** **Appendix 4**	Failure to fund the national waste agenda and its associated targets.
CR5	**Workforce Needs** **Appendix 5**	Inability to anticipate and plan for workforce needs in the future in order to meet the changes in demand and provision of services.
CR6	**Information Security** **Appendix 6**	Failure to implement adequate information management controls and systems across the Council.
CR7	**Project Zero** **Appendix 7**	Failure to reduce our carbon footprint and mitigate against the impact/effects of climate change.
CR8	**Cost of Living** **Appendix 8**	The inability to effectively target our resources to reach those most in need and in particular to identify any areas of unmet need and the impact this has on demand management for our services. Risk to the Council's ability to maintain levels of service delivery and has the potential to disrupt our ability to achieve our wellbeing objectives and our key priorities.
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	**Brexit** **Appendix 13**	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.
CR14	**Additional Learning Needs (ALN)** **Appendix 14**	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.
CR15	**COVID-19** **Appendix 15**	Ability to address longer term impact of COVID on demand for our services, and the impact on our citizens and communities. E.g. rising demand, complexity of needs, 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.
CR16	**Market Fragility** **Appendix 16**	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.
CR17	**Demand Management & Service Capacity** **Appendix 17**	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.

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.

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

Risk Scoring Definitions

Inherent and Residual Risk Scoring

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

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

 See matrix below:

<table>
<tr><td rowspan="8" style="writing-mode:vertical-lr">Possible Impact or Magnitude of Risk</td><td rowspan="2">Catastrophic</td><td>4
MEDIUM</td><td>8
MEDIUM/HIGH</td><td>12
HIGH</td><td>16
VERY HIGH</td></tr>
<tr><td rowspan="2">High</td><td>3
MEDIUM/LOW</td><td>6
MEDIUM</td><td>9
MEDIUM/HIGH</td><td>12
HIGH</td></tr>
<tr><td rowspan="2">Medium</td><td>2
LOW</td><td>4
MEDIUM</td><td>6
MEDIUM</td><td>8
MEDIUM/HIGH</td></tr>
<tr><td rowspan="2">Low</td><td>1
VERY LOW</td><td>2
LOW</td><td>3
MEDIUM/LOW</td><td>4
MEDIUM</td></tr>
<tr><td>Low 1-2
Low/Medium 3
Medium 4-6
Medium/High 8-10
High 12-16</td><td>**Very Unlikely**</td><td>**Possible**</td><td>**Probable**</td><td>**Almost Certain**</td></tr>
<tr><td></td><td colspan="4">**Likelihood/Probability of Risk Occurring**</td></tr>
</table>

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

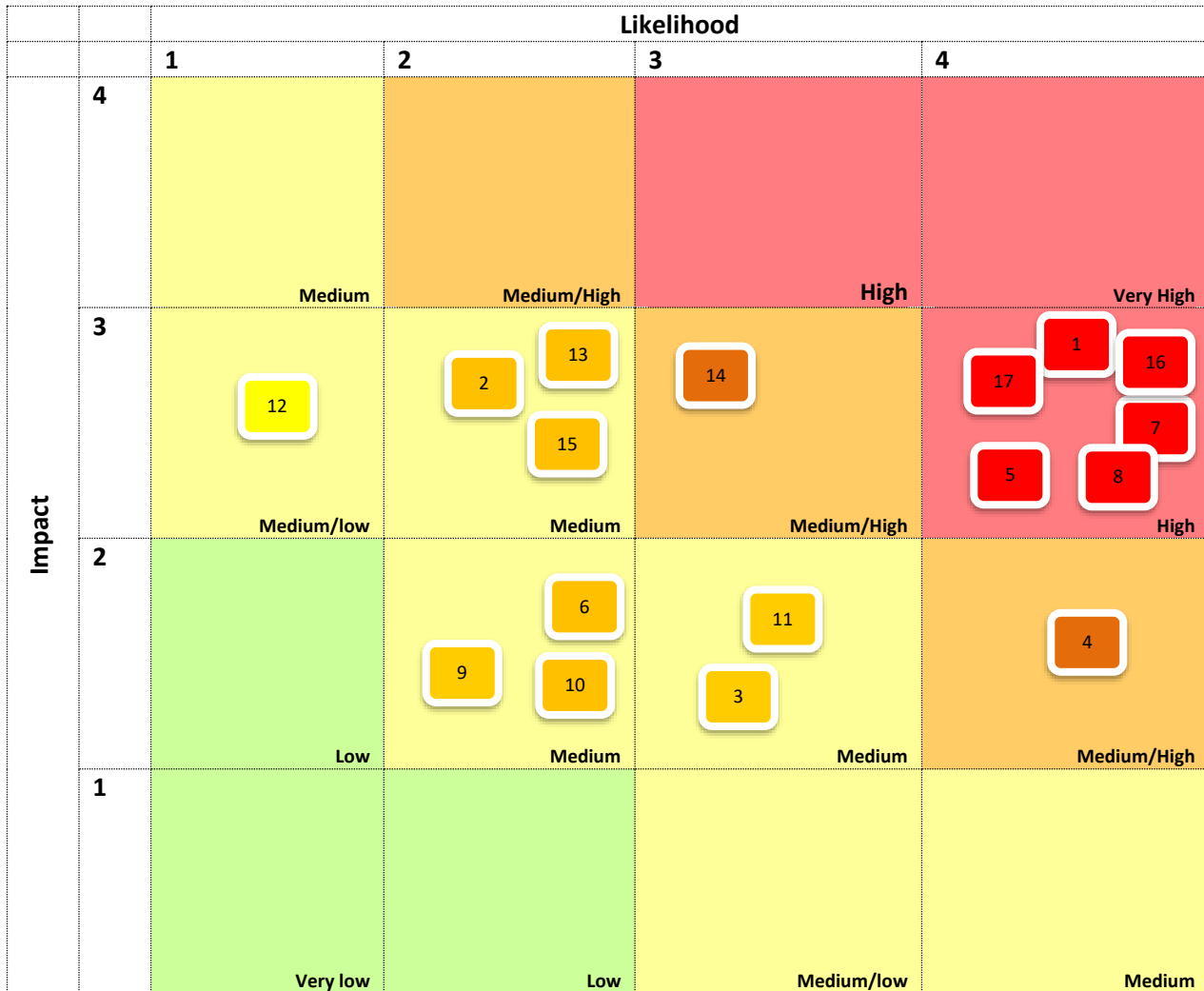| Score	Effectiveness of control
0	Very Low control of the risk
1	Low control of the risk
2	Medium control of the risk
3	High control of the risk
4	Very high control of the risk

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.

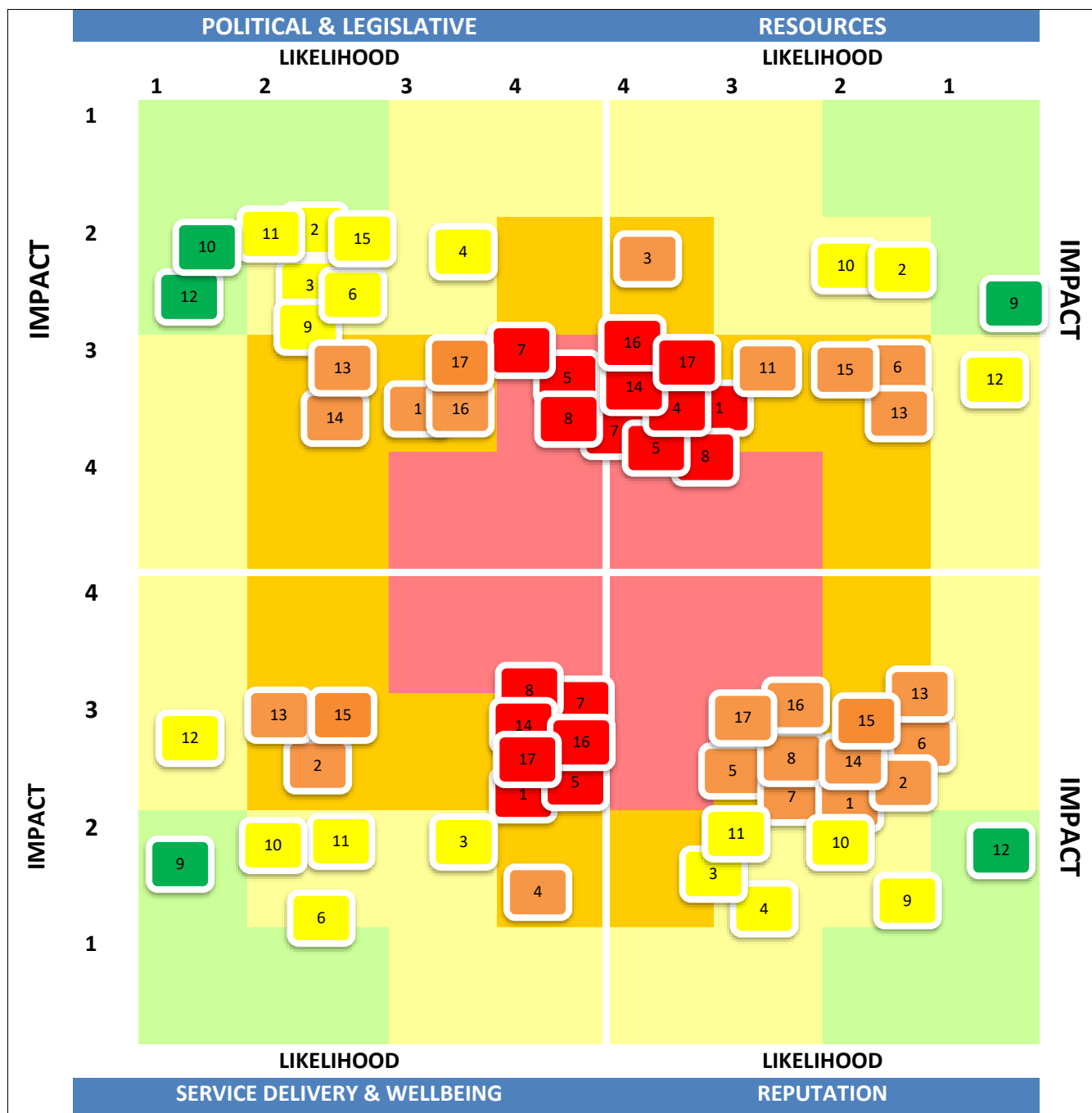| Risk Ref	Risk	Inherent Risk Score	Effectiveness of Controls score	Residual Risk Score			Direction of Travel	Forecast Direction of Travel
				Likelihood	Impact	Total		
1	Financial Fragility	12 (H)	2 (M/L)	4	3	12 (H)	↔	↑
2	Legislative Change and Local Government Reform	12 (H)	2 (M/L)	2	3	6 (M)	↔	↓
3	School Reorganisation & Investment	12 (H)	2 (M/L)	3	2	6 (M)	↔	↔
4	Waste	12 (H)	2 (M/L)	4	2	8 (M/H)	↔	↔
5	Workforce Needs	12 (H)	1 (L)	4	3	12 (H)	↔	↑
6	Information Security	12 (H)	4 (M)	2	2	4 (M)	↔	↑
7	Project Zero	12 (H)	1 (L)	4	3	12 (H)	↑	↑
8	Cost of Living	12 (H)	1 (L)	4	3	12 (H)	↔	↔
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)	6 (M)	1	3	3 (M/L)	↔	↔
13	Brexit	12 (H)	2 (M/L)	2	3	6 (M)	↓	↓
14	Additional Learning Needs	9 (M/H)	2 (M/L)	3	3	9 (M/H)	↔	↔
15	COVID-19	12 (H)	2 (M/L)	2	3	6 (M)	↔	↔
16	Market Fragility	12 (H)	1 (L)	4	3	12 (H)	↔	↑
17	Demand Management & Service Capacity	12 (H)	1 (L)	4	3	12 (H)	↔	↑

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.

Likelihood

		1	**2**	**3**	**4**
Impact	**4**	Medium	Medium/High	High	Very High
	3	12 — Medium/low	2, 13, 15 — Medium	14 — Medium/High	1, 16, 17, 7, 5, 8 — High
	2	Low	6, 9, 10 — Medium	11, 3 — Medium	4 — Medium/High
	1	Very low	Low	Medium/low	Medium

Risk Reference Glossary							
1	Financial fragility	6	Information Security	11	Integrated health & Social Care	16	Market Fragility
2	Legislative Change & Reform	7	Project Zero	12	Deprivation of Liberty	17	Demand Management
3	School reorganisation & investment	8	Cost of Living	13	Brexit		
4	Waste	9	Buildings compliance	14	Additional Learning Needs		
5	Workforce Needs	10	Safeguarding	15	Covid-19		

THEMATIC RISK HEAT MAP

This heat map groups risk scores by the thematics of political and legislative, resources, service delivery and wellbeing and reputation.

POLITICAL & LEGISLATIVE — LIKELIHOOD

RESOURCES — LIKELIHOOD

IMPACT

SERVICE DELIVERY & WELLBEING — LIKELIHOOD

REPUTATION — LIKELIHOOD

LIKELIHOOD

Risk Reference Glossary							
1	Financial fragility	6	Information Security	11	Integrated health & Social Care	16	Market Fragility
2	Legislative Change & Reform	7	Project Zero	12	Deprivation of Liberty	17	Demand Management
3	School reorganisation & investment	8	Cost of Living	13	Brexit		
4	Waste	9	Buildings compliance	14	Additional Learning Needs		
5	Workforce Needs	10	Safeguarding	15	Covid-19		

The section of the report provides an analysis of the position of risks on the Corporate Risk Register in terms of their overall risk status including their congregation on the heat maps, direction of travel and their and forecast trajectory. This section of the report also draws attention to corporate risks that are emerging/evolving which require further analysis.

Risk Overview

Six risks score high, two risks score medium/high, eight risks score medium and one risk scored medium/low on the Register. During the third quarter of the year, there has been some movement in risk statuses in relation to Brexit and Project Zero.

Direction of Travel:

The majority of risks on the Register have maintained their static position during the period with the exception of CR7: Project Zero and CR13: Brexit.

CR7 Project Zero

- The Project Zero risk has increased from a risk score of Medium (6) to a score of 12 giving it a high status. This elevation in risk score reflects the increasingly challenging circumstances we are operating in. This upward trajectory is reflective of the scale of both organisational and community change needed to reach our net zero goal by 2030. Further work is needed to maintain the momentum of the work programme to ensure that we can deliver the actions as set out in the Challenge Plan, as it is vulnerable to the effects of the finanical fragility risk. At a time when our we are increasingly looking to make financial savings, this has the potential to impact on the viability of some of our ambitious roject Zero programmes of work such as capital investment in new technologies/equipment etc. To help mitigate against these financial challenges the latest Project Zero update report highlighted that funding from reserves will be ringfenced to support delivery the Project Zero Programme. Findings from the 2021/22 Assurance and Risk Assesment review of the Council by Audit Wales recommended that in order to meet our net zero ambitions by 2030 that a fully costed action plan be developed aligned to the Medium-Term Financial Plan. This costing exercise will be undertaken alongside our consideration of how reserves should be utilised for the programme. As part of this process we will need to consider potential sources of funding / financial streams to ensure the Council is leveraging the funding needed alongside its revenue and capital budgets to deliver the Project Zero Challenge Plan over the medium to long-term. This work would enable the Council to address the Audit Wales' recommendation, to fully cost the Project Zero action plan and ensure it was aligned with the Medium-Term Financial Plan.
- The inter-conective nature of our key corporate risks, such as cost of living and financial fragility present a significant threat to Project Zero and our ability to meet our net zero goal. The rising cost of living is also likely to impact on our ability to empower citizens to change their behaviours and take an 'active role' in achieving our net zero goals.
- The other key area of challenge is that the majority of our carbon emissions are generated through our supply chain. Therefore, our abilty to decarbonise good/services is significantly challenging especially when we increasingly look to ways in which we can procure supplies and services over a more localised footprint in order to support/boost our local economy. However, in so doing many of the third parties we contract with are small businesses that may lack the capacity and investment for carbon reduction. Although the new Procurement Strategy and policy will put a greater emphasis on developing contracting arrangements that take account for the climate change agenda and the need to achieve carbon reduction, this will still remain an area of ongoing challenge.

CR13 Brexit

- The Brexit risk score has decreased from its medium/high risk score of 9 to a medium status (6). Although, the risks associated with Brexit still remain. The immediate concerns associated with the risk have been dissipated by the approval of the EU-UK Trade and Cooperation Agreement that was signed on the 30th December 2020.
- Although there are some risk areas outstanding such as the Northern Ireland Protocol and the dispute over fishing rights, the risks these present to the Council and our citizens as a whole have significantly diminished.
- Instead we are now seeing issues such as supply chain disruption, inflationary prices and staff shortages as a result of Brexit. However, these issues are no longer being solely driven by Brexit alone but are predominately fed by risks such as the cost of living, the war in Ukraine and the challenging economic and financial climate.
- The revised risk score is reflective of the current threat landscape. The risk will continue to remain on the Register to ensure Senior Leadership Team, Cabinet and all Members have oversight of the risk and any future developments.

Forecast Direction of Travel:
During the quarter 3 period, the forecast direction of travel statuses are as follows:

Risks forecast to diminish
- Legislative Change, Integrated Health and Social Care and Brexit risks are forecast to drop.
- It is forecast that **the Legislative Change and Local Government Reform risk** will continue to decrease over time. In line with last quarter's update, some duties outlined in the Local Government and Elections (Wales) Act 2021 have come into force and have now been implemented. This risk is likely to decrease further once the remaining duties of the Act become embedded.
- The **Integrated Health and Social Care** risk is forecast to continue to maintain its downward trajectory as the focus continues to be on the development and implementation of a new 'Alliance Model.'
- **The Brexit risk** is forecast to continue to move in a downward trajectory reflecting how the supply chain issues, inflationary pressures and staffing shortages are no long due to Brexit alone but are the result of the interaction of other risks associated with the cost of living, the war in Ukraine and economic and financial uncertainty.

Risks forecast to escalate
- There are six risks on the Register that we forecast will increase over the year, these are: information security, market fragility, demand management, financial fragility, workforce and Project Zero.
- **Market Fragility** and **Demand Management** risks remain on an upward trajectory in response to the ongoing capacity pressures facing both the Council and the externally commissioned care market. The pressures curently being witnessed across the NHS are being driven strongly (but not exclusively) by the severe capacity challenges across the social care. For example, there is lack of social care capacity in communities at a time when demand for social care is rising. In turn this is impacting on the ability of hospitals to discharge otherwise medically fit patients, which impacts on patient flow through the hospital and consequently bed capacity. Despite Social Services putting a raft of mitigations in place, it is not sufficient to fully mitigate against the capacity and demand pressures facing social care. Many of the issues remain outside our immediate control and requires whole scale reform of the social care system.
- **Information security –** This risk continues to maintain its upward trajectory. Although the Council has invested in its cyber resilience, the threat landscape continues to evolve, so requires ongoing monitoring to review and assess what further mitigations may be required.

- **Financial fragility-** Despite having a better than anticipated financial settlement from Welsh Government at the end of Qtr3, we anticipate this risk still has the potential to escalate. Going forward the Council will be focusing on setting its budget, whilst delivering on our savings. This is going to continue to put pressure on our finances into the medium-term period.
- The **Workforce risk** is forecast to increase, as it is intrinsically linked to financial and market fragility and demand management issues across the Council and consequently one impacts upon the other. For example, the significant demand being seen across social care and the lack of social care capacity in communities is continuing to compound recruitment challenges of domiciliary care staff. The rising demand for social care services is putting our budgets under additional financial pressure, which in turn impacts on the financial fragility risk.
- It is forecast that the **Project Zero** risk will maintain its upward trajectory exposing the scale of the challenge ahead in meeting our net zero goals by 2030. At present, there are not sufficient resources at our disposal in order to change behaviours and processes.

Heat Maps Overview
- The heat map for quarter 3 shows that the greatest number of risks continue to congregate at a medium status. However, as noted in previous quarters we have begun to see a shift in a proportion of risks moving into the high quadrant of the of the heat map. These include the workforce, cost of living, market fragility and demand management risks. Also, the recently redefined financial fragility risk has been allocated to the high end of the heat map.
- In terms of heat map positions based on the risk categories of political and legislative, resources, service delivery and wellbeing and reputation, the majority of risks continue to congregate around medium across all risk categories. However, as per last quarter there has been the emergence of a greater concentration of red (high) status risks in the resources and service delivery-based aspects of risks particularly in relation to the financial fragility, workforce, waste, Project Zero, cost of living, ALN, market fragility and demand management risks.
- The cost-of-living risk remains high (residual score of 12) across three of the four risk categories for political/legislative, resources and service delivery and wellbeing aspects of the risk. This continues to reveal the scale and cross-cutting impact the crisis is having not just on the Council but on our communities as a whole. It is also reflective of how despite putting in a variety of mitigations to support our citizens and staff, the limited control we have over fully mitigating this risk.
- The financial fragility risk has maintained its high status (residual risk score of 12) across two risk categories in relation to resources and service delivery and wellbeing and allocated a medium/high status in relation to political/legislative and reputation. This reflects the cross-cutting impact the cost-of-living crisis has had on our finances in terms of inflationary cost pressures, but also on uncertainty associated with funding and anticipated austerity that lies ahead. This presents a risk not only to our resources but to all aspects of service delivery, our political and legislative functions and to our reputation. This will require the council to work more innovatively to explore ways in which services can be sustainably delivered in the future.
- The ALN risk has a high status (residual risk of 12) across two risk categories of resources and service delivery and wellbeing). The Local Authority faces significant resource pressures from the ALN Act, as it places ultimate duty on local authorities to meet the ALN needs of children and young people. Additional resource and service delivery pressures are related to the expectation that the new ALN system will be truly bilingual. This kind of parity in provision is challenging in terms of the recruitment of bilingual staff, and the lack of specialist materials, assessments and specialist provision available through the medium of Welsh. There continues also to be significant uncertainty around how the new reform will work in meeting the needs of post-16 and the financial pressure this would put on our resources. The growing demand for ALN provision in relation to children and young people with complex autism and those with social and emotional health difficulties is further adding pressure on our resources and capacity to meet

their needs. Developing sufficient provision will remain an ongoing challenge for the service. Another pressure point is in relation to the recruitment and retention of ALNCOs in schools. Rising demand is putting existing ALNCOs under pressure and consequently many have resigned due to the lack of staffing capacity to meet the growing need.

- The workforce risk is in the high category of the quadrant (with a residual score of 12) across three risk categories (Political & Legislative, Service Delivery & Well-being and Reputation) this reflects that staff capacity and turnover continue to remain an area of primary concern affecting multiple aspects of our business. A lack of staff capacity and high turnover impacts on our ability to meet our statutory functions and challenges our capacity to deliver services effectively and maintain our reputation. This sustained pressure on our workforce capacity impacts negatively on the wellbeing of our staff, which in turn could result in higher turnover/absences.

- The Project Zero risk is in the high category of the quadrant (with a residual score of 12) across three of the four risk categories Political & Legislative, Resources and Service Delivery & Well-being), in recognition of the considerable challenge that lies ahead in securing sufficient resources, skills and capacity to enable us to meet our net zero goals by 2030. This risk is vulnerable to the effects of the financial fragility, cost of living and workforce risks.

- Both the market fragility and demand management & service capacity risks maintained a high-risk status (12) across all four risk categories. Despite putting a series of controls in place there are ongoing challenges that are outside our control and as such these controls are having a limited impact on the risk overall.

RISK MANAGEMENT PLAN- RAG STATUS OVERVIEW

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

- 92.3% (301) of actions were allocated a green status (completed or on track), 2.5% (8) were allocated an amber status for minor slippage and 5.2% (17) were allocated a red status (slipped) at the end of quarter 3.
- 100% of risk actions contained in the Risk Management Plans for Legislative Change & Local Government Reform, School Reorganisation & Investment, Waste, Public Buildings Compliance, Safeguarding, Integrated Health and Social Care, Unauthorised Deprivation of Liberty, Brexit, Additional Learning Needs (ALN), Market Fragility and Demand Management were Green and on track in terms of their progress at the end of quarter.

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: Financial Fragility	5.9% (2)	73.5% (25)	11.8% (4)	8.8% (3)	34	34
CR2: Legislative Change & Local Government Reform	33.3% (5)	66.7% (10)	N/A	N/A	15	15
CR3: School Reorganisation & Investment	N/A	100% (5)	N/A	N/A	5	5
CR4: Waste	12.5% (1)	87.5% (7)	N/A	N/A	8	8
CR5: Workforce Needs	9.7% (3)	64.5% (20)	9.7% (3)	16.1% (5)	33	31
CR6: Information Security	12.5% (1)	75% (6)	N/A	12.5% (1)	8	8
CR7:Project Zero	8% (4)	86% (43)	N/A	6% (3)	50	50
CR8: Cost of Living	18.6% (8)	69.8% (30)	2.3% (1)	9.3% (4)	43	43
CR9: Public Building Compliance	16.7% (1)	83.3% (5)	N/A	N/A	6	6
CR10: Safeguarding	10% (1)	90% (9)	N/A	N/A	10	10
CR11: Integrated Health & Social Care	7.1% (1)	92.3% (13)	N/A	N/A	14	14
CR12: Unauthorised Deprivation of Liberty Safeguards (DOLs)	N/A	100% (4)	N/A	N/A	4	4
CR13: Brexit	N/A	100% (11)	N/A	N/A	11	11
CR14: Additional Learning Needs (ALN)	N/A	100% (16)	N/A	N/A	16	16
CR15: COVID-19	7.9% (3)	89.5% (34)	N/A	2.6% (1)	39	38
CR16: Market Fragility	22.2% (2)	77.8% (7)	N/A	N/A	9	9
CR17: Demand Management & Service Capacity	16.7% (4)	83.3% (20)	N/A	N/A	24	24
Totals	11% (36)	81.3% (265)	2.5% (8)	5.2% (17)	329	326

RISK ACTION EXCEPTIONS (RED STATUS)

Risk	Action Ref	Action Description	Commentary
CR1: Financial fragility	RSR/PB002 (PB/A004)	Deliver phase 2 of replacement CRM (including the use of GOV service platform) with a focus on transformation and service user design to improve customer and staff satisfaction.	All services have been removed from oracle CRM and the next phase of development has commenced, including a focus on improving citizen experience of accessing Adult Social Care, Telecare and Blue Car Badge services. User Research capability and capacity is being developed working collaboratively with WLGA Digital Team and citizen involvement in the design and testing of services is due to commence in Q4. This work should be considered as business as usual rather than a new phase of the project.
	RSR/PB003 (PB/A008)	Develop the Council's website to better reflect user experience and provide better content that is useful to our citizens.	Working with WLGA Digital team to undertake a review of website content to ensure that services can be easily found and accessed. The results of this work are due in Q4 and will inform future content design. Development of user research and testing capability has continued with successful recruitment of "users" to test Gov Service functionality. This work is due to commence during Q4 and will inform future process design.
	RSR/HR025 (HR/A001)	Support organisational-wide change as part of the Council's new Transformational Change Programme, COVID recovery, Brexit and the climate and nature emergencies including any HR and OD issues that may arise.	Oracle project delayed due to ongoing issues with system readiness, due to launch in April 2023 on track for launch. Work currently underway to prep wider org on new system. Occupational Health Cohort System due to commence implementation in Feb 2023 - this should streamline occupational health processes removing the paper-based systems. Strategic workforce planning to form part of Spring Management Development Programme, commencing with SLT and HOS. People Strategy, Hybrid Working Strategy, Volunteer Policy, Pay Policy and Performance Management Process was discussed at the 2nd February Cabinet meeting.

Risk	Action Ref	Action Description	Commentary
CR5: Workforce	WFR/HR001 (HR/A001)	Support organisational-wide change as part of the Council's new Transformational Change Programme, COVID recovery, Brexit and the climate and nature emergencies including any HR and OD issues that may arise.	Oracle project delayed due to ongoing issues with system readiness, due to launch in April 2023 on track for launch. Work currently underway to prep wider org on new system. Occupational Health Cohort System due to commence implementation in Feb 2023 - this should streamline occupational health processes removing the paper-based systems. Strategic workforce planning to form part of Spring Management Development Programme, commencing with SLT and HOS. People Strategy, Hybrid Working Strategy, Volunteer Policy, Pay Policy and Performance Management Process to be discussed on the 2nd Feb Cabinet.
	WFR/HR005 (HR/A004)	Develop and implement a new Employee Engagement Strategy, including refreshing ongoing development of the Culture Book.	Proposal to be submitted to SLT 1st week of Feb following results of staff survey.
	WFR/HR006 (HR/A005)	Progress actions as part of the Council's People Strategy to address where possible issues relating to gender and ethnic minorities pay gaps.	The People Strategy is due to go to Cabinet on 9th February - this delay has resulted in the slippage. Staff Survey results have been presented to SLT and are due to be presented to Heads of Service in January, following this a proposal around the next steps of Engagement will follow in Feb/March. Employee Development progress continues; WTTV face to face programme has been revamped and will be followed by a refreshed online induction process from late January.

Risk	Action Ref	Action Description	Commentary
	WFR/HR008 (HR/A007) WFR/LD009 (LD/A009)	Review, enhance and embed our approach to workforce planning to inform key plans as aligned to the Council's Performance Management Framework and the Reshaping Programme. Deliver workforce planning with a focus on alternative service delivery and workforce implications ensuring reliance on small numbers of key staff is managed effectively.	Chief Officer Appraisal will be going to Cabinet in Feb 2023 for approval; Heads of Service will be briefed and consulted with in January/February. #Itsaboutme 2022 window has now closed and analysis of completion will commence and a proposal for future approach will follow. Workforce Planning is embedded across service areas such as Legal and Democratic, where there is a focus on alternative models, smarter, digital working, and measures/action taken where necessary to ensure resilience with key members of the team.
	WFR/HR013 (HR/A010)	Implement a Volunteering Strategy as part of the Well-being Strategy and work in partnership with the Public Services Board to implement the Move More, Eat Well Plan with a focus on workplace settings.	Paper will go to Cabinet in Qtr 4.
CR6: Information security	ISR/SRS013	Undertake a review of information security against GDPR regulations.	No progress to report during Qtr 3.
CR7: Project Zero	ESR/FS028 (FS/A024)	Prepare an updated Carbon Management Plan with appropriate recommendations and actions for 2023-2030.	The Carbon Management Plan 2023-2030 was in the process of being drafted, however the Energy Team has been significantly depleted during Q3 and therefore staff resources do not currently allow for the plan to be completed under the planned timeframe. Recruitment options are currently being considered to adequately resource the team and the CMP will take priority as soon as resource issues allow. It is hoped that the CMP can be completed during Q1 next financial year.

Risk	Action Ref	Action Description	Commentary
	ESR/HR058 (HR/A017)	Provide training for staff and Members on climate change as part of raising awareness, changing behaviours and transforming services.	No resource within the OD and Learning team to support this action currently; received no update from Project Zero board regarding additional support.
	ESR/HR059 (HR/A010)	Implement a Volunteering Strategy as part of the Well-being Strategy and work in partnership with the Public Services Board to implement the Move More, Eat Well Plan with a focus on workplace settings.	Paper will go to Cabinet in Qtr. 4
CR8: Cost of Living	CoLR/HR015 (HR/A012)	Build on good relationships with local education establishments (such as Cardiff University & Cardiff and Vale College) as well as independent Apprenticeship providers to expand the Council's Apprenticeship scheme offer, with a particular focus on underrepresented groups and 16–24-year-olds.	We have excellent relationships with the training providers and fully abreast of all apprenticeships currently on offer; the offering has been reduced over the last 6 months. We continue to struggle to engage manages with this as a recruitment option Need to have further conversations to determine the feasibility of Vale Academy given the budget restrictions.
	CoLR/HS029 (HS/A023)	Maximise the supply of Council rented accommodation by completing schemes at Hayes Road, Barry and St Cyres Road, Penarth and commence development of over 130 new Council Homes at 5 sites across the Vale of Glamorgan including Barry, Penarth and the rural Vale.	Hayeswood Road, Barry (53 units) - under construction but on hold due to the insolvency of Jehu PSL - completion anticipated February October 2023. St Cyres Road, Penarth (14 units) - under construction with completion anticipated April 2023. Coldbrook Road East, Barry (20 units) - under construction with completion anticipated March 2024.Colcot Clinic, Barry (12 units) - under construction with completion anticipated March 2024. Holm View Phase 2, Barry (31 units) - start on site March 2023. Maes y Ffynnon, Bonvilston (8 units) - start on site May 2023.

Risk	Action Ref	Action Description	Commentary
	CoLR/PB037 (PB/A006)	Work with partners through the Digital Inclusion Steering Group to address issues of digital inclusion across the Vale.	A wide range of support for residents who wish to improve their digital skills and gain access to digital services is offered through our get The Vale Online hub on the Councils website. Laptops and tablets continue to be offered through libraries and other services and these are often targeted at individuals who are more likely to be digitally excluded. Further work is required to assess the impact of data poverty on residents as a result of the cost-of-living crisis.
	CoLR/PB043 (PB/A037)	Maximise opportunities to signpost citizens to cultural and arts activities designed to enhance their mental health and wellbeing.	Work has begun to review customer facing email content generated through interaction with the Gov Service system. Testing has commenced to ascertain likelihood of citizens to click on links within the email content, the results of which will inform how these interactions can help support the promotion of cultural activities designed to enhance mental health and wellbeing.
CR15: COVID	CVR/HR015 (HR/A001)	Support organisational-wide change as part of the Council's new Transformational Change Programme, COVID recovery, Brexit and the climate and nature emergencies including any HR and OD issues that may arise.	Oracle project delayed due to ongoing issues with system readiness, due to launch in April 2023 on track for launch. Work currently underway to prep wider org on new system. Occupational Health Cohort System due to commence implementation in Feb 2023 - this should streamline occupational health processes removing the paper-based systems. Strategic workforce planning to form part of Spring Management Development Programme, commencing with SLT and HOS. People Strategy, Hybrid Working Strategy, Volunteer Policy, Pay Policy and Performance Management Process to be discussed on the 2nd February Cabinet.

1 – Risk Overview

1.1 Risk Description	**Failure to deliver a balanced budget to sustain services both now and into the medium-term.**

Financial fragility describes the vulnerability of an organisation's financial position to a financial crisis. In the context of risk financial fragility it is the inability to achieve/sustain a balanced budget and deliver key savings to address the financial challenges that lie ahead.

The financial climate has increasingly become volatile. The precarious financial situation has been caused by a multitude of factors that has created a 'perfect economic storm.' The pandemic and its associated lock downs had a significant impact on all global economies and trade. The major central banks responded to this immediate economic shock by 'printing money' via a measure known as quantitative easing[1]. This was done as a means to support economies through the Covid lock downs. However, a former Bank of England Chief, Lord Mervyn King has signalled that he felt that this action contributed to rising inflation[2]. In an interview, he outlined that the amount of money in the economy had grown rapidly at a pace that was bound to lead to higher inflation'[3]. The reopening of economies saw a surge in global demand for products at a time when supply chain disruption from Covid was still an issue. The ongoing effects from Brexit continued to cause delays and good shortages, which placed further inflationary pressures on goods. The energy market has also been a major contributor to rising inflation. At a time when demand for energy increased, our supply had reduced leading to a sharp global wholesale rise in gas/energy prices. Although this rise was originally driven by factors associated with supply and demand, the volatility in the energy market has been exacerbated by crisis in Ukraine and the ongoing threat that Russia could turn off gas supplies to Europe.

In response to the growing inflationary pressures and worsening economic outlook, the Chancellor at the time (Kwarsi Kwarteng), announced a mini budget which included a package of tax cuts as part of the UK Government's Growth Plan. The global markets quickly reacted to the Chancellor's mini budget, which saw the pound drop to an all-time low against the dollar[4]. Consequently, this led to the Bank of England stepping in to calm the markets by buying government bonds to restore market conditions[5]. Shortly afterwards, a new Chancellor was appointed (Jeremy Hunt), who then did a U-turn on almost all of the tax cuts. This did help stabilise the markets, but the Government's level of borrowing remains very high which could continue to destabilise the economy and the UK's financial position. The new Chancellor has also indicated some difficult decisions lie ahead and that spending cuts are inevitable[6]. The Government's position on this became clearer when the delayed fiscal plan was presented on the 17th November. The Autumn Statement included a package of £26billion of support in relation to the cost-of-living pressures that included the continuation of energy support[7]. This will see households on means-tested benefits receiving a £900 cost of living payment, with £300 for pensioners and £150 for people on disability benefits[8]. The Energy Price Guarantee will continue to provide support from April

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[1] BBC News, UK faces tougher austerity era-ex Bank Chief, 23rd October 2022
[2] BBC News, UK faces tougher austerity era-ex Bank Chief, 23rd October 2022
[3] BBC News, UK faces tougher austerity era-ex Bank Chief, 23rd October 2022
[4] BBC News, What happened to the UK economy, pound and mortgages this week? 30th September 2022
[5] BBC News, Bank of England steps in to calm markets, 29th September 2022
[6] BBC News, Warning of 'scary' spending cuts after tax U-turns, 18th October 2022
[7] UK Government Press Release, Chancellor delivers plan for stability, growth and public services, 17th November 2022.
[8] UK Government Press Release, Chancellor delivers plan for stability, growth and public services, 17th November 2022.

2023, but the cap will rise to £3,000[9]. The statement also included a 10.1% rise in benefits and the state pensions in line with inflation as well an increase in the National Living Wage to £10.42 per hour[10]. The Chancellor's statement also indicated that there would be other tax rises, such as an increase in the Energy Profits Levy (from 25% to 35%) and a new tax on extraordinary profits of electricity generators (at 45%)[11]. The threshold at which higher earners start to pay the 45p tax is due to be reduced from £150,000 to £125,000 and Income Tax, Inheritance Tax and National Insurance thresholds will all be frozen until April 2028 and from April 2023 Corporation Tax will rise to 25%[12]. In the Statement, the Chancellor confirmed that the second round of Levelling Up funding was to continue with at least £1.7billion in funding allocated for priority local infrastructure projects across the UK[13]. The Chancellor also outlined additional funding for some front-line services such as the NHS and Social Care[14]. Many of the announcements made as part of the Autumn Statement are applicable to Wales. But for those devolved areas where decisions don't apply UK-wide, the Statement outlined that the Welsh Government would receive around £1.2billion between 2023-24 and 2024-25[15]. At the time of writing, it was not yet known what our funding would be from Welsh Government for 2023/24, as the Welsh Government were dependent on the details outlined in the Autumn Statement. It is anticipated that the Welsh Government will announce our settlement in December.

Inflationary pressures are undermining our council finances driven primarily by rising costs of materials, supplies, pay awards, higher energy costs and fuel. In keeping with the national picture, the Council is facing significant deficit in its budgets. A Cabinet report on the 6th October 2022, forecast there will be a significant funding gap of £28.19M in 2023/24. The 3-year settlement announced in March 2022 provided indicative Aggregate External Finance (AEF) increases of 3.5% and 2.4% for 2023/24 and 2024/25. However, given the worsening economic outlook, the Council is not anticipating an improved settlement for 2023/24. The financial settlement for 2023/24 is not expected from the Welsh Government until the 13th of December. Council tax is anticipated to increase by 3.9% during 2023/24, but this remains for planning purposes only and is subject to decision at a later stage.

The report forecast cost pressures of £38.18M, but it is anticipated that additional Welsh Government grant funding and Council Tax (£9.918M) will offset part of this. The key driver behind these pressures includes:

- **Inflation**- creating cost pressures in the form of pay awards, energy costs as well the funding of social care placements, care providers and external waste and leisure contract costs.
- **Demographic**- There continue to be demographic pressures driving demand for council services. There are increasing pupil numbers across Vale of Glamorgan schools and a growing complexity of need coming from our ageing population and rising numbers of pupils with additional learning needs.
- **Investment**- pressures continue to exist where it has been identified services need to be further strengthened and improved, this is particularly the case where additional staffing capacity may be needed in order to deliver more efficient services. There is also pressure in terms of the staff pay grading review that seeks to address the erosion of differentials in low pay bands through the implementation of the Real Living Wage and the need to respond to the challenging

[9] UK Government Press Release, Chancellor delivers plan for stability, growth and public services, 17th November 2022.
[10] UK Government Press Release, Chancellor delivers plan for stability, growth and public services, 17th November 2022.
[11] UK Government Press Release, Chancellor delivers plan for stability, growth and public services, 17th November 2022.
[12] UK Government Press Release, Chancellor delivers plan for stability, growth and public services, 17th November 2022.
[13] UK Government Press Release, Chancellor delivers plan for stability, growth and public services, 17th November 2022.
[14] UK Government Press Release, Chancellor delivers plan for stability, growth and public services, 17th November 2022.
[15] UK Government Press Release, Chancellor delivers plan for stability, growth and public services, 17th November 2022.

recruitment market and in particular the difficulty in appointment to posts at a time when demand for services is soaring.

- **Other pressures**- Learning and skills have seen a steep rise in the take up of the Welsh Government's free school meals offer for Primary School children, there have also been rise in complex needs placements. There are several pressures within the Environment and Housing Directorate in relation to Bed and Breakfast provision. Duty for providing all homeless people temporary accommodation was introduced during the Pandemic and was funded through Covid-19 grant support. However, this funding support has now ended, but the duty still remains in place. Corporate Resources continues to carry £426K of unrealised savings across departments. However, requirements on the service departments have become more complex when demand and grant funding streams have increased. This will challenge the ability of the departments to be able to realise these savings at a time when there are increased demands being placed on the service. There are also additional cost pressures associated with the Council's participation in the City Deal Joint Committee, where a contribution to the Capital funding programme has been agreed for its investment programme.

The Council has been consulting with elected members on the financial position and are currently reviewing the financial strategy for 2023/24, funding and cost assumptions going forward. Officers have been reviewing the cost pressures across their services and have been asked to identify savings proposals to be brought forward for consideration in order to address the budget gap, so that the Council can set a balanced budget in March 2023.

1.2 Risk Owner	Head of Finance/S151 Officer (MB)

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	Political and legislative repercussions of failing provide statutory and priority services. Inability of political and senior leadership to safeguard council's finances and deliver cohesive budget strategy to tackle the funding deficit and deliver sustainable services. Failure to develop alternative approaches to service delivery which can be sustained into the long term to ensure services remain accessible and meet needs, could result in political instability.

1.4 Risk Categories		
Categories	Yes/No	Definition
Resources	Yes	Projects fail to develop and deliver financial savings targets as outlined in the Council's Medium Term Financial Plan. Failure to develop and mobilise staff skills and capacity to respond effectively to new ways of working. Failure to mobilise our resources, assets and technology effectively to achieve our savings targets and deliver services in a cost effective and efficient way. Inability to progress and secure income generation opportunities. Loss of grant funding schemes impacting on our overall income to deliver key programmes of work. Inability to meet target collection rates for Council Tax and Business Rates results in reduction of income. Lack of funding to capitalise on 'invest to save' initiatives. Welsh Government settlement below the anticipated 3.9% uplift increases our funding deficit and places further pressure on identifying and achieving more savings.
Service Delivery and Wellbeing	Yes	Failure to maximise opportunities to sustain service delivery and mitigate the impact of budget reductions via alternative methods of service delivery. Failure to safeguard the well-being of individuals and communities and provide services which meet the diverse needs of the local community. Failure to continue to provide priority services and engage with customers in the provision of services. The Council fails to communicate and engage effectively with service users and partners to manage expectations regarding service delivery and successfully deliver alternative ways of working. Inability to respond effectively to the changing economic landscape could impact on our ability to meet the changing needs of our communities and our capacity to adapt our services to ensure longer term viability. Failure to effectively engage with our key partners (including the Third Sector) to deliver cost-effective and integrated services that are sustainable both now and in the future.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
Reputation	Yes	Failure to meet our statutory service obligations could lead to a loss of public trust and confidence and result in negative publicity. Lack of credibility and potential criticism from our external regulators. Failure to communicate effectively with the public and key stakeholders regarding the current financial position undermines their trust and our transparency in being able to overcome the financial challenges that lie ahead.

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	• Challenge process in place to identify potential projects. • Mix of service specific and corporate projects that lessen impact on front line services.	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• 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.			
Resources	• Regular monitoring of savings by Cabinet, Programme Board and Scrutiny Committees. • Programme board and managers assigned, with project team resources considered for each project. • Council's Financial Resilience considered good by WAO. • Business cases developed for projects and guidance in place. • The management development programme has concentrated on the introduction of the core competency and management competency frameworks. • The Council have commissioned the SOCTIM Advisory group to support the development of a new Digital Strategy where the focus will be on utilising new digital technologies to improve services, whilst minimising costs. • Website refreshed Office 365 - roll out across the organisation. • Continuation of Granicus roll out. Work focused on improving online processes continues to progress. • As part of the Procurement work, Third Party Spend targets are well established for service areas. Guidance has been provided and monitoring of contract arrangements are in place. • The income generation and commercial opportunities continue to be explored for income generation. This will remain a key feature going forward in order to balance the budget. • Fee structures and reporting processes are in place for income generating services. • Financial tracker put in place once budget has been set to manage all savings.	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Service Delivery & Well-being	• Business cases consider non-financial implications of any proposed changes. • 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 enable us to effectively support our most vulnerable citizens in their communities.	1	1	1
Reputation	• Risk management contained within project documentation. • Regular updates to Cabinet and Programme Teams on status of the programmes of work. • Consultation on the Council's budget annually includes questions relating to our approach to making efficiency savings. • 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 under way. Progress and outline of financial pressures in medium term as well as strategy for 2023/24 budget presented in Cabinet report on 6th October. Officers reviewed cost pressures and savings proposals in October/November. Wider budget consultation due to commence in January 2023 with final budget due to be agreed in March 2023.	1	1	1
Overall Effectiveness of Controls		**1**	**1**	**1**

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	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 (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/PB001 (PB/A010)	Lead on the delivery of a new Transformational Change Programme with an emphasis on community, resources and new ways of working.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T Bowring/JR	March 2023	**Green (On Track)**
RSR/LD028 (LD/A002)	Support current and future organisational challenges as part of the Council's Transformational Change Programme.										DM		
RSR/RP029 (RP/A003)	Deliver the next phase of the Council's Transformational Change Programme that puts in place new ways of working to respond to current and future community needs and organisational challenges including COVID recovery, Brexit and the climate and nature emergencies.										MG/PC		
RSR/NS035 (NS/A004)	Deliver the next phase of transformation in respect of Brexit, and the Council's declared nature emergency including finding solutions for the supply and cost of												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	parts for vehicles, cost of construction materials, additional HGV drivers and additional technical engineers.												
ACTION UPDATE:	The three critical challenges contained in the ADP have been identified alongside emerging proposals for the budget for 2023/24. This work is now shaping proposals for delivery for the next financial year. Support continues to be provided by Legal and Democratic Services for delivery of the transformational change programme via Senior Leadership Team meetings. The Shared Prosperity Local Investment Plan sets out that the actions within it all hook to climate changes, cost of living and the impacts of covid and brexit. This was approved in Q3 and will begin an open call for projects in Q4 for external projects. Continued hybrid working arrangements with particular emphasis on office cover for new student placements. Online RLDP workshop and implementing hybrid planning committee. Projects have been identified that support the Cost-of-living crisis and climate emergencies in the form of grant schemes and greening projects. A report will be taken to Cabinet in December 2022 to take forward shared prosperity project themes. Within Neighbourhood Services, apprenticeships were completed on 31/12/2022. Fitter post will be advertised in Q4. HGV motor vehicle fitter training has been delayed.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/PB002 (PB/A004)	Deliver phase 2 of replacement CRM (including the use of GOV service platform) with a focus on transformation and service user design to improve customer and staff satisfaction.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/TC	March 2023	**Red (Slipped)**
ACTION UPDATE:	All services have been removed from oracle CRM and the next phase of development has commenced, including a focus on improving citizen experience of accessing Adult Social Care, Telecare and Blue Car Badge services. User Research capability and capacity is being developed working collaboratively with WLGA Digital Team and citizen involvement in the design and testing of services is due to commence in Q4. This work should be considered as business as usual rather than a new phase of the project.												
RSR/PB003 (PB/A008)	Develop the Council's website to better reflect user experience and provide better content that is useful to our citizens.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/TC	March 2023	**Red (Slipped)**
ACTION UPDATE:	Working with WLGA Digital team to undertake a review of website content to ensure that services can be easily found and accessed. The results of this work is due in Q4 and will inform future content design. Development of user research and testing capability has continued with successful recruitment of "users" to test GovService functionality. This work is due to commence during Q4 and will inform future process design.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
RSR/PB004 (PB/A009)	Review the Council's Contact Strategy to ensure that our services are accessible to all our citizens.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/TC	March 2023	**Green (On Track)**
ACTION UPDATE:	This work is being considered in line with the development of a new digital strategy for the Council.												
RSR/PB005 (PB/A005)	Involve our citizens in the development of services and how they are accessed to inform service design and delivery.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T Bowring/TC	March 2023	**Green (On Track)**
ACTION UPDATE:	Work with WLGA has continued to improve capability in user research, useability and fundability testing. Citizen testers have been recruited and work will commence in Q4 to involve users in service design for Adult Social Care and useability testing for a range of existing citizen facing digital services												
RSR/PB007 (PB/A012)	Work with Social Services to review Telecare services.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/TC/JR	March 2023	**Green (On Track)**
ACTION UPDATE:	Work to develop a new online offering for telecare is progressing. Customer Relations has supported the implementation of a new lifting service for telecare client provided by St John Ambulance Service. Opportunities to develop grow and develop the service are being explored. A pilot process has been put in place to refer clients who have fallen to primary care health services so that medical intervention can be undertaken to reduce the risk of further falls and / or hospital admissions												

Risk Action Ref.	Action	Risk 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/PB009 (AS/A014)	Create a sustainable and integrated model for single point of access to Well-being Matters services (via the Contact Centre).	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	This work continues to progress with ongoing discussions across the Council and UHB, along with third sector partners. We continue to meet regularly to undertake workstreams around revisiting the integrated structure, recruitment and branding of the Wellbeing Matters service.												
RSR/PB010 (AS/A001)	Development of online referral forms via website to improve quality of referral advice and to support faster access to information and signposting and into care and support services as required.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	Slow progress. The implementation and training on the new Granicus system has taken priority over service developments, but now that it is in place, a renewed focus on creating on-line referral forms will be implemented.												
RSR/PB011 (AS/A010)	Explore the development of intermediate care services and how this can enhance and support existing service provision.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	We have commissioned St Johns ambulance to provide a Vale Falls Service which started on 1st October 2022 offering a 24/7 pickup services to all Telecare customers. We are working with VCRS, and NHS falls clinicians to provide rapid access to information and therapies to all people contacted by the falls services with the aim of in minimising falls risk in the future.												

Risk Action Ref.	Action	Risk 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/CS0012 (CS/A006)	Agree and implement the future operating model for CYPS in the context of the Council's Transformation agenda and 'Eich Lle'- 'Your Space' project.	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2023	**Green (On Track)**
ACTION UPDATE:	The second workshop took place with wider members of SMT. Establishment numbers/ survey findings were reviewed and options going forward were explored. Storage requirements inventory completed for RMS. This will now be extended to CYPS and AS.												
RSR/ALN018 (ALN/A005) RSR/SP019 (SP/A004)	Ensure that appropriate exit and forward planning strategies are in place for ESF funded projects to minimise service disruption and ensure sustainable services.		☑	☑	☑				☑	☑	DD/MD MD/TR	March 2023	**Green (On Track)**
ACTION UPDATE:	Work continues with Welsh Government about Communities for Work close-down. Timelines have been received from Welsh Government. Inspire 2 Achieve and Inspire 2 Work have now closed to new participants, where both held celebration events. Confirmation from UK Government has been received that Shared Prosperity Fund plans have been approved – we await a formal funding letter prior to initiating the project. Internal processes have also confirmed that the local delivery plan meets required needs. Indicative financial allocations have been sent by Welsh Government for Communities for Work Plus (CfW+) for 2023/24 and a delivery plan is under construction. The CELT project finished in December and reports are being drafted. Profile has over-achieved with 82 participants registered and 27 Job outcomes. Most participants have now been exited.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	The Youth service has reshaped its targeted team to deliver a new programme aimed at preventative measures and those identified via EIT data as 'at risk' of becoming NEET (Not in Education, Employment or Training). This programme has a working title of 'Strive' until we hear if any finances will come from the Shared Prosperity Funding. Post 16 will be heavily impacted by the new Youth Guarantee project being led by C4W and C4W+; additionally, we will have a post16 tracker for destination data who will lead on door knocking and identifying those within sixth forms to better enhance our data of Yr12 and Yr13 school leavers.												
RSR/SL019 (SL/A001)	Implement the Council's new Digital Strategy, focusing on expanding online services and the range of digital methods used to engage and communicate with Vale of Glamorgan citizens, whilst reducing office space and travel.		☑	☑		☑			☑	☑	T Baker/NW	March 2023	**Green (On Track)**
ACTION UPDATE:	SOCITM Advisory have now been commissioned to carry out the work as described in the Q2 update. Project initiation was set for the 10th January 2023, and the work will be completed in this financial year as planned.												

Risk Action Ref.	Action	Risk 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/FS021 (FS/A004)	Undertake engagement with Vale of Glamorgan citizens on budget issues to inform the Council's budget and its Transformational Change Programme for 2022/23.		☑	☑	☑	☑		☑	☑	☑	MB/GJ	March 2023	**Amber (Minor Slippage)**
ACTION UPDATE:	The budget consultation will be undertaken in January 2023 following the WG settlement on the draft budget proposals, the consultation will be informed by other consultations carried out during the year.												
RSR/FS022 (FS/A017)	Reshape procurement practices and policies to ensure our procurement activities contribute to the national Well-being Goals, support work around climate change, community benefits, response to challenges as a result of Brexit and build on the foundational economy project.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MB/GJ	March 2023	**Green (On Track)**
ACTION UPDATE:	Due to go to Cabinet for approval Feb/ Mar 2023. Currently out for Consultation with a range of suppliers. SLT and Insight board happy with the document.												

Risk Action Ref.	Action	Risk 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/FS023 (FS/A006)	Review our primary office accommodation as part of our move to Hybrid Working arrangements and make appropriate recommendations.		☑	☑		☑		☑	☑	☑	MB/GJ	March 2023	**Green (On Track)**
ACTION UPDATE:	Detailed review work has been ongoing with key service areas to understand their office requirements as part of the Eich Lle project. This work is nearing completion and will form the basis of a report and recommendations to SLT/Strategic Insight Board and Cabinet in Q4.												
RSR/FS024 (FS/A009)	Continue to deliver the Reshaping budget and savings programme and part of wider Budget Strategy to 2025.		☑	☑		☑	☑		☑	☑	MB/GJ	March 2023	**Green (On Track)**
ACTION UPDATE:	Draft Budget proposals setting out a balanced budget will be reported to Cabinet in January. Significant work to identify and challenge, savings, cost pressures and reserves have been undertaken in recent months.												

Risk Action Ref.	Action	Risk 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/HR025 (HR/A001)	Support organisational-wide change as part of the Council's new Transformational Change Programme, COVID recovery, Brexit and the climate and nature emergencies including any HR and OD issues that may arise.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2023	**Red (Slipped)**
ACTION UPDATE:	Oracle project delayed due to ongoing issues with system readiness, due to launch in April 2023 on track for launch. Work currently underway to prep wider org on new system. Occupational Health Cohort System due to commence implementation in Feb 2023 - this should streamline occupational health processes removing the paper-based systems. Strategic workforce planning to form part of Spring Management Development Programme, commencing with SLT and HOS. People Strategy, Hybrid Working Strategy, Volunteer Policy, Pay Policy and Performance Management Process was discussed at the 2nd Feb Cabinet meeting.												

Risk Action Ref.	Action	Risk 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/RP029 (RP/A001)	Continue to focus on developing the digital delivery of services focusing on productivity and customer experience.	☑	☑	☑	☑	☑			☑	☑	MG/PC	March 2023	**Green (On Track)**
ACTION UPDATE:	Team across regeneration and planning will be carrying out reviews of current web pages including Visit the Vale with a view to reorganising the pages. A new updated planning register to include better mobile functionality has been ordered and should be delivered by the Spring.												
RSR/RP030 (RP/A015)	Work with colleagues in Financial Services to develop an investment strategy for the Council with a focus on economic growth, regeneration and climate change.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG/PC	March 2023	**Green (On Track)**
ACTION UPDATE:	This investment plan work will be completed in Q4 and links closely to the growth programme for Barry.												
RSR/RP031 (RP/A012)	Work with communities, businesses and third sector organisations to support them in the delivery of new projects and in shaping local services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG/PC	March 2023	**Green (On Track)**
ACTION UPDATE:	Extensive work has been undertaken by the new Creative Communities team in Q3 on Penarth Esplanade around the community consultations on the future of the area. This team will also be working across the county on similar projects.												

Risk Action Ref.	Action	Risk 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/RP032 (RP/A013)	Develop and implement a sustainable Economic Growth Plan with a particular emphasis on employment land and town centres.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG/PC	March 2023	**Green (On Track)**
ACTION UPDATE:	The Barry Place Making Plan will be completed in Q4.												
RSR/HS033 (HS/A004)	Contribute to the Council's Transformational Change Programme by developing a new Housing Solutions Delivery model considering the impact of the pandemic and changing homelessness legislation.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI/NJ	March 2023	**Green (On Track)**
ACTION UPDATE:	Rapid Rehousing Transition Plan has been completed and will be considered by Cabinet in February. Draft version has been submitted to Welsh Government for comment and new Rapid Rehousing Lead post has been advertised to lead on the implementation of the transition plan. Interviews took place on the 5 Jan 2023.												

Risk Action Ref.	Action	Risk 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/HS034 (HS/A003	Implement the new Housing Software System and deliver a Digital Transformation Strategy for Housing and Building Services.	☑	☑	☑	☑	☑			☑	☑	MI/NJ	March 2023	**Green (On Track)**
ACTION UPDATE:	The Responsive Repairs - Contractors system is scheduled to go into test in the new calendar year and the programme for phase two which incorporates much of the base system for housing have been set out in timetable for all modules to be completed during 2023/24												
RSR/NS036 (NS/A039)	Review and implement options for community organisations to operate facilities such as sports grounds, parks, open spaces, allotments and public conveniences including the preparation of necessary reports to Cabinet which (if approved) will be implemented to assist with reshaping savings.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI/NJ	March 2023	**Green (On Track)**
ACTION UPDATE:	Allotments have made progress to date. Waiting list updated, inspection undertaken regularly. Also turnaround of allotments has increased. Received funding from WG for a phased approached. This will allow for additional works to be carried out from within the budget. i.e. Fencing for security, replacement signage. Also assist with clearing sites. First application submitted for Grant Application and funding received. Dave Knevett - A presentation has now been made to Business Cabinet and final alterations are now being made to the proposed Cabinet report that should be presented in the final quarter 4. - There are ongoing discussions with Penarth Civic Society to include voluntary work to the Italian Gardens (Penarth), Penarth Beach cleaning through the Penarth Beach Warden Service and in quarter 4 it is likely that these will be formalised.												

Risk Action Ref.	Action	Risk 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/NS037 (NS/A008)	Secure income from enforcement, inspections and fleet sponsorship.		✓	✓					✓	✓	ER/KP/GG/CS/MC	March 2023	**Green (On Track)**
ACTION UPDATE:	The inspector responsible for all utility activity on the adopted highway is now fully trained and competent within his role following on from recent appointment, therefore inspection charges, fines and overruns (with support from officers) are continuing to be raised and generate income for the council.												
RSR/NS039 (SRS/A003)	Formulate and progress the next SRS three-year financial programme (2021-2024) with all three partner Councils.	✓	✓	✓	✓	✓	✓	✓	✓	✓	HP	March 2023	**Green (Complete)**
ACTION UPDATE:	The huge uncertainty currently affecting public sector finances means that it has not been possible to plan budgets beyond the coming financial year (2023-24).												
SUGGESTED NEW ACTION	Undertake a review of savings proposals that is subject to internal challenge.	✓	✓	✓	✓	✓	✓	✓	✓	✓	All HoS	December 2023	**Green (On track)**
ACTION UPDATE:	All Directorates have put forward savings proposals and they have been discussed collectively at SLT throughout the quarter, in order to identify options for delivering financial savings.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SUGGESTED NEW ACTION	Develop a Savings Strategy to explore how cost pressures can be mitigated and where possible further investment is needed to reduce future costs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/MB and all Directors/HoS	March 2023	**Green (On track)**
ACTION UPDATE:	All Directorates have put forward savings proposals and they have been discussed collectively at SLT throughout the quarter, in order to identify options for delivering financial savings. This will help to inform our Savings Strategy for 2023/24 and future years.												
NEW ACTION	Undertake a review of existing income generation and identify potential revenue generating opportunities.	☑	☑	☑	☑			☑	☑	☑	TB and all Directors/HoS	March 2023	**Green (On track)**
ACTION UPDATE:	Existing fees and charges have been reviewed and proposed changes will be reported in January.												
NEW ACTION	Undertake council-wide service reviews to evaluate service viability.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB and all Directors/HoS	March 2023	**Amber (Minor slippage)**
ACTION UPDATE:	Reviews of services have commenced as part of identifying cost pressures and savings proposals.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
NEW ACTION	Work with Third Sector to explore alternative service delivery models.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2023	**Amber (Minor slippage)**
ACTION UPDATE:	Work on specific projects such as Warm Spaces and tackling food insecurity have continued during the quarter, further exploration will be undertaken once savings proposals or service changes have been identified.												
NEW ACTION	Refresh of the Corporate Asset Management Plan to ensure service delivery models are fit for the future.		☑	☑		☑	☑	☑	☑	☑	LC	March 2023	**Green (Completed)**
ACTION UPDATE:	A refresh of the Corporate Asset Management Plan for 2023-28 has been completed and is due to be reported to Cabinet in February for approval.												
NEW ACTION	Establish a Contracts Register to support forward planning for procurement.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MB	March 2023	**Amber (Minor slippage)**
ACTION UPDATE:	Cabinet will consider the new Procurement Strategy and Policy in February. Initial considerations have been given to options for the development of the procurement function, including a Contracts Register.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
NEW ACTION	Undertake a review of Council reserves to assess level of reserve that should be maintained, evaluate existing commitments to these reserves and to ensure reserves are aligned with risks.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/MB with Directors	March 2023	**Green (On track)**
ACTION UPDATE:	Review of reserves completed as part of developing budget proposals, including proposals to reduce the number of different reserves and align these with risks to the organisation.												

1 – Risk Overview	
1.1 Risk Description	This risk focuses on how we respond to new and emerging legislative requirements, particularly where the nature of the legislation is cross-cutting in terms of the impact it has on a variety of service areas. There is the risk that there is a failure to be able to effectively co-ordinate the implementation of significant legislative change across the breadth of Council services/functions. This applies to key pieces of legislation such as the Local Government & Elections (Wales) Act 2021.
	The Local Government and Elections (Wales) Act 2021, in terms of reforming Local Government sets out a series of provisions, including:
	- The reforming of electoral arrangements for local government - A general power of competence for principal councils and eligible community councils - Reforming public participation in local democracy - The leadership of principal councils, including to encourage greater diversity amongst executive members and establishing a statutory position of chief executive - The development of a framework and powers to facilitate more consistent and coherent regional working mechanisms through the establishment of Corporate Joint Committees (instigated either by two principal councils or by Welsh Ministers) - A new system for performance management and governance based on self-assessment and peer review, including the consolidation of the Welsh Ministers' support and intervention powers - Powers to facilitate voluntary mergers of principal councils and restructuring a principal area - Local government finance including non-domestic rating and council tax
	As a result of the pandemic, scrutiny of the Local Government and Elections (Wales) Act was delayed. Stages 2 and 3 of the scrutiny process resumed at the latter end of 2020 before the Bill was agreed in Plenary by the Senedd on 18th November 2020. The Bill became an Act when it received royal assent on the 20thJanuary 2021. In preparation for this legislation gaining royal assent, the Council has developed an action plan through which key requirements of the Act are addressed. This action plan has been referenced in the Risk Management Plan through the extraction of some high-level actions that contribute to mitigating risks associated with implementing new requirements of the Act.
1.2 Risk Owner	**Senior Leadership Team**

1.3 Impact on our contribution to the Wellbeing Goals

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

1.4 Risk Categories

Categories	Yes/No	Definition
Political & Legislative	Yes	Political and legislative repercussions of failing to meet the requirements of the Local Government and Elections (Wales) (LG&E) Act 2021 could lead to litigation, fines and/or political instability. Failure to respond appropriately to the changes required by the LG&E Act 2021 regarding public participation, performance management and leadership of Councils. 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. The pandemic brings with it an increased risk of challenge (from Welsh Government and/or regulatory perspective) and the potential for litigation if there is a failure to implement/meet new requirements of the LG&E Act.
Resources	Yes	Insufficient funding to ensure that we can meet our legislative requirements associated with the LG&E Act. 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. At a time when our resources have been diverted and repurposed to business-critical areas in response to coronavirus, there is a risk that this could impact on our ability to have capacity to put in place appropriate preparations for new legislative requirements. e.g. LG&E Act.

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

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

2.2 Controlling Inherent Risk				
Category	• Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	• Cabinet and Corporate Management Team take overall responsibility for monitoring and responding to developments relating to legislative change. • 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. • Guide to the Constitution published by 5 May 2022	2	2	4
Resources	• 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. • Public Participation Strategy and e-petitions was approved by Cabinet in April 2022	2	1	2
Service Delivery & Well-being	• We have developed and agreed a new 5-year Corporate Plan that sets out our vision of 'Working together for a Brighter Future'. The Plan sets out four new Well-being Objectives and	2	1	2

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	how it will contribute to delivery of the Well-being Goals.			
Reputation	• Regular meetings and liaison with Audit Wales, WLGA and Welsh Government, City Deal and various other professional networks on progress being made on delivering our LG&E Action Plan.	2	1	2
Overall Effectiveness of Controls Score		**2**	**1**	**2**

2.3 Residual Risk Scoring & Direction of Travel											
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	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/FS001 (FS/A015)	Review investment proposals and review existing arrangements in the context of general power of competence for Local Authorities.	☑	☑	☑	☑	☑			☑	☑	MB	March 2023	**Green (On Track)**
ACTION UPDATE:	Draft plan in circulation to be signed off in January.												
LCR/LD002 (LD/A004)	Work in partnership with Policy & Business Transformation colleagues to deliver aspects of the Public Participation Strategy, including introducing e-petitions.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DM/JR/VD	March 2023	**Green (Completed)**
ACTION UPDATE:	Public Participation Strategy and e-petitions have been approved by Cabinet in April 2022 in readiness for the statutory obligation taking effect on 5 May 2022. Work is ongoing with colleagues in the Comms Team to ensure that the strategy and scheme are promoted.												
LCR/LD003 (LD/A010)	Continue the review following the Local Government and Elections (Wales) Act 2021 to further embed Local Government and Elections (Wales) Act 2021 requirements	☑	☑		☑	☑	☑	☑	☑	☑	DM/JR	March 2023	**Green (On Track)**
ACTION UPDATE:	The Action Plan continues to be monitored by the Officer Working Group. A further report was submitted to the Council meeting in September, 2022 further amending the Councils Constitution in regard changes to the Councils Financial Procedure rules. Further statutory guidance is still awaited from WG.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/LD004 (LD/A011)	Publish a revised Council Constitution and corresponding guide in line with the Local Government and Elections (Wales) Act 2021.	☑			☑	☑		☑	☑	☑	DM/JR/VD	March 2023	**Green (Completed)**
ACTION UPDATE:	Addressed prior to the Local Government Elections in May 2022 to meet the statutory deadline for the introduction of a Guide to the Constitution published by 5 May 2022. A further review is pending of both the Constitution and the Guide to the Constitution following the publication of Welsh Government guidance, statutory guidance and Direction relating to the same which is anticipated in Autumn 2022. The Council fed into the Welsh Government consultation which closed on 22 July 2022.												
LCR/LD005 (LD/A012)	Ensure the delivery of a comprehensive induction programme, training and support for members following the 2022 local government elections.	☑	☑		☑			☑	☑	☑	DM/JR/VD	March 2023	**Green (On Track)**
ACTION UPDATE:	The Member Development Induction Programme agreed by Cabinet in readiness for implementation has been completed following the recent LG Elections the new cohort of Members and Co - Opted Members have been inducted.												
LCR/LD006 (LD/A014)	Deliver Canvass for 2022.	☑			☑			☑	☑	☑	DM	March 2023	**Green (Completed)**
ACTION UPDATE:	The preparation for canvass commenced late Q1, whereby 62,276 properties were sent to the Cabinet Office for data matching. The results of the data matching were as follows: 48,167 properties were sent down Route 1 – this means that no response is needed from the property should the data still remain the same. 97% data match accuracy against DWP records. Currently we have a 84% response rate.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	14,109 properties were sent down Route 2 – these properties would have to respond to their canvass form by 22 August 2022. 7828 have responded thus far. with house to house canvass ongoing into November. 180 properties were sent down Route 3 – these properties are residential care homes and houses of multiple occupancy. Currently, 97% response rate has been achieved. House to House canvassing is ongoing into November 2022, CCF reminders for Route 2 and 3 properties were despatched during Q2 totalling 9128, with 3007 returned to date, representing 33%. Canvass completed and register published December 2022.													
LCR/PB007 (PB/A001)	Publish the Public Participation Strategy and commence delivery of the Action Plan.	☑	☑	☑	☑		☑	☑	☑		T Bowring/ RJ	March 2023	**Green (Completed)**
ACTION UPDATE:	The Public Participation Strategy was published in May 2022.												
LCR/PB008 (PB/A002)	Establish a task and finish group to identify ways to effectively engage with young people on corporate issues.	☑	☑	☑	☑		☑	☑	☑		T Bowring/ RJ	March 2023	**Green (On Track)**
ACTION UPDATE:	The PPPN continues to meet. The comms and strategy teams have built excellent working links with practitioners in the youth service and engagement plans for Project Zero, the budget, and LDP are all currently being coproduced.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/PB009 (PB/A029)	Respond to the requirements of the Local Government Act by developing and delivering our approach to the self-assessment process and delivering key priorities within the Local Government Act Action Plan.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/ JA	March 2023	**Green (Completed)**
ACTION UPDATE:	In developing our performance arrangements for 2022/23, we have considered the requirements of the Act and have taken action to strengthen our existing arrangements, which are a key means of meeting our performance duties. We have increased opportunities for performance challenge internally and externally throughout the annual performance calendar as well as developing our internal 'insight' throughout the year alongside governance related insights to inform decisions. Taking this approach will enable us to demonstrate a robust evidence base for the self-assessment conclusions whilst driving continuous improvement through our enhanced arrangements. During the quarter, Performance partners continued to work with Directors to finalise their Directorate level Self-Assessments. These position statements outline how well directorate services are utilising resources (people, finance, assets, performance and risk management, engagement and insight) to deliver their priorities as aligned to the Annual Delivery Plan and the Corporate Plan Well-being Objectives. The findings of the self-assessments have been subject to an internal peer 'critical friend' challenge involving a Presenting Director, Peer Director, Cabinet member(s) and relevant Scrutiny Committee Chair(s). All Directorate self-assessment ratings were also subject to a further moderation exercise involving the Executive Leader of the Council, Chief Executive and Director of Corporate Resources to ensure consistency of approach. The findings from this process have been aggregated to inform our judgements at a Council level of how well we are using our resources to achieve our Well-being Objectives and was used 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			
	identify areas of improvement. A public consultation exercise was undertaken during August-September to sense-check our self-assessment performance judgements to help inform our final conclusions. This information was then used to draft our Annual Self-Assessment report in line with the Act's requirements. A final draft of the Annual Self-Assessment was produced and considered by Scrutiny and approved by Cabinet and Full Council in October.												
LCR/PB010 (PB/A030)	Undertake a review of our first year of applying the Local Government Act in producing a Self-Assessment in order to apply lessons learnt and strengthen our approach for future years.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/ JA	March 2023	**Green (On Track)**
ACTION UPDATE:	Following completion of the Directorate Self-Assessment, Performance Partners have requested feedback regarding the approach and what had worked well/not so well. This feedback alongside those informed by the learning and any identified best practice from colleagues across Wales will be used to inform next year's approach. Alongside the above, we are also working collaboratively with elected members to further strengthen how they work together to support effective challenge and continuous improvement through a series of member workshops aligned to the Annual Performance Calendar. A member workshop on the Annual Self-Assessment Approach has been recently undertaken and the feedback is being reviewed. This will inform how the self-assessment findings are presented to members for their scrutiny.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk 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/PB011 (PB/A031)	Work with Data Cymru to develop a core data set to ensure compliance with the performance requirements of the Local Government Act and enable benchmarking against other local authorities.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/ JA	March 2023	**Green (On Track)**
ACTION UPDATE:	Work continues to progress with Data Cymru to develop a national self-assessment core dataset which will help inform and strengthen annual self-assessment process. To date Data Cymru have held one Performance Network event with representatives across all local authorities in order to progress this work. In the interim, we continue to assess our own performance by using local trend data and other service data insights where available.												
LCR/PB012 (PB/A032)	Revise the Council's Risk Management Strategy and approach to strengthening how we identify, monitor, manage and report risks across the Council.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/ JA	March 2023	**Green (On Track)**
ACTION UPDATE:	Work has already commenced in reviewing the Council's approach to risk management and reporting informed by internal audit review findings. In line with the project brief, a review of best practice arrangements across the public sector is already underway to help inform the review. Additionally, a collaborative approach is being taken involving elected members in the review process, which will help inform the monitoring and reporting of risk across the Council. A risk workshop was held with Governance and Audit Committee Members in October to identify areas where risk management and reporting could be improved. The feedback from this session has been used to inform further research on how to develop risk.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/PB013 (PB/A033)	Enhance our approach to how we co-ordinate and support the Council's regulatory programme to ensure we are responsive and can evidence how we address areas of improvement.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/ JA	March 2023	**Green (On Track)**
ACTION UPDATE:	There is a protocol in place for supporting regulatory work across the Council. To ensure consistency of application, this has recently been re-circulated to SLT and directorate colleagues to ensure the Insight tracker, our key means of monitoring regulatory work, is up to date and evidences the most recent progress in relation to our regulatory areas for improvement. We continue to monitor progress regularly via SLT, Governance & Audit Committee and Cabinet. The most recent Insight tracker is also appended to performance monitoring reports to all Scrutiny Committees each quarter.												
LCR/PB014 (PB/A034)	In line with the Local Government Act, develop our approach to how we communicate performance data and information with our citizens to improve engagement and understanding to inform service improvements.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/ JA	March 2023	**Green (On Track)**
ACTION UPDATE:	The Annual Self-Assessment consultation went live during the quarter. Engagement with the public will help shape the Annual Delivery Plan 2023-24. The findings from the consultation will feature in the Annual Self-Assessment report published in November 2022. This work is line with our Public Participation Strategy.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/RP015 (RP/A006)	Following the implementation of the Local Government and Elections (Wales) Act 2021, work with the Cardiff Capital Region to reach agreement and progress a Corporate Joint Committee for the Cardiff Capital Region.	☑	☑		☑	☑	☑		☑	☑	MG	March 2023	**Green (On Track)**
ACTION UPDATE:	CCR provided a report on the 28/11/22 to the regional cabinet updating the Cabinet on the Southeast Wales Joint Committee and the proposed way forward. (see link: https://cardiffcapitalregion.moderngov.co.uk/documents/s1629/Item%208%20CJC.pdf It is now unlikely Corporate Joint Committee issues will be resolved until 2023/24.												

1 – Risk Overview	
1.1 Risk Description	This risk encompasses funding key priorities set out in the Sustainable Communities for Learning 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 Sustainable Communities for Learning grant funding. We anticipate further demand for school places emerging as a result of new and expanding housing developments. Whilst the requirement for increased capacity in certain areas has been identified, in many cases there will be insufficient s106 funding to cover costs placing increased pressure on available funding. There is a risk associated with securing the necessary capital required to fund major investment projects as well as addressing building conditions across all Vale schools. Band B of the Sustainable Communities for Learning Programme is coming to a close with over 80% of projects having funding approved. The remaining projects have seen an increase in projected final costs to deliver the schemes impacting the available funding. The Council aims to continue to expand the development programme to include the next tranche of schools. S.106 funding is unable to cover the expected costs of the next tranche of projects. This is further exacerbated by limited capital funding available. This has been caused by inflationary pressures on the capital funding pot leading to concerns on the likely amount of borrowing required to fund new schemes. The lack of available funding to address all requirements will result in buildings deteriorating further giving rise to risks associated with health and safety, DDA, business continuity and sustainability. Failure to establish sufficient Welsh medium places in both the primary and secondary sector would impact on the Vale's ability in contributing to the Welsh Governments plan of one million Welsh speakers by 2050, and commitments required as part of the Council's Welsh in Education Strategic Plan and could directly impact on the Vale's ability to secure Sustainable Communities for Learning funding in the future. The COVID-19 pandemic significantly disrupted education and learning at all levels. Although the restrictions issued during the pandemic have been removed there is a backlog of delays in terms of access to materials. The situation has been further exacerbated by other global events including the war in Ukraine, which has not allowed the market to recover. This has seen increases in construction costs due to the impact on the market and availability of materials. In turn this has the potential to impact/delay our ability to deliver some aspects of the Sustainable Communities for Learning Investment Programme.

	As noted above, available Council funding for new education investment in capital projects has reduced. The Band B programme is seeking to expand to include 3 new projects, however, this would significantly increase borrowing to meet the Council's intervention rate requirements for the programme grant funding. The Programme Team will need to identify new funding sources such as potential capital receipts from the existing education estate and take a stronger position towards s.106 contributions to ensure sufficient funding is available to deliver schemes.

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	Inability to meet Welsh Government guidance by failing to retain no more than 10% surplus places. Failure to improve the quality of buildings to make them safer and more accessible, resulting in a breach of our duties under the Health and Safety Act Disability Discrimination Act. The Council could fail to meet the statutory requirement to meet the demand for Welsh medium school places and the need to meet the Welsh Government commitment for one million Welsh speakers by 2050.
Resources	Yes	Failure to deliver the programme in line with plans approved by Welsh Government could impact on the Council's success in securing grant funding in future bands of the Sustainable Communities for Learning Programme. There is the concern that global events could further compound this risk. This could impact on the ability to secure funding and jeopardise delivery of the School Investment Programme. There is the risk that insufficient s106 money will impact on our ability to secure sufficient places in schools where there is the highest demand for places. The 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

1.4 Risk Categories		
Categories	Yes/No	Definition
		substantial savings as a result of reductions to the Council's aggregate external financing.
		Failing to reduce surplus places through investment impacts on effective resource management in schools.
		Insufficient funds to carry out prioritised asset renewal schemes impacts on health and safety.
		A requirement of Sustainable Communities for Learning 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.
		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.
		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
Service Delivery and Wellbeing	Yes	Failure to implement an appropriate school reorganisation programme as a result of not achieving our surplus place target. Impact of new housing developments is likely to place a significant pressure on school place planning, particularly as the Council is progressing its Replacement Local Development Plan. 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.

Failure to meet demand for Welsh medium education. |

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Impact of a poor learning environment on a pupil's learning experience if we fail to meet the Sustainable Communities for Learning standard outlined in the Building Bulletins. Global events have the potential to impact/delay our ability to deliver some aspects of the Sustainable Communities for Learning Investment Programme into the short to medium term due to the cost and availability of materials.
Reputation	Yes	Failing to provide the right type and number of school places in the right areas could result in the Council being in breach of statutory requirements which would impact on its reputation. Similarly, closure of schools as a result of building failure would attract negative publicity and criticism from the community and regulators.

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Awareness raising session held with members, Insight board and CMT on the issues associated with the Sustainable Communities for Learning 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	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	monitor and manage delivery of the programme such as Programme Officers and a Programme Board including the Strategic Investment Programme Chief Officers Group (strategic), the Strategic Investment Project Board (operational) and engagement with Welsh Governments Gateway Review programme to identify opportunities and risks with key stakeholders . • Strategy to support Welsh medium education, Welsh language promotion and contribute to Welsh Governments target of one million Welsh speakers by 2050 through the Council's Welsh in Education Strategic Plan (WESP).			
Resources	• Continue to review existing land ownership and progress the sale of land to generate capital receipts to fund the school reorganisation and investment programme. • Robust performance management in place for the tendering and monitoring of delivering of the programme and completion of the projects. • We effectively influence negotiations in relation to accessing and maximising the use of S106 monies within the designated timescales and associated usage requirements. Agree amendments to the Planning Obligations SPG to create a more flexible approach to acquiring and using s.106 funding and account for the impact developments have on ALN provision which generally require more funding to develop. Ensure SPG is updated to reflect new statistics released following the 2021 Census. • (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	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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 and has been adopted by the Council. • Barry Secondary Learning Projects continue to progress - construction is complete at Whitmore and Bro. Construction of the new school at Pencoedtre and demolition is complete with externals under construction. • Full Business Case approval for Cowbridge Primary School and CLWB have been approved by Welsh Government. First schemes to be approved under the new cost increases which have seen projects costs rise significantly during the construction phase. • "Being Bilingual" web page available on website with information on Welsh medium education and access to the Welsh Medium Education Survey for completion. • A proposal has been established to address English and Welsh medium primary education in Cowbridge (Western Vale). A phased approach is being proposed with English medium being addressed as part of phase 1 and Welsh medium being addressed as part of phase 2. Proposals for Penarth are subject to planning permission being granted for the Cosmeston development for expanded ALN provision. • 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. • Condition Reports of Education Estate completed which identify urgent, necessary, and lower priority works to school buildings and			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	estimates potential costs for works. Help inform future investment for Sustainable Communities for Learning programme.			
Service Delivery & Well-being	• 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 now operational and monitoring energy usage. The Council has achieved 100% funding for net zero elements on Cowbridge and CLWB projects from Welsh Government. Additional Council funding was agreed to ensure Ysgol Sant Baruc school would be all electric and low carbon operational building. • 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) • 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. • Ysgol Bro Morganwg has been completed.	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• 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 Sustainable Communities for Learning team and Property team looking at need as it relates to place planning up to 2026. Surveys are complete and under review to inform decisions over the next 5-year period. Suitability surveys progressing in the 2022/23 Autumn term to identify suitability works throughout the education estate. • 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 Llancarfan Primary School have been implemented. Redevelopment of St Nicholas has been delayed due to original proposal refused at planning stage. Revised proposal approved at planning stage. Construction on site has started. • Sustainable Communities for Learning programme Band B projects progressing- Whitmore, Ysgol Gymraeg Bro Morgannwg, St David's and Llancarfan schemes are delivered with some outstanding minor works to be finalised. Pencoedtre new school building has been delivered, externals are underway. Contractor is on site constructing the Centre for Learning and Wellbeing and Cowbridge Primary Provision projects. St Nicholas Scheme approved at planning stage, and BJC approved by			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	Welsh Government, however, Council contribution increased to address offsite costs and some abnormal costs. YYD2 is at full planning stage and awaiting planning approval before purchasing land, contractor has been appointed to deliver design contract.			
Reputation	• Survey demand for school places in line with the Council's Welsh Education Strategic Plan. • Periodic review rolling 25-year plan for school's 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.	1	2	2
Overall Effectiveness of Controls		**1**	**2**	**2**

2.3 Residual Risk Scoring & Direction of Travel											Direction of Travel	Forecast Direction of Travel
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score					
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total			
Political & Legislative	3	4	12	2	2	4	2	2	4		↔	↔
Resources	4	4	16	1	2	2	4	2	8		↔	↑
Service Delivery & Well-being	3	4	12	1	2	2	3	2	6		↔	↔
Reputation	3	4	12	1	2	2	3	2	6		↔	↔
Average risk score/ direction of travel	3	4	**12**	1	2	**2**	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			
SRR/SL001 (SL/A002)	Strengthen our approach to communicating, engaging and involving schools, parents and their children and other key stakeholders to ensure all pupils have access to an appropriate learning environment that meets their needs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/LL	March 2023	**Green (On Track)**
ACTION UPDATE:	The Council has been promoting the importance School Communities play in addressing the Climate and Nature emergency. Three schools are taking part in a Wormery Pilot to help improve the circular economy within Schools following confirmation of funding. Engagements have been ongoing with eco-school co-ordinators to identify potential to improve energy efficiency in schools and linking with eco-school councils to produce material to improve energy efficiency in classrooms. The directorate has been working in collaboration with the Council Communications team to improve online consultations by sharing best practice within the wider Council, agreeing to the Public Participation Strategy and contributing to the dedicated consultation webpage for the Council Participate Vale allowing for more detailed analysis of consultation responses to improve how the Council responds to comments received.												
SRR/SL002 (SL/A025)	Encourage and support sustainable changes via the wider school reorganisation programme with a focus on increasing opportunities for active and green travel and participation.	☑	☑	☑	☑		☑	☑	☑	☑	TB/LL	March 2023	**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 Envtal risk													
ACTION UPDATE:	The Sustrans loan a bike scheme is now available to staff and this has been widely advertised within the Directorate this quarter, including all of our schools.												
SRR/SL003 (SL/A023	Improve existing school buildings and deliver new buildings for St Nicholas, St Baruc, the Centre of Learning and Well-being, Ysgol y Deri, and primary school provision in Cowbridge, where possible making them low carbon and ideally zero carbon buildings to operate.	☑	☑	☑	☑		☑	☑	☑		TB	March 2023	**Green (On Track)**
ACTION UPDATE:	Ysgol Sant Baruc is under construction and will be delivered as low carbon, these measures being fully funded by Welsh Government. St Nicholas is under construction and will be net zero carbon in operation. Centre for Learning and Wellbeing and Cowbridge Primary are both under construction and will be net zero carbon in operation. Ysgol Y Deri is planned for construction in April 2023 and will be net zero carbon in operation. The team are aiming to improve existing construction model to include net zero carbon during construction to make new project net zero over whole life. The embodied carbon target for 2023 is now being met on schemes which have yet to start construction. South Point data on energy efficiency is still under review.												

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	Action	Risk 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/SL004 (SL/A013)	Deliver Sustainable Communities for Learning Programme improvements (Band B) including the expansion of Ysgol Y Deri, a new school building at St Nicholas, expansion of primary school capacity in Cowbridge, the development of a Centre of Learning and Well-being.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2023	**Green (On Track)**
ACTION UPDATE:	Delivery of Band B projects has remained on track in terms of the overall programme which ends in 2026. In terms of 2022/23 the following school buildings are under construction: • Ysgol Sant Baruc (Barry Waterfront) – Complete in April 2023. • Cowbridge Primary Provision (Phase 1) – Construction Start May 2022, completion July 2023. • CLWB – Construction Start May 2022, completion August 2023. • St Nicholas – Construction start in November 2022, completion January 2024. The following projects have yet to start onsite: • Ysgol Y Deri – planning approval February 2023. Construction Start April 2023, completion August 2024. There have been delays to projects in the programme but it is considered the schools will be delivered by the end of 2024 in line with the end of Band B 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			
SRR/SL005 (SL/A014)	Work with others including key businesses to support training, employment and the development of skills for the future through opportunities via the 21st Century Schools and the Council's Kick Start Apprenticeships programmes.	☑	☑	☑	☑		☑	☑	☑	☑	TB	March 2023	**Green (On Track)**
ACTION UPDATE:	Communities 4 Work to connect project contractors with Council scheme. Youth engagement event 10th February at Barry Memo for year 12 school leavers. Contractors to provide construction talks / workshop. Current programme to re-run engagement event for the supply chain. Aim to hold event in early 2023. The current targets for the active projects are being met.												

1 – Risk Overview	
1.1 Risk Description	This risk relates to the effectiveness of diversionary activities and initiatives in place to meet the requirements of the European Landfill Directive. There is a Statutory Target for Recycling based on the Welsh Government's 'Towards Zero Waste' Waste Strategy. Aligned to this are national statutory landfill reduction/ diversionary targets. Failure to meet the national waste agenda and meet its associated targets increases the likelihood of incurring significant fines and could have detrimental impact on the Council's reputation. The biggest shift change has been in relation to reducing the volume of residual waste. The Council secured capital funding from the Welsh Government's Collaborative Change programme as part of the Waste Strategy to implement a restriction of residual waste. From September 2018, all households across the Vale of Glamorgan were restricted to putting out two bags per fortnight (with exemptions for those with six or more residents, pet waste/bedding, ash from household fires/log burners and adult hygiene products). To oversee this roll out and enforcement, waste wardens have been appointed. This shows that this service changes have resulted in over a 30% reduction in residual waste. In progressing our Waste Strategy, we continue to look at ways of further increasing our recycling rates across the Vale of Glamorgan. Although the Vale of Glamorgan Council continues to be one of the top performing authorities for meeting its recycling targets, more recently we have experienced a growing problem with contamination. This has been due to non-recyclable items such as soiled nappies, food waste and cat litter being mixed with recycling. To combat this problem and to reduce our use of single use plastic, the use of single use plastic bags for placing out recycling has been removed. Recyclable waste will only be collected if it is placed in Council-issued bags/boxes. The roll out of the Waste Blueprint has commenced. This is seeing us make the transition from the collection of co-mingled recyclables to source-segregation of recycled materials. As this is a significant shift change for how we operate our services and our residents. These changes are being introduced as part of a phased roll out that initially commenced in the rural Vale before it progressed in Barry (October 2020) and it is planned to rolled out to Penarth and surrounding areas on the 17th April 2023 The planned roll out to Barry was delayed by 4 months, due to COVID-19. Penarth was delayed as it was dependent on the permanent Waste Transfer Station at the Atlantic Trading Estate being operational. However this site will now be operational March 2023 This positive news will allow the Council to complete the blueprint roll out and also reduce revenue costs associated with the transfer of residual and green waste across Neighbourhood Services. . Alongside this the Reuse Shop is due to be opened April 2023.

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

1.3 Impact on our contribution to the Wellbeing Goals

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

1.4 Risk Categories

Categories	Yes/No	Definition
Political & Legislative	Yes	Failure of contract agreements associated with our waste collaborations. Failure to comply with statutory waste targets and the associated Welsh Government guidance.
Resources	Yes	Inability to streamline our approach to optimise productivity as consequence of budgetary cuts and/or staff shortages that will impact on our performance against waste reduction targets.

Inability to effectively monitor and manage our contract agreements resulting in poor contractual compliance and performance. This risk is pertinent in light of COVID.

Council incurs fines as a result of failing to meet statutory waste reduction targets.

National Welsh Government grants are withdrawn as a result of failing to meet statutory waste reduction targets.

Diversion of resources in response to COVID-19 impacts on our resource capacity to progress key waste projects e.g. waste transfer station and roll out of the Blueprint. |
| *Service Delivery and Wellbeing* | Yes | Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including:
i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales);
ii. pollution of the local environment (e.g. contamination of groundwater; soil contamination).

Failure to effectively communicate and engage with residents regarding the importance of recycling and composting resulting in poor buy in and reduction in recycling rates.

Poor engagement with the hard-to-reach section of our community resulting in lower recycling and composting take up rates. |

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Poor communication following any change in collection methodology resulting in poor take up of recycling and composting services. Increasing waste budget pressures as a result of new developments and an inability to deliver savings in waste management services. Inability to implement the Waste Blueprint consistently across the Vale in a timely way, as result of disruption to project timetable.
Reputation	Yes	Failure to meet the statutory waste targets and comply with the Welsh Government's waste strategy would have a detrimental impact on the resident's perception of Council services and would attract criticism from our external regulators and Welsh Government.

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Partnership established to progress the regional waste solution and Project Gwyrdd and the organics plant are up and running • Waste Resource Action Programme (WRAP) is completed. Cabinet	1	2	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	agreed a black bag restriction for 2018/19 to move on a phased basis to the Welsh Government Blueprint which commenced on the 14th October 2019 for the Rural Vale with roll out to Barry in October 2020. Penarth is planned for the 17th April 2023.			
Resources	• Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. • The 25-year Project Gwyrdd contract has been operational since 2016 which has very effective project management processes in place. • Joint recycling contract is in place for food and green waste composting reprocessing in partnership with Cardiff City Council. • Household Waste Recycling contract operated by the company FCC. • A revised Waste Strategy was presented to Cabinet on the 28th March 2022 and has been referred for public consultation over the summer. The results will be presented to Cabinet in quarter 4 and onto the Environment and Regeneration Committee Scrutiny Committee for consideration. The new Strategy will consider the next statutory recycling target of 70% by 2024/25. In line with this Strategy, Capital funding has been received to implement the service changes for kerbside collections and to complete the construction of the 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.	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• 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. • There have been further resource shortages as a result of the national driver shortage and measures implemented to increase our resilience to this ongoing issue which included the introduction of a new market forces hourly rate to compete with external markets,			
Service Delivery & Well-being	• Increased waste awareness initiatives and participate with Keep Wales Tidy events. • Welsh Government's Waste Data Flow Web-based reporting system and statutory National Performance Indicators. • Implementation of real time tracking and communication with Waste Collection fleet to achieve improved 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	1	2	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	to commence 17th April 2023. The service exceeded the current statutory recycling rate from its performance during 2020/21.			
Reputation	• Regularly implement high profile campaigns in the community to raise awareness of the importance of recycling, composting. Consultation regarding possible changes to waste service including a series of engagement events through throughout the Vale of Glamorgan area. • Maximise the use of social media to raise awareness and promote and launch campaigns. We also utilise our Environmental Enforcement Partner to raise awareness of dog fouling/littering issues.	1	2	2
Overall Effectiveness of Controls		**1**	**2**	**2**

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

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WMR/NS001 (NS/A050)	Monitor budgets to ensure we are able to deliver the National Waste agenda through effective use of grants and resources to exceed the National Domestic Waste Recycling Target for 2024 / 2025.	☑	☑	☑	☑	☑			☑	☑	CS/AP	March 2023	**Green (On Track)**
ACTION UPDATE:	The has been regular contract meetings and liaisons between departments to deliver the major projects namely the new Resource Recovery Facility, the reuse shop and service changes. At present, these remain on budget.												
WMR/NS002 (NS/A047)	Complete the Vale of Glamorgan Waste Management Strategy 2022-2032 and supporting action plan in line with Welsh Government statutory guidance and the Well-Being of Future Generations (Wales) Act 2015.	☑	☑	☑	☑	☑			☑	☑	CS	March 2023	**Green (On Track)**
ACTION UPDATE:	The public consultation on the Waste Strategy is complete and a report will be prepared and presented to Cabinet and the respective Scrutiny Committee in quarter 4.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/NS003 (NS/A048)	In accordance with the Vale of Glamorgan Waste Management Strategy 2022-2032, deliver a range of improvements to waste management including the final roll out of the new recycling arrangements in Penarth and for Vale wide flats and apartments, creation of a Re-Use Facility in Barry, completion of the Resource Recovery Centre and a new Household Waste Recycling Centre in the Western Vale near Llandow, and monitor and review existing waste collection rounds.	☑	☑	☑	☑	☑		☑	☑	☑	CS/AP/MC	March 2023	**Green (On Track)**
ACTION UPDATE:	The roll out to Penarth is planned for 17th April 2023. The reuse is being shop fitted in quarter 4 and due to pen April 2023. Additionally the Resource Recovery Facility will be completed in February and operational by the end of quarter 4. The roll out to flats and apartments is also scheduled for Spring/summer of 2023. The HWRC site at Llandow is delayed as a result of land options so the Strategy has been updated to reflect that.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WMR/NS004 (NS/A041)	Work with partners and community groups including Keep Wales Tidy to develop a litter and enforcement strategy and deliver a variety of activities to improve Local Environmental Quality (LEQ) including litter prevention and awareness raising.		☑	☑			☑	☑	☑	☑		March 2023	**Green (On Track)**
ACTION UPDATE:	The service has continued to work with Keep Wales Tidy on a quarterly basis with an agenda to prioritise areas of most need to improve local environmental quality. This quarter several areas have been cleaned and improved and local volunteers continue to be supported.												
WMR/NS005 (NS/A046)	Ensure there are sufficient and appropriate end designations for the resale and reuse of recyclate material and minimise the export of recycling and waste wherever possible.		☑	☑		☑		☑		☑	CS/BT/ JW	March 2023	**Green (On Track)**
ACTION UPDATE:	This quarter, again the service area has used the national model achieving sustainable markets through Welsh Governments consultants (WRAP) and these continue to be monitored to ensure markets remain sustainable and are in line with the Collections Blueprint model.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/NS006 (NS/A049)	Promote recycling and waste elimination via social media campaigns.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CS/AP	March 2023	**Green (On Track)**
ACTION UPDATE:	This quarter, again the service area has worked with Welsh Water to promote food waste recycling (which is the highest recyclable content within black bags) and also the promotion of Christmas recycling. Service planning for phase 3 has started but there will be greater focus in quarter 4 now the roll out to Penarth and surrounding areas is planned for 17th April 2023.												
WMR/NS007 (NS/A051)	Undertake waste investigations and prosecutions.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CS/AP	March 2023	**Green (On Track)**
ACTION UPDATE:	This quarter, as some of the major projects come to conclusion, there is greater focus on waste minimisation. At present, the infrastructure targets remain on target and budget and to preparation of waste minimisation the all-Wales Compositional Analysis has been inspected to prioritise Recycling Officers time on collection rounds. This will identify where work is required to improve recycling and minimise waste. This will also includes waste investigations and promotional work which has been proactive 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/NS008	Enforce Public Space Protection Orders in relation to alcohol and dog controls.	☑	☑	☑	☑			☑	☑	☑	DM	March 2023	**Green (Complete)**
ACTION UPDATE:	We now have additional resources in the form of an extra Enforcement Officer and deploying existing officers more efficiently: focussing on problem areas/issues. During summer 2022, we successfully participated in Operation Elstree and assisted our SWP partners in enforcing the alcohol PSPO in resorts and country parks. The current dog control PSPO does still limit out activities in enforcing the same, but we have launched Operation Snoopy for winter 2022/2023 and are again focussing on offending hotspots/intelligence-led policing.												

1 – Risk Overview	
1.1 Risk Description	As the Council continues to go through significant change over the next few years it is imperative that we are able to anticipate the human resources implications of such change and ensure that we have a number of people with the right skills and experience to deliver the services of the future. In managing the risk it is important to consider the particular challenges presented by the current financial pressures (in particular the impact of the cost-of-Living crisis) 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 skills shortages. 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. We continue to experience difficulties in recruiting and retaining staff in many key service areas across the Council e.g. namely in social care such as residential care, domiciliary care, social workers as well as cleaners, HGV drivers and wider administrators. Skill shortages also exist in many areas like legal services, planning, project management, ICT, health and safety roles where market forces have impacted on our ability to recruit and retain skilled/qualified staff. The capacity element of this risk was initially triggered by the COVID-19 pandemic. Its aftermath has significantly impacted on all aspects of how we operate our services, particularly in relation to issues such as staff turnover, absence and capacity which will continue to be monitored and kept under ongoing review. The pandemic has given rise to a more transient workforce, where individuals no longer feel tied to employment is sectors where they are not rewarded/recognised and/or to their geographical locations. This has led to the creation of an employee market, where vacant posts across our UK economy are outstripping employee supply. Consequently, employees have greater leverage regarding the employment decisions they make which has created a transient workforce culture, where we see individuals join the council to acquire new skills/experience over a short period, before moving on quickly to other positions/roles outside the organisation. Unless we can effectively address the driving forces behind a 'transient workforce' we will be unable to address retention into the longer term. It is vital that we look at how we can address the capacity issues into the longer term in order to enhance resilience to the staffing challenges that lie ahead. The capacity issues we are now witnessing are being further compounded by the effects of the cost-of-living crisis. Inflationary pressures are putting strain on the incomes of our staff which is being more acutely felt by those who are at the lowest end of our pay structures. Consequently, we are now seeing the impact of these inflationary pressures on our staff attrition rates. Increasingly, we see staff are leaving the organisation to work in similar roles in other public/private sector roles for higher salaries. The cost-of-living crisis is also putting significant pressure on our own finances and our ability to significantly adjust our pay structures in line with inflation. Although, the Council successfully adopted the living wage as part of its single status pay structure in May 2022 for its lowest scale staff, the rise does not equate to rising cost of living when inflation has reached over 10%.

Levels of discontent regarding pay within the public sector is on the rise where we have already seen a number of sectors declare strike action and it is anticipated that this will continue to remain a pressure point throughout this year. Annually, like all other local authorities we produce a pay statement and where necessary we utilise market forces to address any gaps in pay. In the past, we have managed pay issues for individual posts/positions through putting cases forward based on market forces. This has been used in the case of ICT professionals, lawyers and planners in the past and more recently for HGV drivers. However, it is acknowledged across the sector and unions that this approach is not sustainable into the longer term as it has the potential to lead to an equal pay litigation risk.

Our approach going forward will be to focus on taking a more staged approach to how we review pay by doing this in tandem with the review of our Strategic Workforce Plan, a refresh of our Recruitment and Attraction Strategy, the establishment of a Vale Academy Model and a focus on developing wider package of benefits for being a Vale employee.

The challenge going forward, will be on how we can maximise opportunities to shape our workforce so that we can enhance capacity and resilience so that our workforce is fit for the future.

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

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

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	Political and legislative repercussions of failing to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met. Increased risk of challenge and the potential for litigation especially from an equal pay perspective by using 'Market Forces' to address pay issues on an individual/small group basis. This could impact on the council if poor judgement is exercised regarding workforce related decisions.
Resources	Yes	A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on a range of factors including the commitments to increase the number of apprenticeships within the Council (and wider community), the increase of younger employees (as a percentage of the wider workforce) and the aims within the Council's Equalities Strategy. A failure to implement the agreed actions set out in the Council's Workforce Plan would impact adversely on the Council's ability to ensure the workforce needs of the future are met. A failure to implement the agreed actions set out in the Council's Workforce Plan (and specifically in relation to change

1.4 Risk Categories		
Categories	Yes/No	Definition
		management) would impact adversely on the Council's ability to respond to financial challenges over the next four years.
		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 some key areas within Social Services, Neighbourhood Services and Resources.
		Risk of a loss of leadership impacts on our ability to continue to drive forward organisational change. Higher sickness/ insufficient capacity within services impacts on our ability to effect change at a time when efforts are focused on managing our resources effectively.
		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.
		Failure to effectively address staff wellbeing and potential burn out of staff will challenge our capacity and resilience to operate services into the longer term. Now that more remote ways of working are embedded across the organisation, there is the risk that we fail in our duty effectively support the wellbeing of our staff.
		Rising budgetary pressures and affordability to sustain staff capacity. Consequently, vacant positions and the increased pressure on staff to take on additional responsibilities could impact on their wellbeing and lead to staff absences.
		Lack of an affordable pay solution to address inflationary pressures is likely to further compound and widen the recruitment and retention issues across the organisation.
Service Delivery and Wellbeing	Yes	Failure to properly anticipate and respond to future workforce needs. Not effectively mobilising our workforce to respond to the organisation's changing workforce needs could pose a threat to sustainable service delivery and our ability to meet our priorities as set out in our Corporate Plan/Annual Delivery Plan.
		Risk that the existing workforce lacks the skills required to operate under a 'new operating model' in order 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.
		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.

1.4 Risk Categories		
Categories	Yes/No	Definition
		Risk that inflationary pressures could result in employee discontent with pay which could give rise to industrial action which could result in potential service disruption/business continuity issues. Inability of leadership to respond to the changing policy landscape and the challenges this presents (cost of living crisis), impacting on our ability to deliver services to meet the needs of our citizens. Retention issues and skill shortages within business-critical posts where recruitment and retention difficulties already exist such as HGV drivers and domiciliary care etc has the potential to impact on service performance and in worst case scenarios business continuity.
Reputation	Yes	Negative perception of the Council amongst citizens as an employer impacting on recruitment and retention rates across the organisation. This is particularly applicable in relation to some front-line positions which are lower paid e.g. care home staff and waste operatives. Consequently, these posts maybe seen as less desirable which in turn may compound recruitment difficulties. In the context of growing public discontent in light of the wider cost of living pressures, pay scales that are below market rates or other competing organisations are more attractive to prospective employees. Failure to put in place succession pathways in place to address our ageing workforce in specific service areas. A key aspect of the workforce plan (section 6/theme viii) is the need to ensure the Council have a workforce that reflects the wider community. Within this are specific aspects to ensure that measures are taken to ensure representation from protected groups under the Equalities Act 2010. A particular feature of this includes strategies to deal with occupational segregation and address the gender pay gap that exists nationally and locally. A failure to implement actions within the workforce plan would impact adversely on such equalities commitments and our reputation as an employer.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	Likelihood	Impact	Total Inherent Risk Score
Political & Legislative	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	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	• 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.	1	1	1
Resources	• Managers are supported through the management of change through training and ongoing advice from HR Officers and supported by Organisational Development. • The Workforce Plan is aligned to the Corporate Plan in relation to workforce needs. A review of corporate workforce priorities has been undertaken as part of the senior management development session and will now form the basis of a refresh of the Corporate Workforce Plan. The Workforce plan was reviewed in 2021 and is now being reviewed and refreshed again by end September 2022. • 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. Recent cafes have featured new Directors. • 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.	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• 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 2021Staff awards. • Staff survey has been run to look at engagement strategy from autumn onwards. • Employee Core Competency has been launched to help identify and address skill gaps across the Council. • The Staff Engagement Strategy has now been embedded with mechanisms to evaluate ongoing engagement. There are quarterly joint CMT engagement meetings. The Vale Induction Programme contributes to our ability to build a resilient workforce, strengthen staff knowledge and understanding of the Council's vision, values and contribution to the achievement of our corporate priorities, this has recently been reviewed and refreshed following employee feedback. • HR Business Partners and Assistant Business partners continue to support managers in Change Management Reviews. Support was successfully provided in relation to the extension of the Shared Audit Service. 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 2022. • Apprenticeship pathway is in place to enable direct recruitment of apprentices and enables us to better support			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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. Kickstart has been delivered with success. • 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 programme including implementation of a strengths-based approach. • 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	• 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	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• 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 likely to be fully embedded in early 2023. 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. • 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 pay award has adopted the living wage. This was agreed by Cabinet in May 2022. 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.			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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. • HR structure has been reviewed 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. Further review work underway in the way in which HR support is provided to schools. A new model is currently being trialled in Whitmore and Pencoedtre, where positions will be seconded for two years. • 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 2023 due to its alignment with Oracle. • Continued to develop the Employee Core Competency and Management Competency Frameworks to help identify and address skill gaps across the Council to embed these within the #itsaboutme appraisal system. • Launched and e-pay system, which will allow employees to access their personal pay information remotely and securely from a personal device, further reducing waste and our environmental and sustainable agenda. • Management promote and enhance staff involvement and engagement across the Council. • Increased opportunities for all with particular focus on underrepresented 16-24-year-olds to participate in work placements via the KickStart scheme.			

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• 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	• All recruitment adverts promote the Council as an equal opportunities employer. • The 'Staff Charter' is now embedded and work has commenced with the Engagement Forum to refresh the charter for the next 5 years aligned to the corporate plan as a result a new Culture Book was launched . • 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%.	1	1	1
Overall Effectiveness of Controls		**1**	**1**	**1**

2.3 Residual Risk Scoring & Direction of Travel												
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	4	3	12	1	1	1	4	3	12	⬅➡	⬆
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 (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/A001)	Support organisational-wide change as part of the Council's new Transformational Change Programme, COVID recovery, Brexit and the climate and nature emergencies including any HR and OD issues that may arise.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2023	**RED (Slipped)**
ACTION UPDATE:	Oracle project delayed due to ongoing issues with system readiness, due to launch in April 2023 on track for launch. Work currently underway to prep wider org on new system. Occ Health Cohort System due to commence implementation in Feb 2023 - this should streamline occ health processes removing the paper-based systems. Strategic workforce planning to form part of Spring Management Development Programme, commencing with SLT and HOS. People Strategy, Hybrid Working Strategy, Volunteer Policy, Pay Policy and Performance Management Process to be discussed on the 2nd Feb Cabinet"												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/HR002 (HR/A002)	Take action to address barriers for protected groups, particularly disabled and young people, and create more opportunity for employment within the council.	☑			☑			☑	☑	☑	TD	March 2023	**GREEN (On Track)**
ACTION UPDATE:	We have commenced Race awareness Training . HR Business Partners and SLT training completed. Next stage roll-out to all DMT groups underway, following this review to disseminate awareness sessions to wider organisation, Disability Group in the process of start up to support diverse and GLAM in providing an inclusive working environment and critical friend to organisation, 2nd meeting organised for Jan 23. Dashboard created and work underway with HRBPs to embed in DMT groups.												
WFR/HR003 (HR/A003) WFR/PB004 (PB/A021)	Improve lesbian, gay, bi, and trans inclusion in the workplace and measure progress through the Stonewall Workplace Equality Index every year. Continue to progress the work programme in relation to the LGBTQ+ inclusion agenda including supporting the	☑			☑			☑	☑	☑	TD T Bowring/ NH	March 2023	**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			
	implementation of the Welsh Government's LGBTQ+ Action Plan.												
ACTION UPDATE:	We have commenced Race awareness Training . HR Business Partners and SLT training completed. Next stage roll out to all DMT groups underway, following this review to disseminate awareness sessions to wider organisation, Disability Group in the process of start up to support diverse and GLAM in providing an inclusive working environment and critical friend to organisation, 2nd meeting organised for Jan 23. Dashboard created and work underway with HRBPs to embed in DMT groups.												
WFR/HR005 (HR/A004)	Develop and implement a new Employee Engagement Strategy, including refreshing ongoing development of the Culture Book.		☑	☑	☑			☑	☑	☑	TD	March 2023	**RED (Slipped)**
ACTION UPDATE:	Proposal to be submitted to SLT 1st week of Feb following results of staff survey.												
WFR/HR006 (HR/A005)	Progress actions as part of the Council's People Strategy to address where possible issues relating to gender and ethnic minorities pay gaps.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2023	**RED (Slipped)**
ACTION UPDATE:	"People Strategy is due to go to Cabinet on 9th February - this delay has resulted in the slippage. Staff Survey results have been presented to SLT and are due to be presented to HofS in January, following this a proposal around the next steps of Engagement will follow in Feb/March. Employee Development progress continues; WTTV face to face programme has been revamped and will be followed by a refreshed online induction process from late January.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	The 2023 approach to Learning Cafe will soon be with Rob Thomas for comment. Our Management Development Programme will also launch in Feb 2023.												
WFR/HR007 (HR/A006)	Promote employment opportunities in a way that challenges gender stereotypes.	☑	☑	☑	☑			☑	☑	☑	TD	March 2023	**GREEN (On Track)**
ACTION UPDATE:	We continue to promote opportunities via our recruitment processes and work without Networks to ensure employment opportunities are available that challenge gender stereotypes												
WFR/HR008 (HR/A007)

WFR/LD009 (LD/A009) | Review, enhance and embed our approach to workforce planning to inform key plans as aligned to the Council's Performance Management Framework and the Reshaping Programme.

Deliver workforce planning with a focus on alternative service delivery and workforce implications ensuring reliance on small numbers of key staff is managed effectively. | ☑ | ☑ | ☑ | ☑ | ☑ | | ☑ | ☑ | ☑ | TD

DM/VD | March 2023 | **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:	Chief Officer Appraisal will be going to Cabinet in Feb 2023 for approval; HofS will be briefed and consulted with in Jan/Feb. #Itsaboutme 2022 window has now closed and analysis of completion will commence and a proposal for future approach will follow. Workforce Planning is embedded across service areas such as Legal and Democratic, where there is a focus on alternative models, smarter, digital working, and measures/action taken where necessary to ensure resilience with key members of the team.												
WFR/HR010 (HR/A008) WFR/PB011 (PB/A027)	Deliver year 1 priorities of the Employee Attraction Strategy 2022-25. Work with HR and OD colleagues to develop an external/internal attraction campaign for the division.	☑	☑	☑				☑	☑	☑	TD T Bowring	March 2023	**Amber (Minor Slippage)**
ACTION UPDATE:	Oracle project has delayed progress of this action, however a working group has now been established to push forward with actions. There have been some achievements around the amendments to the external careers page, the use of LinkedIn for recruitment, changes to the HofS recruitment pack which have provided some wins around attraction, and this has been noted in the recent Heads of Service recruitment. WFR/PB011 (PB/A027)- The Communications Team have continued to support HR colleagues in the redesign of the Council's jobs section of the website and on specific, targeted digital campaigns for different job roles. Work to support the project within Social Services to attract and recruit social care staff in Children's Services has also continued.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/HR012 (HR/A009)	Undertake a pay grading review of all job descriptions to address emerging issues around parity in pay.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Further meetings held during Q3 and Q4 to discuss the pay grading proposals												
WFR/HR013 (HR/A010)	Implement a Volunteering Strategy as part of the Well-being Strategy and work in partnership with the Public Services Board to implement the Move More, Eat Well Plan with a focus on workplace settings.		☑	☑	☑		☑	☑	☑	☑	TD	March 2023	**RED (Slipped)**
ACTION UPDATE:	Paper will go to Cabinet in Qtr. 4												
WFR/HR014 (HR/A011)	Review the HR business partner structure and streamline services to ensure it remains fit for purpose.		☑	☑		☑		☑	☑		TD	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Wider structure review underway looking to implement in April 2023.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/HR015 (HR/A012) WFR/HS016 (HS/A010)	Build on good relationships with local education establishments (such as Cardiff University & Cardiff and Vale College) as well as independent Apprenticeship providers to expand the Council's Apprenticeship scheme offer, with a particular focus on underrepresented groups and 16–24-year-olds. Contribute to the expansion of the Council's Apprenticeship scheme by increasing the number of Housing & Building Services apprenticeship opportunities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD MI/AT/AF/NJ	March 2023	**AMBER (Minor Slippage)**
ACTION UPDATE:	We have excellent relationships with the training providers and fully abreast of all apprenticeships currently on offer; the offering has been reduced over the last 6 months. We continue to struggle to engage manages with this as a recruitment option Need to have further conversations to determine the feasibility of Vale Academy given the budget restrictions.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	A number of apprentice places have created within the service and will be moved around the service to gain maximum experience of a range of service points. Consideration is now being given to succession strategies for the team as a number of staff in key posts have intimated retirement.												
WFR/HR017 (HR/A013)	Work in partnership with the Social Services Directorate to address workforce attraction, recruitment and retention challenges through the capacity planning workstream of the Reshaping Programme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD	March 2023	**GREEN (On Track)**
ACTION UPDATE:	In this Quarter the team led on the 4th cohort of the Vale's Fast Track to Care programme with 10 completing it, six of whom have secured roles in the Vale already. One of our 3 FTTC graduate, employed internally, has worked with us on a second promotional video to promote the FTTC. In this quarter the team have worked with Careers Wales on several events, as well as on an initiative with We Care Wales on their Introduction to Social Care Course specifically for Ukraine Refugees who have recently moved to the Vale. The team continue to work closely with internal and externally commissioned services to support them with the new registration requirements (which came into effect on 1 October 2022). Additionally, in response to the needs of our externally commissioned care providers a Manual Handling Key Trainers programme is planned for 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			
	The team has continued to support the CYPS bulk recruitment programme of Social Care Officers (SCO) with 6 weekly group training/reflective practice sessions and 1:1 support for x16 new individuals. Individual support and learning plans have also been given to overseas and return to practice Social Workers. 'Grow our own' Social Workers has been promoted and we have 9 individuals who started/continued to study at level 1 in September 2022. Using the new internal sponsorship process 6 members of staff were sponsored to start year 2 of the Social Work degree this Quarter at Open University, due to qualify at the end of 2024. We also have one student who is being sponsored to do Year 3 of the Social Work degree due to qualify at the end of 2023. As well as providing placements for these 7 members of staff, we are providing an additional 21 placements to Student Social Workers throughout the year for our partner universities (Cardiff Uni and Cardiff Met) some of whom we hope to recruit in 2023/24. We have 3 Newly Qualified Social Workers who started their Consolidation course in Q3 (essential to maintaining their registration). The team continue to be responsive to the needs of the service to support staff to provide care and support to children and families in need which reflects their individual strengths and circumstances e.g. Age Assessment, Supervising Contact and Representing your Reports at Court.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/HR018 (HR/A016)	Review and rationalise our corporate policies to invest in supporting infrastructure to encourage more freedom, trust and empowerment.	☑	☑	☑	☑	☑		☑	☑	☑	TD	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Work is ongoing and on track – it is an evolving process and will include our H&S policies where we have a structure and plan for review												
WFR/AS019 (AS/A015)	Contribute to the capacity planning workstream of the Reshaping Programme.	☑	☑	☑	☑	☑		☑	☑	☑	SC	March 2023	**GREEN (Completed)**
ACTION UPDATE:	This action has been completed but there is ongoing review. We have undertaken Job Evaluation for several posts within the Adults Division to establish whether Job Description's reflect roles and responsibilities and attract correct salary for these. E.g. Day Services, Reablement Support workers.												
WFR/AS020 (AS/A017) WFR/CS021 (CS/A012)	Complete the succession planning exercise to inform workforce planning. Contribute to the capacity planning workstream of the Reshaping Programme to further the approaches to increase the recruitment and retention of critical posts		☑	☑	☑	☑		☑	☑	☑	SC RE	March 2023	**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/RMS022 (RMS/A026)	within Children and Young People Services Contribute to the capacity planning workstream of the Reshaping Programme										AP		
ACTION UPDATE:	Within Adult Services meeting will be arranged early 2023 to progress succession planning aspects relevant to the Division Within CYPS, our third international Social Worker started on 21.11.22 following some delays. Our file review Social Worker interviews are scheduled in this quarter. We have some recruitment ongoing to management posts in Intake and FS2. Within RMS, videos made and preparations in place for advertising campaign, Recently appointed a new HOS who is likely to commence around April/May.												
WFR/FS023 (FS/A012)	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.		☑	☑	☑	☑		☑	☑	☑	MB	March 2023	**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/AS024 (AS/A017)	Complete the succession planning exercise to inform workforce planning.										SC		
WFR/LD025 (LD/A006)	Work with colleagues in HR and OD to further develop succession planning arrangements in Legal and Democratic Services in order to retain expertise and skills especially in business-critical areas for the long term.										DM/VD/JR		
WFR/NS026 (NS/A012)	Work with the Neighbourhood Services and Transport HR Business Partner to implement a programme for succession planning in order to retain expertise and skills especially in business-critical areas for the long term, including participation in the kick Start Scheme.										ER		
WFR/HS027 (HS/A009)	Further develop succession planning arrangements as part of the corporate												

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	**Action**	**Risk 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/RP028 (RP/A007)	succession plan pilot in order to retain expertise and skills especially in business-critical areas for the long term. Further develop succession planning arrangements by exploring options within hard to recruit areas in Regeneration Services through the development of career pathways and continuing to recruit and retain year-out students in Planning services.										MI/AT/AD /NJ MG/PC		
WFR/SRS029 (SRS/A007)	Further develop succession planning arrangements as part of the corporate succession plan pilot in order to retain expertise and skills especially in business-critical areas for the long term.										 JB/CH/WL		
ACTION UPDATE:	New Operations Manager Exchequer is in place and the team is largely in place following some level of turnover in the spring. The existing Ops Manager is staying until the end of May to mentor the new appointee and support at year end.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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 Adult Services meeting will be arranged early 2023 to progress succession planning aspects relevant to the Division Succession Planning is embedded within Legal and Democratic Service with, the identification of key roles, with a review of Legal Services structures under consideration/action. Within Regeneration and Planning, several new middle grade posts have been established in the economy and community development teams that will assist in career progression for staff. Recruitment undertaken for new planning student posts. 21/22 students retained temporarily to assist with workload. Recruitment undertaken for OM post. Continued use of social media publicity of jobs to improve recruitment in hard to recruit areas. Within SRS, Succession Planning forms part of the wider piece of work on recruitment and retention pressures and the development of the Workforce Plan. Work in this area will build upon recent recruitments to Head of Service and OM roles and the development of the staff survey action plan and the principles set out in the DPPW report "Building for the future".												
WFR/AS030 (AS/A018)	Enhance proactive recruitment to Adult Placement Service (APS) hosts.	☑	☑	☑	☑				☑	☑	SC	March 2023	N/A
ACTION UPDATE:	No update available.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
WFR/AS031 (AS/A019)	Consider wider employee wellbeing offering and wider staff engagement. Identify themes and consider implementation of findings.		☑	☑	☑				☑	☑	SC	March 2023	**GREEN (On Track)**
WFR/AS032 (SL/A011)	Contribute to the development of a Council-wide Well-being Strategy which supports employees to achieve their full potential and keep staff well-being under review.										T Baker		
WFR/FS033 (FS/A011)	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.										MB		
WFR/LD034 (LD/A008)	Promote and encourage staff involvement in directorate and corporate staff engagement and well-being initiatives and										DM/VD		

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	proactively support staff to work at home and in different ways.												
WFR/NS035 (NS/A013)	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.										ER		
WFR/RP036 (RP/A009)	Promote and encourage staff involvement in directorate and corporate staff engagement and well-being initiatives and proactively support staff to work at home and in different ways.										MG/PC		
WFR/SRS037 (SRS/A006)	Promote and encourage staff involvement in directorate and corporate staff engagement and well-being initiatives and proactively support staff										JB/CH/WL		

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	development in line with the new ways of working.												
ACTION UPDATE:	Within Adult Services, actions are progressing through the OM's working with Communications and Lifecycle colleagues regarding recruitment strategies. We have tried to recruit again to the LTCS vacancies but without success, so Qtr 4 will now actively pursue the o/sea recruitment options as well as converting positions to Social Care Officer (SCO) where appropriate to do so. Our limiting factor in Qtr 3 has been the absence of social workers well established in the team who have had long term absence, as felt that it is required that we have resilient and stable social workers to support the learning and supervision of our unqualified positions. In addition, our issues have been further compounded because several SCO successfully completed their social work training following sponsorship by the Vale - this is to be celebrated, and we have advertised those SCO posts and been able to fill those vacancies, now meaning we can concentrate further on skill mix in LTCS. Our other teams have been successful in filling vacancies with only a small number of vacancies in other teams continuing to exist. The Learning Disability CST have been developing a peer forum to support people with practice, wellbeing and continuing development - this was initially for the Learning Disability team whilst they were building their team following high numbers of vacant posts, this has now expanded to other teams to be invited to join. Staff wellbeing and development continues to be a key focus in team meetings and one to ones. The directorate works closely with HR colleagues to ensure that all opportunities are identified. The Council's Wellbeing Champions are also arranging further sessions at Cosmeston and Porthkerry country parks which were attended by some directorate staff. Within other areas the Council continues to operate its hybrid approach to work in line with corporate initiatives. Within Regeneration and Planning, the directorate currently has 3 staff who are Wellbeing Champions. Staff are actively encouraged to engage in the activities offered to support wellbeing and is an agenda item at team meetings. All staff are supported to work at home where possible or take a hybrid approach to support work-life balance.												

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Hybrid working has proven to be a success in Planning and Regeneration with teams coming into work mainly to work collaboratively on projects rather than as individuals. Most teams will agree working patters where everyone is in the office on one day which works well for the management team as meetings and other meetings can be arranged around this. Moving forward it will be vital that when desks are made available in other buildings, that banks of desks and space for collaboration can be booked to enable this to continue. SRS have encouraged staff to take part in the VOG staff survey and conducted our own survey specifically aimed at recruitment, retention and wellbeing. The service is also engaged on a range of corporate programmes to support change within the Council and has a series of initiatives in place such as match funded training, professional subscriptions etc. to support staff development. The Staff survey undertaken during Qtr 2 which explored the themes of recruitment, retention and wellbeing will inform future improvements.												
WFR/CS038 (CS/A011)	In partnership with Foster Wales, increase the number and diversity of foster carers in the Vale of Glamorgan.	☑	☑	☑			☑		☑	☑	RE	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Up to end of Q3, we have approved 3 mainstream carers and 11 kinship carers.												
WFR/CS039 (CS/A013) WFR/RMS040 (RMS/A027)	Maintain oversight of the structure of CYPS to ensure resilience. Review the wider structure of RMS to ensure resilience.		☑	☑					☑	☑	RE	March 2023	**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/PB041 (PB/A028)	Undertake a review of the Policy & Business Transformation structure in the context of the creation of a new Director of Resources.										AP		
ACTION UPDATE:	The restructure within CYPS has now been completed with ongoing review. Residential Services: Trainee Manager/Practise Champion positions created and advertised - interviews were end of November 2022. Management Support officer posts created, and have been sent out for advertisement. Within Policy & Business Transformation, work to understand the future direction and resource pressures within the Policy & Business Transformation service has been undertaken so as to inform proposals for any structural changes that will be required. Work will continue in quarter four to refine proposals cognisant of budget pressures, with any formal changes to the structure being subject to the appropriate HR 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			
WFR/RMS042 (RMS/A021)	Implement the fast track to care programme to support Local Authority and private sector recruitment.	☑	☑	☑	☑			☑	☑	☑	AP	March 2023	**GREEN (Completed)**
ACTION UPDATE:	Action has been completed, but with ongoing review. It's been advised that the Fast Track to Care (FTTC) Programme needs to be continued and a fixed term post will be created to project manage Fast Track To Care moving forward. Fast Track To Care cohort 4 to start in October and Social Care Workforce Development team to manage this. Video by previous successful candidate to promote Fast Track To Care has been completed.												
WFR/RMS043 (RMS/A022)	Pilot the creation of a relief pool of staff in residential care to establish a bank system.	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2023	**AMBER (Minor Slippage)**
ACTION UPDATE:	Work on hold pending discussion online management, December 22 decision made not to progress due to the practicalities around managing and supervision of staff. In addition, due to the increase in salary this has greatly benefited the homes with more applicants for advertised vacancies.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/RMS044 (RMS/A010)	Recruit and retain staff to enable reopening of reablement service within residential care.	☑	☑	☑	☑				☑	☑	AP	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Recruitment of staff ongoing and more applicants since rise of grades. Relief bank on hold as managements structure/responsibilities need to be determined in collaboration with HR.												
WFR/ALN045 (ALN/A009)	Keep staff well-being under review and provide continued support through occupational health and targeted corporate initiatives and training	☑	☑	☑	☑				☑	☑	DD	March 2023	**GREEN (On Track)**
ACTION UPDATE:	All appropriate staff have completed the itsaboutme process which will be utilised to further support well-being. A group supervision initiative has been offered to headteachers, ALNCOs and staff working with pupils displaying complex SEMH difficulties. Staff are also able to access a range of well-being activities.												
WFR/ALN046 (ALN/A010)\n\nWFR/ALN047 (SP/A007)	Work with HR colleagues to address market forces issues impacting on recruitment and to consider pressures on recruitment due to short term grant	☑	☑	☑	☑				☑	☑	DD MH	March 2023	**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			
	funding and the age profile of the workforce												
ACTION UPDATE:	In general recruitment has been possible in all areas, there have been difficulties in some specialist areas such as visual impairment but these have been managed appropriately. The recruitment process for the Head of ALN and Well-being is progressing positively with a strong field of applicants. We continue to work closely with HR, following advice provided. OH referrals are sought when appropriate and other support and advice provided to ensure the wellbeing of our workforce. Managers support their teams effectively.												
WFR/SL048 (SL/A012)	Work with Colleagues in Human Resources & Organisational Development to establish approaches and practices which address the specific recruitment challenges of the service and support recruitment and development opportunities for a more diverse workforce.		☑	☑	☑				☑	☑	T Baker	March 2023	**GREEN (On Track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Schools participated and contributed to the development of the Councils Annual Development Plan. Discussions have taken place regarding potential recruitment programs to support entry level Welsh Language employment to support Welsh medium education. Work is underway with the Council's Diverse Group in relation to supporting diversity within the Council's Sustainable Communities for Learning programme.												
WFR/PB049 (PB/A022)	Continue to support and develop staff networks to support colleagues to improve inclusivity in the workplace and explore how they can inform future service design and delivery.	☑	☑	☑	☑	☑		☑	☑	☑	T Bowring/ NH	March 2023	**N/A**
ACTION UPDATE:	No update available.												
WFR/FS050 (FS/A013) WFR/LD051 (LD/A007)	Focus on up-skilling and developing flexibility in skill sets across all teams within the Finance Division and encourage take up of self-development opportunities. Focus on up-skilling and developing flexibility in skill sets across all teams and encourage take up of self-development opportunities.		☑	☑				☑	☑	☑	MB DM/VD	March 2023	**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/RP052 (RP/A008)	Continue to enhance the Management Development Programme in Regeneration Services so that current and future managers are equipped with the skills required to manage services of the future.										MG/PC		
ACTION UPDATE:	Within Finance there is a focus on up-skilling and developing flexibility in skill sets across all teams within the Finance Division and encourage take up of self-development opportunities. Within Legal and Democratic services, on-going work throughout 22/23 and embedded within the operational management of the LS team, demonstrated by the focus on development, opportunity, coaching, shadowing, and team working, despite the challenges posed by remote working. Within Regeneration and Planning, several staff members within regen have been taking part in Infuse and other management development activities put on by the likes of Academi.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/NS053 (NS/A014)	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 (specifically technical engineers and HGV drivers).		☑	☑				☑	☑	☑	ER/KP/GG /CS/MC/ BT/JL	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Several staff members within regen have been taking part in Infuse and other management development activities put on by the likes of academi.												
WFR/NS054 (NS/A007)	Further develop agile working within the service area and contribute to the renewal of the Corporate CRM.		☑	☑				☑	☑	☑	ER/KP/GG /CS/MC/ BT/JL	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Charging points at The Alps all live. Civic to be live soon. Work is on-going to decide how charging can be made available to staff/public and the charge for doing so.												
WFR/HS055 (HS/A008)	Deliver the Housing and Building Services Big Conversation Staff Engagement Strategy promoting staff engagement and wellbeing.		☑	☑				☑	☑	☑	MI/AT/AF /NJ	March 2023	**GREEN (Complete)**
ACTION UPDATE:	The Big Conversation exercise is now complete but ongoing staff engagement work will fall out of the Corporate staff survey												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/SRS056 (SRS/A005)	Further develop a recruitment strategy together with retention initiatives to address professional skill gaps within the Shared Regulatory Service.		☑	☑					☑	☑	JB/CH/WL	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Early discussions with HR on the possibility of introducing career grades into the SRS structure will be taken forward in the coming months. SRS also continues its staff friendly approaches to offering match-funded training opportunities and professional subscriptions. The development of the SRS staff survey action plan will also be central to the recruitment strategy and Workforce Development Plan for SRS and this is currently being developed.												

1 – Risk Overview	
1.1 Risk Description	Information Security involves the practice of preventing the unauthorised use, access, disclosure, disruption, modification, inspection, recording or destruction of information. This definition applies regardless of the form data/information may take i.e. electronic or physical. Local authorities have a duty to safeguard the data/information in line with requirements of legislation such as Data Protection Act 1998 and Computer Misuse Act 1990. In addition to legislative requirements there are also identified standards that public bodies can work towards to further enhance and strengthen their approach to information security such as compliance with the Public Services Network Connection Certificate requirements, Payment Card Industry Data Security Standard and ISO27001 that governs information security management. The General Data Protection Regulation is a regulation that has been made by the European Parliament, The Council of the European Union and European Commission which is intended to strengthen and further unify the approach to data protection across the EU. This new regulation has applied in the UK since 25th May 2018. The principles of the GDPR are similar to the those set out in the Data Protection Act, but with additional details regarding accountability and governance requirements and specifically requires organisations to show how they comply with the principles by documenting decisions the organisation takes in relation to processing activities. The Regulations have been designed to further minimise the risk of data breaches and uphold the protection of personal data, which is likely to result ensuring robust policies and procedures to ensure good governance measures are in place. The key risk associated with this is that we fail to meet the requirements of this regulation and safeguard our information and data. The threat from cyber-attacks is ever present and attacks are becoming more sophisticated with potential for greater impact. Our security controls to mitigate these risks need to keep pace with the changing threat landscape and the Council has invested in specialist ransomware protection software to mitigate this specific risk. Additionally, with the introduction of 365 we now have a number of new threat areas that need addressing as the benefits also bring governance risks and additional exposure from the external facing internet. 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 training and not just paper policy. The risk of a successful cyber-attack ranges from minor disruption to major consequences preventing the council from being able to operate and deliver services. One of the key risks associated with this is the failure to implement adequate information security management measures 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. Information Security controls are in place to enable staff to safely and securely operate from home, but we need to be vigilant and mindful of the risks associated with hybrid working arrangements by continually assessing the threats and our mitigating controls.
1.2 Risk Owner	**Director of Corporate Resources (TB)(SIRO).**

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

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

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

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• DPA/ICT Codes of Conduct in place together with Access to Information Procedures that is signed for by all staff and members. • On-line training available for DPA and introduction of Employees Information Security Responsibilities. DPA training available to all members via their induction. • Information Security & Governance Framework arrangements are in place. • The Council has just completed the annual IT Health Check (independent penetration and security testing) and has started the process of applying for a Public Services Network (PSN) compliance certificate. This compliance provides assurance and confidence in the	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Council's ICT security arrangements and allows connection to PSN services. • Information Governance Board ensures that changes made to working practices, support and maintain the integrity of our systems and the security of all information used by the Authority.			
Resources	• Building and Office security/access arrangements in place to control access to Council buildings for authorised staff, members, and visitors. Additional physical security controls have been approved by SLT. • 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 • 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. • Review of WASPI documentation remains ongoing. • 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.	2	2	4
Service Delivery & Well-being	• Information Security & Governance Framework arrangements in place. • Revised the Information Management Strategy to reflect how plans to use technology will	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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.			
Reputation	• We raise awareness amongst our customers of how we collect, record, monitor and use their personal data to ensure that we gain consent to do so.	2	1	2
Overall Effectiveness of Controls		**2**	**2**	**4**

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

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ISR/FIT001 ISR/SL002	Continue to work with colleagues across the Council to ensure compliance with relevant security standards, including GDPR, PCI and PSN.	☑	☑	☑	☑	☑			☑	☑	NW/JC T Baker	March 2023	**Green (On Track)**
ACTION UPDATE:	This is a continuous activity and is monitored closely through the Information Governance Group This action is being progressed in accordance with ISL/SL010 with other service areas in the council such as ICT for example.												
ISR/AS003 ISR/RMS004 ISR/PB005	Review in a timely way information sharing protocols. Ensure that Information Sharing Protocols are in place as required.	☑	☑	☑	☑	☑			☑	☑	SC AP TBowring	March 2023	**Green (On Track)**
ACTION UPDATE:	Information sharing protocols are in place, and under review to ensure that they are fit for purpose - part of the work programme to ensure the currency of these arrangements are accurate and in place are being considered under the partnership agreement with the development of the Vale Alliance. All information sharing protocols will be reviewed as required. Information sharing protocols are considered during project initiation to ensure they are put in place as 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			
ISR/AS006	Continue to maintain oversight of the development of information sharing systems/approaches.	☑	☑	☑	☑	☑			☑	☑	SC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Information sharing protocols are in place, and under review to ensure that they are fit for purpose - part of the work programme to ensure the currency of these arrangements are accurate and in place are being considered under the partnership agreement with the development of the Vale Alliance.												
ISR/ALN007 ISR/SP008 ISR/SL009	Ensure all staff complete and are up to date with relevant and appropriate training relating to information security, as aligned with new ways of working.	☑	☑		☑				☑	☑	DD MH T Baker	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Engagement in mandatory training is being monitored via i-Dev and staff who are not compliant receive reminders until training is completed. Compliance is now also monitored at monthly DMT 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			
	We work closely with colleagues in HR and OD to ensure colleagues complete training requirements appropriate to their professional needs and council policy.												
ISR/SL010	Strengthen the Council's approach to Information Governance to ensure our systems are robust, fit for purpose and compliant with current legislative requirements.	☑	☑		☑				☑	☑	T Baker EM	March 2023	**Green (On Track)**
ACTION UPDATE:	The reports and action plans within the report have been completed and key stakeholders consulted such as IGB. The report has been referred to SLT for endorsement and approval. The strategic action plan is being further developed with the BIT team and IGB has endorsed the establishment of a working group subject to SLT's approval.												
ISR/HR011	Keep under review the business requirements for governance, information management controls and policies and procedures as part of the review of the HR business partner structure.	☑	☑		☑				☑	☑	TD	March 2023	**Green (Completed)**
ACTION UPDATE:	This is ongoing business as usual.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/PB0012	Progress the archiving of Oracle CRM data in collaboration with ICT and information security colleagues.	☑	☑		☑				☑	☑	T Bowring/ TC	March 2023	**Green (On Track)**
ACTION UPDATE:	An archiving solution has been identified and work is progressing.												
ISR/SRS013	Undertake a review of information security against GDPR regulations.	☑	☑		☑				☑	☑	HP	March 2023	**Red (Slipped)**
ACTION UPDATE:	No progress during Qtr 3.												

1 – Risk Overview	
1.1 Risk Description	Action on climate change covers two areas: mitigation and adaptation. Mitigation relates to action taken to tackle the causes of climate change i.e. by reducing greenhouse gas emissions. Adaptation relates to action taken to adapt to the unavoidable effects of climate change caused by increased concentrations of greenhouse gases from human activities. Locally the immediate impact of climate change 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.

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

As part of this commitment the Council resolved it will:

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

Project Zero is the Council's response to the climate emergency. It brings together work that is already underway and policies, strategies that are in place. It sets out the challenges we face and the proposed activities we intend to take in order to meet these challenges. A fundamental aspect of the |

programme is that it recognises that everyone has a part to play and has responsibility to secure our legacy for future generations.

During 2021, Full Council approved the Climate Change Challenge Plan for Project Zero, that details the 18 challenges we need to tackle and are based on the need for us to demonstrate strong leadership to ensure we can fulfil our climate change responsibilities now. At Full Council, a motion was also passed to declare a Nature Emergency, and the actions to address this are also covered in the Climate Change Challenge Plan.

The Challenge Plan reflects commitments in the Council's Corporate Plan 2020- 25 which sets out the Council's four Well-being Objectives and how they will be delivered. The Corporate Plan includes a commitment to work to reduce the organisation's carbon emissions to net zero by 2030 and to encourage others to follow the Council's lead as part of minimising the negative impact of our activities on the environment. The Corporate Plan is supported each year by an Annual Delivery Plan (ADP). The ADP for 2022-23 includes a number of activities that will contribute to work to tackle climate change and Project Zero is one of six cross-cutting themes in the ADP.

The overarching key risk associated with Project Zero is inability to effectively implement the Climate Change Challenge Plan to effect change and mitigate against the impact of climate change.

1.2 Risk Owner	Director of 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
Yes	Yes	Yes	Yes	No	Yes	No

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	Failure to meet legal duties in relation to the Flood and Water Management Act. Inability to meet Welsh Government requirements for Statutory Transport Guidance as it relates the Active Travel and Learner Travel Wales.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Failure to define our vision, ownership, and responsibility for addressing climate change issues.
		Inability and capacity of the Council and its key partners to deliver the Climate Change Challenge Plan and meet our climate change commitment of becoming net zero by 2030.
		Failure to fully utilise our land use planning framework and other policy levers to become more resilient to climate change and its effects.
		Impact of cost-of-living crisis on our ability to sustain momentum and buy in from key stakeholders to address climate change challenge at the present time.
Resources	Yes	Limited asset renewal funding could result in the Council not being able to meet its CO_2 reduction target set out in the Carbon Management Strategy and Implementation Plan.
		Increased pressure on our financial resources as a consequence of cost-of-living crisis impacting on our ability to invest in assets and programmes of work aligned to our Climate Change Challenge Plan.
		Annually shrinking budgets and its negative impact on our ability to maintain our vision of achieving net zero by 2030.
		Impact of our failure to meet our commitments under the CRC Energy Efficiency Scheme and its associated financial benefits.
		Council incurs fines as a result of failing to meet statutory waste reduction targets.
		Impact on cost-of-living crisis on the affordability of key net zero capital programmes such as Sustainable Communities for Learning programme.
Service Delivery and Wellbeing	Yes	Failure to deliver key flood alleviation schemes across the Vale and exposing flood prone areas to a greater risk of flooding. Failure to implement the Shoreline Management Plan impacting on our ability to monitor and manage coastal erosion.
		Failure to reduce our carbon footprint by not reducing our CO_2 emissions and improving our energy efficiency.
		Disruption and financial cost of flooding to homes and businesses.
		Failure to engage and encourage to residents to participate in Active Travel (use alternative forms of transport to the car).

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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. The impact new developments places on putting in place a sufficient public transport infrastructure. Failure to fully deliver the Carbon Management Plan. Failure to increase recycling rates and reduce landfill waste to an acceptable level (zero waste by 2050). This risk has multiple potential environmental impacts including: i.e. climate change implications (waste currently contributes around 4.7% of direct greenhouse gas emissions in Wales) and pollution of the local environment (e.g. contamination of groundwater; soil contamination). Inability to engage with our communities to support delivery of Project Zero and facilitate change on the ground. Our emphasis needs to be on how we empower our citizens to play a more 'active role' in defining and working towards our net zero goals.
Reputation	Yes	Failure to 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 (Almost certain)	3 (High)	**12 (High)**
Resources	3 (Almost certain)	3 (High)	**12 (High)**
Service Delivery & Well-being	3 (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	• Supplementary planning guidance on sustainable development in new builds is in place. • Planning Policy Wales has been updated to take account of the Well-being of Future Generations Act • Development Management – ensuring decisions on new development proposals have regard to sustainability. • The adopted Local Development Plan provides a framework to shape sustainable development and the process includes Sustainability Appraisal (incorporating Strategic Environmental Assessment) • Submitted bids to Welsh Government for Environment Grants to implement environmental and countryside programmes locally. • The Corporate Plan 2020-25 includes a commitment to work to reduce the organisation's carbon emissions to net zero by 2030 and to encourage other to follow its lead in minimising the negative impact of our activities on the environment. • 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 Project Zero Climate Challenge Plan approved by Council and a nature emergency has also been declared.	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Resources	• Development of updated Carbon Management plan (CMP). Zero Carbon surveys are being undertaken in buildings to create a programme of works which help towards meeting the Carbon Management Plan targets. • Eich Lle Programme and Asset Management Strategy in place. • Implementation of LED lighting in residential areas and to main road/highways. LED lighting installation at Cowbridge Leisure Centre • 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. • 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 – associated Nature Emergency action plan been developed. • Green infrastructure Strategy in developed. • PSB Climate Emergency Charter developed to highlight work being undertaken by partners. • Completed our first submission of emissions data to Welsh Government.	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Service Delivery & Well-being	• 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. • Implementation of 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 • Licences for grazing land incorporate biodiversity gains wherever possible. • Development and implementation of Flood Alleviation Schemes. • 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. • New housing development schemes in the Vale of Glamorgan utilise modern methods of construction. • Construction net zero carbon primary schools in Wales. South Point Primary is first net zero school in operation in Wales. • Planning policy Wales has been updated by Welsh Government and will focus on sustainable development including biodiversity and flood risk. • Active Travel maps have been completed and published with ongoing review of maps.	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• Ten of our 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. • Council promotes the 'All Wales Concessionary Travel Scheme' and the 'My Travel Pass' on digital platforms. • 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. • Council continues to work with the Food Vale Partnership. • EV charging points are being installed in around 18 car parks including the country parks as well as on street provision and the EV taxi scheme was launched. • Draft Waste Management Strategy developed.			
Reputation	• Work closely with businesses to raise awareness of sustainability initiatives and to launch campaigns. • Provision of child pedestrian and cycling training in Vale schools. • Promotion of Active travel. • Production of an up-to-date planning guide for use by the public to raise their awareness of planning policy and decision-making processes. • Developed Project Zero web pages with a community focus. • Undertaken meeting with groups in Llantwit Major, Wenvoe and Penarth to enhance community engagement with our Project Zero activities.	1	1	1
Overall Effectiveness of Controls		**1**	**1**	**1**

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	1	1	1	4	3	12	⬆	⬆
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**	3	3	**12 (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			
ESR/PB001 (PB/A003)	Develop and deliver our Communications Strategy, community engagement approaches (including young people, protected groups and those socially disadvantaged groups) and our, website content to encourage behaviour change and shape our work as part of Project Zero.	☑	☑	☑	☑	☑		☑	☑	☑	TB	March 2023	**Green (On Track)**
ACTION UPDATE:	The new Project Zero engagement platform (website) is due to launch in February. The Council's work to tackle climate change continues to feature prominently in its comms output. A new comms plan for 2023/24 is in development.												
ESR/PB002 (PB/A041)	Work with our PSB partners to take action in response to the climate emergency and encourage behaviour change within our organisations and the local community.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2023	**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:	Tackling climate change is a priority in the draft Well-being Plan which is currently subject to consultation. The PSB sub-group is continuing to meet and to share good practice. The new Programme Manager for Project Zero will assist in building momentum with this work.												
ESR/PB003 (PB/A042)	Lead on the engagement, communications, evidence and food systems challenges in the Climate Challenge Plan.	☑	☑	☑	☑	☑		☑	☑	☑	TB	March 2023	**Green (On Track)**
ACTION UPDATE:	Work is progressing across all challenges and detail is included in the progress report to scrutiny in January. A consultants report has now been completed on emissions in the community to complement the report on the Council's carbon emissions. Work has progressed to develop new Project Zero web pages and Project Zero is being referenced in a range of communications to highlight the breadth of work that contributes to tackling climate change. As part of the consultation on the Annual Delivery Plan and the PSB Well-being Plan we have gathered more views form the public on issues around climate change and work is also continuing with young people with support from the Youth Service. The Council continues to work through Big Fresh and Food Vale to promote sustainable approaches to food in terms of diet, waste and food miles.												
ESR/PB004 (PB/A035)	Work with relevant Council services to assist in the delivery of the Cardiff and Vale Move More, Eat Well Plan and ensure linkages are made with Project Zero.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2023	**Green (On Track)**

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Work continues to support the work of the More Eat Well Plan in the Vale with colleagues attending the health advertising stakeholder event in November. Partners have arranged to meet in the next quarter to discuss the outcomes of the event and a way forward for the Vale. The regional Move More Eat Well Implementation Group continue to meet to progress local actions and this also forms part of the work of the regional Amplifying Prevention Board.												
ESR/PB005 (PB/A040) ESR/RP006 (RP/A026) ESR/LD007	Develop and co-ordinate the delivery of the Project Zero Challenge Plan including regular progress updates. Implement and lead upon the relevant commitments (focussing on planning, regeneration, community economic growth, green infrastructure and transport) of the Project Zero Action Plan to mitigate the effects of climate change and reduce the negative impact on the environment.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB DM MG DM HP ER	March 2023	**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			
(LD/A017)	Support the Council's work to take collective action to tackle climate and nature emergencies and implement our Climate Change Challenge Plan.												
ESR/SRS008 (SRS/A015)	Support the implementation of the Project Zero Climate Change Challenge Plan through the delivery of regulatory activities that contribute to the reduction of carbon emissions.												
ESR/NS009 (NS/A031)	Implement the relevant Neighbourhood Services & Transport actions of Project Zero, our Climate Change Challenge Plan, focusing on using more sustainable forms of transport, reducing waste and flooding, increasing the use of												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	electric/ carbon vehicles by staff thereby reducing our carbon emissions.												
ACTION UPDATE:	A new Programme Manager for Project Zero started mid-November. Work is continuing to develop the programme management arrangements for the work but a comprehensive progress report has been prepared for consideration by Scrutiny in January and Cabinet. The continued importance placed upon landscaping, tree planting and bio-diversity enhancements when determining planning applications. Biodiversity enhancements to be secured on all developments going forward. Transport interchange works commenced at Dock Office. Working with contract team regarding conditions and delivery. Member consultation on RLDP growth options and continued development of spatial options for RLDP with climate change at the heart. Development of Green Infrastructure strategy continues. Workshop held with all council service areas to inform GI work. Work with Active travel officer regarding new routes between St Athan to Rhoose, Barry to Rhoose, and Barry to Dinas Powys. Further on-site assessments in Llantwit Major and Sully. Continued review of RLDP candidate sites with integral focus on sustainability and minimising climate impacts. Within SRS, preparation work has been carried out to ensure that the necessary infrastructure is in place to deliver on the Minimum Energy Efficiency Standards legislation in the private rented sector including the uploading of information to the website and the production of a suite of letters. A programme is currently being planned to initiate a mail drop to owners of the relevant properties. Compliance and enforcement work in this regard will commence later. In addition SRS undertake Nest inspections to enable installation of more efficient heating systems.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Charging points at The Alps all live. Civic to be live soon. Work is on-going to decide how charging can be made available to staff/public and the charge for doing so. The new draft Recycling and Waste Management Strategy (2022-2032) is complete as well as the public consultation. This strategy focuses on waste minimisation, increasing recycling and ensuring sustainable markets as well as contributing to a circular economy by opening a new reuse shop adding repair and reuse to the service strategy. This will be reported to Cabinet in January 2023 (Quarter 4).												
ESR/AS010 (AS/A024) ESR/RMS011 (RMS/A034)	Agree and implement the future operating model for Adult Services in the context of the Council's Transformation agenda and 'Eich Lle'- 'Your Space' project.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC AP	March 2023	**Green (On Track)**
ACTION UPDATE:	Within Social Services, the second workshop took place with wider members of SMT. Establishment numbers/ survey findings were reviewed and options going forward were explored. Storage requirements inventory completed for RMS. This will now be extended to CYPS and AS. (BW)												
ESR/CS012 (CS/A017) ESR/ALN013	Maintain the benefits of hybrid working by reducing unnecessary journeys, maximising our use of technologies and ensuring more effective use of our assets.	☑	☑	☑	☑	☑		☑	☑	☑	RE DD MH	March 2023	**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			
(ALN/A026) ESR/SP014 (SP/A020)													
ACTION UPDATE:	Within Learning and Skills Directorate, it continues to support staff to have a balance between home and office based working. The corporate review is yet to be completed. We continue to work in an agile manner, combining face-to-face and remote work as appropriate. In addition, colleagues are more open to working in situ in schools where possible.												
ESR/ALN015 (ALN/A027)	Ensure specialist provision continues using online technology for assessments and reviews where possible ensuring that ALN needs are addressed.	☑	☑	☑	☑	☑		☑	☑	☑			**Green (On Track)**
ACTION UPDATE:	Computer allocation and online training continues to be rolled out. Outreach / resource base Leads are working with Complex Needs Team and MIS ONE team to ensure the right pupil , visit and referral information is being recorded, and reports developed to ensure that ALN data can be retrieved for provisions, services and individual pupils.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/SL016 (SL/A022)	Utilise new technologies and digital practices to reduce electricity usage and carbon emissions across the Council, with a focus on the education estate.	☑	☑	☑	☑			☑	☑	☑	TBaker	March 2023	**Green (On Track)**
ACTION UPDATE:	Fuel Stretcher technology at Llantwit Learning Community only tested for 6 weeks due to issues around the trial. Agreed to retrial technology over the 2022/23 period. K2N data – generally schools are hitting targets for electricity but failing at heating use. Undertaking mechanical review to understand whether underfloor heating is most effective and if radiators would be more efficient in certain instances. To address heating target project team to look at pupils in post occupancy reviews focusing on occupant psychology, how warm or cold does it feel compared with the actual temperature. Add specific questions to post occupancy review around heating as part of the five year commitment to governors at new schools. Salix schemes are continuing.												
ESR/SL017 (SL/A023)	Improve existing school buildings and deliver new buildings for St Nicholas, St Baruc, the Centre of Learning and Well-being, Ysgol y Deri, and primary school provision in Cowbridge, where possible making them low carbon and ideally zero carbon buildings to operate.	☑	☑	☑	☑	☑			☑	☑	T Baker	March 2023	**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:	Ysgol Sant Baruc is under construction and will be delivered as low carbon, these measures being fully funded by Welsh Government. St Nicholas is under construction and will be net zero carbon in operation. Centre for Learning and Wellbeing and Cowbridge Primary are both under construction and will be net zero carbon in operation. Ysgol Y Deri is planned for construction in April 2023 and will be net zero carbon in operation. The team are aiming to improve existing construction model to include net zero carbon during construction to make new project net zero over whole life. The embodied carbon target for 2023 is now being met on schemes which have yet to start construction. South Point data on energy efficiency is still under review.												
ESR/SL018 (SL/A024)	Further invest in carbon reduction measures across the education estate.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T Baker	March 2023	**Green (On Track)**
ACTION UPDATE:	Salix schemes are ongoing. Continuing the rollout of schemes for LED installation and PV panels to ensure targets are met. Salix schemes have been reviewed against the Band B expansion project list to ensure works are not duplicated.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/SL019 (SL/A025)	Encourage and support sustainable changes via the wider school reorganisation programme with a focus on increasing opportunities for active and green travel and participation.	☑	☑	☑	☑		☑	☑	☑	☑	T Baker	March 2023	**Green (On Track)**
ACTION UPDATE:	The Sustrans loan a bike scheme is now available to staff and this has been widely advertised within the Directorate this quarter, including all of our schools.												
ESR/SL020 (SL/A026)	Improve school grounds biodiversity as a means of decarbonisation and map natural carbon sinks.	☑	☑	☑	☑			☑	☑	☑	T Baker	March 2023	**Green (On Track)**
ACTION UPDATE:	The service is engaging with Local Nature Partnership to identify funding to improve school grounds. Awarded funding for citizen science project to measure biodiversity at schools on a rolling programme. Project to link with eco-schools co-ordinator. Potential to produce data on the benefit of improved ecological value at schools. Work continues to rollout wormery pilot to schools, secured funding and to start project in February 2023 to help reduce food waste. The team is liaising with schools to utilise funding resources to improve onsite biodiversity through planting woodlands.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/SL021 (SL/A005)	Work with our partners and engage with schools to respond to the Climate Change Challenge with a particular focus on active travel, green travel, new technologies and digital practices to reduce carbon footprint.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T Baker	March 2023	**Green (On Track)**
ACTION UPDATE:	Ysgol Sant Baruc have prepared the first Active Travel Survey to inform Travel Plan for new school. Active Travel Survey has been reviewed by the Council's Active travel Officer and is with the School to undertake in January 2023. St David's Primary are continuing to use their travel plan and South Point are currently preparing to release their Travel Plan to parents in January 2023. We are incorporating EV charging into new schools with potential to roll out further. Discussions with Property on operation system used for charging points is ongoing.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk 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/SL022 (SL/A001)	Implement the Council's new Digital Strategy, focusing on expanding online services and the range of digital methods used to engage and communicate with Vale of Glamorgan citizens, whilst reducing office space and travel.	☑	☑	☑	☑	☑		☑	☑	☑	T Baker	March 2023	**Green (On Track)**
ACTION UPDATE:	SOCITM Advisory have now been commissioned to carry out the work as described in the Q2 update. Project initiation has been set as 10th January 2023, and the work will be completed in this financial year as planned.												
ESR/SL023 (SL/A004)	Engage and support schools with remote learning provision and new technologies to maximise access to learning and minimise inequalities for learners.	☑	☑	☑	☑	☑	☑	☑	☑	☑	T Baker	March 2023	**Green (On Track)**
ACTION UPDATE:	1. Wider (national) engagement is now taking place with regard to procurement of next generation Schools MI Systems, we are engaging with Digital Public Services on 3 separate workflows: a. Direct Award of ParentPay/ESS												

3. Risk Management Plan – Mitigating Actions														
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status	
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term				
	b. Competition via a Framework c. Explore Teacher Centre 2. The majority of 2022-23 Hwb funded equipment has now been delivered, including wave 5 equipment. It is expected that all equipment would have been shipped and installed by the end of Q4. 3. Server migration progress is still slow, waiting on the corporate IT server team to install new network adapters into the new servers, this set back was due to issues with IT procurement. Unsure whether servers will be operational and VM's migrated by end of Q4.													
ESR/FS024 (FS/A017)	Reshape procurement practices and policies to ensure our procurement activities contribute to the national Well-being Goals, support work around climate change, community benefits, response to challenges as a result of Brexit and build on the foundational economy project.	☑	☑	☑		☑			☑	☑	MB	March 2023	**GREEN (On Track)**	
ACTION UPDATE:	Due to go to Cabinet for approval Feb/ Mar 2023. Currently out for Consultation with a range of suppliers. SLT and Insight board happy with the document.													

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/FS025 (FS/A022)	Gather, review and submit data information required for annual net zero carbon footprint submission to Welsh Government	☑	☑	☑	☑			☑	☑	☑	LC	March 2023	**Green (Complete)**
ACTION UPDATE:	Net Zero reporting data was submitted to Welsh Government as required in Q3.												
ESR/FS026 (FS/A023)	Reduce the amount of energy we all use and lead by example sourcing our energy from clean and renewable sources and working across all sectors to bring new technology, innovation and investment to the Vale.	☑	☑	☑	☑	☑	☑	☑	☑	☑	LC	March 2023	**Green (On Track)**
ACTION UPDATE:	Work continues and discussions with finance colleagues has commenced in connection with funding opportunities for this work. The installation of EV charging points in both the Alps and Civic offices has now been completed. Further PV solar schemes have been identified and will be progressed subject to funding. Automatic Metre Readers (AMR's) for water consumption is in the process of being												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	rolled out across 200 of the Councils building assets. 60 AMR's are already in place which are already reporting data, with another 140 AMR's due to be installed during Q4.												
ESR/FS027 (FS/A021)	Manage our use our land, buildings and other assets to support work to tackle climate change, rationalising what we need and improving sustainability and energy efficiency.	☑	☑	☑	☑	☑		☑	☑	☑	LC	March 2023	**Green (On Track)**
ACTION UPDATE:	Wardell Armstrong have completed their draft report on the wider County Carbon Footprint calculation (CRF funded project). The results of this report will be presented to the Project Zero Board during Q4. A Project team has been set up to look at a site-specific energy project with further detail to be shared in future updates.												
ESR/FS028 (FS/A024)	Prepare an updated Carbon Management Plan with appropriate recommendations and actions for 2023-2030.	☑	☑	☑	☑	☑	☑	☑	☑	☑	LC	March 2023	**Red (Slipped)**
ACTION UPDATE:	The Carbon Management Plan 2023-2030 was in the process of being drafted, however the Energy Team has been significantly depleted during Q3 and therefore staff resources do not currently allow for the plan to be completed under the planned timeframe. Recruitment												

		Risk Categories				Demonstration of 5 Ways of Working							
3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term	**Officer**	**Completion Date**	**Status**
	options are currently being considered to adequately resource the team and the CMP will take priority as soon as resource issues allow. It is hoped that the CMP can be completed during Q1 next financial year.												
ESR/FS029 (FS/A025)	Revise our Contract Management and Procurement policies and practices to ensure they support our ambition to reduce waste and carbon emissions.	☑	☑	☑	☑	☑			☑	☑	MB	March 2023	**Green (On Track)**
ACTION UPDATE:	Due to go to Cabinet for approval Feb/ Mar 2023. Currently out for Consultation with a range of suppliers. SLT and Insight board happy with the document.												
ESR/FS030 (FS/A026)	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	☑	☑	☑	☑	☑	☑	☑	☑	☑	MB/LC	March 2023	**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			
	untenanted land by reducing cutting regime of hedgerows.												
ACTION UPDATE:	No new farm business tenancies have been granted in Q3.												
ESR/HS031 (HS/A002)	Work in partnership with residents and stakeholders to improve community engagement and encourage behaviour change in relation to reducing food poverty and waste in line with the Climate Change Community conversation.	☑	☑	☑	☑		☑	☑	☑	☑	NJ	March 2023	**Green (Complete)**
ACTION UPDATE:	Additional grant funding secured to support the delivery of the Food Pod and services continue to be provided to people in need. Discussions with volunteers due to take place in January to consider scope for improvements to delivery model.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/HS032 (HS/A030)	Deliver near zero carbon, or at a minimum A rated new Council homes and utilise Optimised Retrofit Programmes that include Modern Methods of Construction and off-site manufacturing to meet carbon reduction targets.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI	March 2023	**Green (On Track)**
ACTION UPDATE:	A tender package for consultancy services is being developed to support the PAS2035 surveying of all Council homes to develop a programme of investment to achieve EPC band A properties by 2033.												
ESR/HS033 (HS/A031)	Continue to invest in our housing stock and improve thermal efficiency by maximising the performance of the existing components and materials of our homes and looking at alternative fuel supplies to support carbon reduction and reduce fuel poverty.	☑	☑	☑	☑	☑			☑	☑	MI	March 2023	**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 tender package for consultancy services is being developed to support the PAS2035 surveying of all Council homes to develop a programme of investment to achieve EPC band A properties by 2033.												
ESR/HS034 (HS/A034)	Deliver a range of environmental projects through the Community Investment scheme to include communal space improvements at; Penarth, Trebeferad, Llantwit Major and Buttrills, Barry to enhance the local area and improve neighbourhoods.	☑	☑	☑	☑	☑			☑	☑	MI	March 2023	**Green (On Track)**
ACTION UPDATE:	A range of environmental projects have been identified in line with residents priorities and local issues e.g. parking, unused green space, lack of play arears etc. Works have been delivered at some sites including the provision of new parking bays at Fairoaks in Dinas Powys and the Margaret Avenue Community Garden. Environmental improvement works are on site at Buttrills following community consultation- to improve garden areas, fencing and green space; whilst works are still programmed to take place in Trebeferad.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/HS035 (HS/A033)	Continue to operate and develop the Food Pod and Clean Slate scheme in Penarth and further develop the Education Centre and Plastic Bottle Green House at the Margaret Avenue Garden project.		☑	☑	☑			☑	☑	☑	MI	March 2023	**Green (Complete)**
ACTION UPDATE:	Food Pod service now established and assists local people experiencing food poverty.												
ESR/NS036 (NS/A32)	Establish a network of locally accessible electric vehicle charging points and undertake work to ensure a more sustainable Council vehicle fleet including the use of electric, hybrid and alternatively fuelled vehicles in line with current EU Environmental Standards.	☑	☑	☑	☑			☑	☑	☑	KP/GG/JL	March 2023	**Green (On Track)**
ACTION UPDATE:	EV chargers at The Alps installed and running. Installed at the Civic Offices awaiting final updates for implementation due by 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/NS037 (NS/A035)	Continue to implement cycle and pedestrian facilities in accordance with the Approved Active Travel Network Maps for the Vale of Glamorgan (2022) and ensure all transport improvement schemes include active travel measures.	☑	☑	☑	☑	☑	☑	☑	☑	☑	KP/LE	March 2023	**Green (On Track)**
ACTION UPDATE:	On-going with use of core active travel funding provided by WG. Two pedestrian routes (Main St and Vere St) will be brought up to AT pedestrian standard by end of Q4 by installing missing dropped kerbs and tactile paving.												
ESR/NS038 (NS/A001)	Build momentum around the Climate Change Community Conversation and the nature emergency involving different stakeholders with a focus on waste service change proposals for Penarth and flats and apartments, covenants on green spaces with fields in trust to protect open space and biodiversity as well as reinstatement	☑	☑	☑	☑	☑	☑	☑	☑	☑	CS/BT/DK	March 2023	**Green (On Track)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	of the old harbour as a biodiversity area.												
ACTION UPDATE:	The roll out to Penarth is due to commence on 17th April, 2023 and combined the service area will commence consultation throughout the whole of Penarth area through the use of roadshows and social media to build momentum on the waste agenda and the environmental benefits linking in with the environmental change agenda. Additionally the parks department continue to build upon biodiversity and is currently exploring options to protect this for now and the future in respect of parks and the old harbour.												
ESR/NS039 (NS/A002)	Involve, engage and consult residents and other stakeholders including the voluntary sector and town and community councils in redesigning waste, flood risk management, trees, transport and active travel services, ensuring that those who are seldom heard have the opportunity to be involved. This will include the development of school Active Travel Plans, active travel consultations and a public transport opinion survey (2022).	☑	☑	☑	☑		☑	☑	☑	☑	MC/CM/CS /BT/DK/KP /LE/EG/JL	March 2023	**Green (On Track)**

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	All AT consultations completed in near completion. All comments fed back into further design process.												
ESR/NS040 (NS/A038)	Continue undertaking route optimisation of school transport services to ensure pupil safety, increase service efficiency and reduce carbon emissions.	☑	☑	☑	☑	☑		☑	☑	☑	KP/LE	March 2023	**Green (On Track)**
ACTION UPDATE:	Cost of school transport provision continues to rise with supplier operating costs increasing.												
ESR/NS041 (NS/A033)	Review the way journeys are undertaken by staff including the use of electric pool cars and implement the Public Service Board's Staff Healthy Travel Charter, encouraging staff to use their cars less and to be more active.	☑	☑	☑	☑	☑	☑	☑	☑	☑	JL/GG	March 2023	**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:	Alps infrastructure all in place. Facilities have attended initial training, awaiting confirmation on roll out across Fleet / Business Support. Also need to include finance for charging. Aiming for fully operational in Quarter 3.												
ESR/NS042 (RP/A031) ESR/NS043 (NS/A045)	Deliver the Biodiversity Forward Plan with an emphasis on increasing staff awareness about the importance of embedding biodiversity across the work of the Council. Contribute to enhancing biodiversity and addressing climate change sustainability by implementing the relevant actions contained within the Biodiversity Forward Plan, including the drafting of an Interim Tree Management Plan and an action plan to manage Ash Dieback.	☑	☑	☑	☑	☑		☑	☑	☑	MC/DK/AS	March 2023	**GREEN (On Track)**

3. Risk Management Plan – Mitigating Actions													

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	The Council continues to deliver the plan at a corporate level and an it is proposed that these biodiversity plan outcomes will form part of all service plans to ensure that they are reported on and evidenced. Discussions to take place with the policy team to see how these can be integrated. Within Neighbourhood Service work has been finalised on areas of grass land to ensure only suitable sites within the contracted grass areas are included with the correct regime in place which will enhance / increase / improve the biodiversity within such areas and increase our green corridors for pollinators etc. grass contract to be posted on Sell2Wales imminently - based on returned costs will look at option of commencing the modified areas within the contract for 2023 season.												
ESR/RP044 (RP/A030) ESR/NS045 (NS/A044)	Publish a Green Infrastructure Strategy and work with our partners including the Local Nature Partnership to respond to the nature emergency and implement an ambitious tree planting programme. Work with colleagues in Regeneration Services to develop a Green	☑	☑	☑	☑	☑	☑	☑	☑	☑	ER	March 2023	**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			
	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.												
ACTION UPDATE:	A workshop with key stakeholders was held in December 2022 and the outputs of this are currently being analysed. A Shared Prosperity Fund bid is being prepared to seek funding to progress the strategy. Meetings held with Regeneration colleagues and AT schemes would not fall into this. More so the wider environment around them.												
ESR/NS046 (NS/A052)	Implement the revised Flood Risk Management Strategy in response to the updating of the National Flood and Coastal Erosion Risk Management Strategy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	ER	March 2023	**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:	Welsh Government and Ministerial approval still awaited. Consideration of merging LRMS and FRMP and procurement of delivery therefore deferred to Q4 subject to WG and Ministerial approval.												
ESR/NS047 (NS/A053)	Complete the Llanmaes Flood Risk Management Scheme.	☑	☑	☑	☑			☑	☑	☑	MC/CM	March 2023	Green (On track)
ACTION UPDATE:	An initial reappraisal of the scheme economics has been completed for both the preferred scheme and a number of sub-options delivering a reduced standard of service. This exercise has confirmed that a reduction in scheme costs by removing sections of the works is accompanied by an increase in damages with none of the options considered resulting in a BCR greater than one. A more advanced economic appraisal of the tendered scheme has therefore commenced, following consultation with WG, to demonstrate greater scheme benefits. This appraisal is due for completion in Q4 and a pre-emptive bid for WG capital pipeline funding for the construction phase was submitted in Q3. Given the above, and subject to the demonstration of increased scheme benefits and Welsh Government funding availability, procurement is likely to commence early next financial year.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/NS048 (NS/A054)	Monitor and assess changes in coastal morphology, including the beach and cliffs, in accordance with the appropriate Shoreline Management Plans.	☑	☑	☑	☑			☑	☑	☑	MC/CM	March 2023	**Green (On track)**
ACTION UPDATE:	The collection of wave, water level and meteorological data is continuing at Penarth Pier. A thunderstorm in November 2022 resulted in the loss of data transmission and damage to one of the pressure-transducers. Data transmission was restored in December 2022 after 5 weeks and further repairs are being planned. Strategic monitoring of beach profile data being coordinated by the WCMC with no data collected during the current period. A multi beam bathymetric survey has been commissioned for delivery in Q4, pending suitable weather conditions, to extend survey coverage west along the Knap and Porthkerry frontage to help inform implementation of SMP policy.												
ESR/NS049 (NS/A015)	Work with partners including the Cardiff Capital Region, Welsh Government and landowners to develop sustainable transport links to residential, employment and leisure areas including cycle, bus and rail links.	☑	☑	☑	☑	☑	☑	☑	☑	☑	KP/LE/AE	March 2023	**Green (On Track)**

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Consultation report published for Active Travel route from Barry to Cardiff Airport. Scheme well received and land purchase will be explored in Q4. Consultation on final design of Active Travel route through Eglwys Brewis launched Q3 with ground clearance works due to start early Q4. Meetings held with consultants working on Metro Enhancement Framework to discuss WG aspirations to connect areas of the Vale and neighbouring authorities.												
ESR/NS050 (NS/A026)	Develop and promote the range of events, leisure, recreational and educational activities available across our venues and outdoor spaces with an ambition to deliver a number of carbon neutral public events.	☑	☑	☑	☑			☑	☑	☑	KD/JG	March 2023	**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:	Sustainability and the aim of delivering carbon neutral events continue to be a key part of planning new events. The recent Christmas Play event promoted this objective and had several goals in terms of not using single use plastics and using recycled materials for activities. Winter program of community events was extensive. Community nature conservation showing increases in take up and volunteering. Again Penarth, Rhoose and West Barry featuring strongly. Looking forwards – discussions taking place to help fund and support these smaller community led event on a more sustainable basis during Q4 with expected me support program in place for 23-24 Q1												
ESR/A051 (NS/A037)	Complete the conversion of the remaining bespoke / ornamental street lanterns to LED.	☑	☑		☑				☑	☑	MC/NT	March 2023	**Green (On Track)**
ACTION UPDATE:	Works to convert LED street lights within Penarth Marina, along Cliff Hill, and approx. 31 outstanding Victorina cast iron columns around Penarth town centre are programmed to be completed in Quarter 4 subject to receiving specialist lanterns ordered in Q3.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/NS052 (NS/A034)	Develop the business case and secure funding for extending the OVO electric bike programme in Barry.	☑	☑	☑	☑				☑	☑	KP/LE	March 2023	**Green (On Track)**
ACTION UPDATE:	Funding application to be made to Shared Prosperity Fund for consideration in January 2023. Successful applications will be informed by end of Q4. If we are successful then implementation of Barry expansion will be spring/summer 2024. Application to SPF for Brompton Dock to be installed in Llantwit Major Interchange. Funding status should be known by beginning of Q4. If successful then dock would be installed by end of March 2023.												
ESR/RP053 (RP/A029)	Invest in education, sustainable transport, community facilities, affordable housing and green infrastructure as a result of negotiating Section 106 payments from developers in areas where development has occurred (as detailed in the annual Section 106 report).	☑	☑	☑	☑				☑	☑	MG KP/EG/LE	March 2023	**Green (On Track)**
ACTION UPDATE:	Section 106 investment continues. Work on the new footway / cycleway in Rhoose is progressing well. Work on the replacement Belle-Vue pavilion and the historic shelter in Penarth is ongoing. Adventure trail and art works at Seel Park, Dinas Powys have been completed. New bench seating and pavement art has been completed at Barry Waterfront. New shelving installed in Wenvoe												

Risk Action Ref.	Action	Risk 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 Library and new flood lighting provided at Llantwit Major tennis club. S106 money has also been used for biodiversity enhancements such as bulb / tree planting at the Grange Park, Wenvoe .												
ESR/NS054 (NS/A040)	Invest in sustainable transport, community facilities and parks as a result of negotiating Section 106 payments from developers.	☑	☑	☑	☑				☑	☑			**Green (On Track)**
ACTION UPDATE:	Construction ongoing on Rhoose Active Travel shared use facility. Due to be completed end of Q4. Discussions to be held with ward councillors and S106 officer to discuss future AT opportunities in Sully and Cowbridge. Report to be presented to Cabinet in order to get agreement for continued S106 sustainable transport funding of the Greenlinks service for FY 23/24.												
ESR/NS055 (NS/A043)	Maintain environmental standards by retaining our awards for Green and Blue flags.	☑	☑	☑	☑				☑	☑	CS/BT/JG	March 2023	**Green (Complete)**
ACTION UPDATE:	All 10 Green park awards were retained this year completing the awards during 2022. Coastal awards for 2023 applications will be submitted in quarter 3 for consideration and assessment by Keep Wales Tidy next year. Cutting regimes continue to consider and increase biodiversity within our environment as well as reducing our "annual bedding" and replacing with more biodiverse perennial displays. The Council's work with KWT to provide a strategy to our community to reduce litter and fly tipping remains ongoing.												

3. Risk Management Plan – Mitigating Actions

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Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ESR/RP056 (RP/A002)	Work with businesses, stakeholders and the community to encourage behaviour change having regard to climate and nature emergencies.	☑	☑	☑	☑		☑	☑	☑	☑	MG/PC	March 2023	**Green (On Track)**
ACTION UPDATE:	The Council's Local Investment Plan for the Shared Prosperity Fund was approved in Q3 and it contains a number of measures that will support decarbonisation and greening of communities. The Local Nature Partnership continues to meet and several grants have been issued for community led biodiversity projects during this period. A number of projects were funded via the strong communities grant fund in Q3 also support this agenda. Continued importance placed upon landscaping, tree planting and bio-diversity enhancements when determining planning applications. Biodiversity enhancements to be secured on all developments going forward. Transport interchange works commenced at Dock Office. Working with contract team regarding conditions and delivery. Member consultation on RLDP growth options and continued development of spatial options for RLDP with climate change at the heart. Development of Green Infrastructure strategy continues.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/RP057 (RP/A028)	Gather the evidence base for the review of the Local Development Plan including a public call for candidate sites for development and consultation on the Integrated Sustainability Appraisal and prepare the vision and objectives/growth options and the preferred strategy.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG	March 2023	**Green (On Track)**
ACTION UPDATE:	The call for candidate sites was carried out between 20/6/22 and 13/9/22. The candidate site register will be published on the Council's website early in the new year. Stage 1 and Stage 2 assessments of the candidate sites are currently being undertaken. The consultation on the draft Integrated Sustainability Appraisal Scoping Report was undertaken in August / September 2022 in accordance with the approved Delivery Agreement. The report of consultation was considered by Cabinet on 15th December where it was resolved that the comments of the public consultation be noted and amendments to the Scoping Report be endorsed. Stakeholder engagement on the vision and draft objectives has been undertaken and further engagement planned on the various spatial options and growth options.												
ESR/HR058 (HR/A017)	Provide training for staff and Members on climate change as part of raising awareness, changing behaviours and transforming services	☑	☑	☑	☑		☑	☑	☑		TD	March 2023	**Red (Slipped)**
ACTION UPDATE:	No resource within the OD and Learning team to support this action currently; received no update from Project Zero board regarding additional support.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk 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/HR059 (HR/A010)	Implement a Volunteering Strategy as part of the Well-being Strategy and work in partnership with the Public Services Board to implement the Move More, Eat Well Plan with a focus on workplace settings.	☑	☑	☑	☑			☑	☑	☑	TD	March 2023	**Red (Slipped)**
ACTION UPDATE:	Paper will go to Cabinet in Qtr. 4												

1 – Risk Overview	
1.1 Risk Description	Cost of living refers to the fall in people's disposable incomes after taking into account inflation, taxation and benefits. The cost-of-living threat initial emerged in the later end of 2021, but over the course of 2022 it has continued to gain momentum and is increasingly putting financial pressure on households. The cost-of-living crisis has created a scenario where the cost of our everyday essentials such as energy, food rising over and above average incomes. There are a number of cross-cutting forces behind this evolving crisis, which reflects the complex and interconnected nature of our global markets. Predominately the crisis is the result of increasing price inflation outstripping the growth in wages and/or benefits, leaving less disposable income in people's pockets which has been further exacerbated by recent tax rises. Inflation is measured through the Consumer Price Index (CPI). The most recent data (August 2022) shows that CPI rose by 10.1% in the 12 months to July 2022, which is up 9.4% from June. The Bank of England have forecast that inflation will continue to rise over the course of 2022 and has predicted that inflation could rise above 13% if left unchecked. The Bank of England also anticipates there will be a period of 'stagflation' where there is slow economic growth or recession combined with increasing inflation. In terms of what is driving inflation, this has in part been the legacy of Covid where the reopening of the economy saw increased global demand for products at a time when supply chains disruption from Covid was still an issue. Added to this has been ongoing effects of Brexit that has also led to delays and good shortages. The energy market has also been a significant contributor to rising inflation. At a time when demand for energy increased, our supply had reduced leading to a sharp global wholesale rise in gas/energy prices. Although this rise was originally driven by factors associated with supply and demand, the volatility in the energy market has been exacerbated by crisis in Ukraine and the ongoing threat that Russia could turn off gas supplies to Europe. There has also been a significant rise in oil prices as a consequence of supply and demand issues and the conflict in Ukraine, which has been reflected at the pump in car forecourts. In April 2022, the new price cap came into force. Ofgem (the Regulator) announced that the price cap would increase from £1,277 per year to £1,971 per annum representing a 54% increase. Ofgem reviewed the price cap again in August and announced that from October it would increase to around £3,549, a further 80% rise. Following the appointment of a new Prime Minister, Liz Truss, the UK Government announced their Energy Plan that will freeze the price cap at £2,500. The UK Government have referred to this as their Energy Price Guarantee that is set to last for two years. Despite this guarantee acting as an additional safety net, individuals are still going to be faced with significantly higher energy bills over the autumn/winter months. Ukraine is referred to as the 'breadbasket of Europe' particularly in terms of its export of grain and sunflower oil. Since the invasion of Ukraine, exports of these goods have significantly declined leading to global food insecurity fears, which in addition to energy prices has driven up inflationary pressures on food. Added to this, UK petrol and diesel prices have hit record high

following a surge in demand for fuel with the opening up of the economy associated with Covid. The rise in fuel costs is compounding inflationary pressures associated with transport of supplies/goods such as raw materials and food.

In tandem with the rising costs of living, workers are seeing a stagnation in their wages, where salaries are not able to keep pace with inflation. Consequently, our communities are increasingly feeling the impact on their finances. The cost of living is expected to rise further during the immediate to medium term and we will need to support our communities and citizens to navigate and overcome the worst impacts of this crisis, with a particular focus on safeguarding our most deprived and vulnerable citizens. Recent data from the Office of National Statistics which has informed the latest Vale of Glamorgan Cost of Living Analysis tells us that around 9 in 10 adults continue to report their cost of living has risen over the past month with nearly half (48%) of adults reporting they were spending more on their food shopping each fortnight. No one is immune from the effects of the cost-of-living crisis, but it is widely acknowledged that it disproportionately impacts on the poorest of households the most, as they find it more difficult to cope with rising rates of inflation. It is anticipated that these pressures will be felt more by those identified as more vulnerable and those households whose budgets may have the least amount of capacity to absorb these pressures.

The UK Government announced a package of measures to provide financial support to those on the lowest incomes. The Chancellor announced a package of support worth £37billion earlier in 2022 that included £400 off energy bills for all households, £650 one off payment for households in receipt of means-tested benefits, an additional £300 for pensioners, £150 for those in receipt of disability payments and a £150 council tax rebate for households in Council Tax bands A to D. The Chancellor also cut fuel duty by 5p and increased the thresholds for National Insurance (the amount someone can earn before National Insurance contributions are applicable).

In line with the UK Government's package of measures, the Welsh Government has provided a £380 million package of support used to provide the £150 cost of living payment to households in council tax band properties A-D and all those in receipt of support from the Council Tax Reduction Scheme in all tax bands[1]. £38m of this same funding was made available to eligible households in the form of a Winter Fuel Support Scheme for those in receipt of working-age means-tested benefits[2]. This has enabled eligible households to claim a one-off cash payment of £200 towards their energy bills[3]. The funding will also be used to support a further fuel payment to be launched by the Welsh Government in the autumn[4]. As part of this funding package, £2.84million has been allocated to relieve the pressure on food banks in order to tackle food poverty[5].

[1] Welsh Government, Written Statement: Welsh Government support through the cost-of-living crisis, 31st March 2022
[2] Welsh Government, £51m support fund to help families hardest hit by cost-of-living crisis, 16th November 2021
[3] Welsh Government, £51m support fund to help families hardest hit by cost-of-living crisis, 16th November 2021
[4] Welsh Government, Written Statement: Welsh Government support through the cost-of-living crisis, 31st March 2022
[5] Welsh Government, Written Statement: Welsh Government support through the cost-of-living crisis, 31st March 2022

Separately the Welsh Government has also provided a further £25m in the form of a discretionary funding to local authorities to enable them to decide on how best to provide additional financial support reflective of local needs[6]. The Welsh Government have also targeted financial support and particular groups that are facing pressures as a result of the cost of living. An additional one-off payment of £100 for every children/young person eligible for the Pupil Development Grant for the forthcoming academic year, and a £500 payment to unpaid carers and an additional £1,498 (gross) payment to registered care home workers, domiciliary care workers and Personal Assistants in Wales alongside the introduction of the real living wage[7]. In addition, at the Welsh Government's Cost of Living summit in July, the Minister for Social Justice (Jan Hutt) announced £3million will be available to develop cross-sector food partnerships and to strengthen existing food partnerships in order to build resilience within food networks[8].

Furthermore, the new Chancellor recently unveiled the UK Government's Growth Plan in the form of a mini budget. In this plan the Chancellor announced that the planned corporate tax rise was cancelled, the basic rate of income tax would be cut to 19% in April 2023, the thresholds at which Stamp Duty would be applicable would be raised to offer tax relief for some homeowners and first-time buyers and the abolition of the top rate tax for the highest earners[9]. The global markets quickly reacted to the Chancellor's mini budget which then saw the pound drop to an all-time low against the dollar[10]. This led to the Bank of England stepping in to calm the markets by buying government bonds at what has been described as at an 'urgent pace' in order to restore 'orderly market conditions'[11]. It was deemed a necessary intervention by the Bank of England in order to protect pension investments[12]. The Bank of England stated that it would 'not hesitate' to increased interest rates to protect the pound and stem a surge in prices[13]. This led to speculation that the Bank of England could further increase interest rates from 2.25% to 5.8% next Spring[14]. It was this projection that led to mortgage providers removing hundreds of mortgage products off the market in a single day. There has continued to be ongoing concern regarding the UK's market credibility when the International Monetary Fund openly aired its concerns regarding the UK Government's plan for tax cuts and it warned that 'the cuts could speed up the paces of price rises, which the UK's central bank is trying to bring down'[15]. IMF also indicated that the Government's measures were likely to further exacerbate inequality[16]. In response to growing concerns, the UK Government made a U-turn on its plans and abandoned its plan to scrap the 45p rate of income tax for the

[6] Welsh Government Press Release, £150 cost of living payments arrive with more than 330,000 households, 12th May 2022
[7] Welsh Government, Written Statement: Welsh Government support through the cost-of-living crisis, 31st March 2022
[8] Welsh Government, Written Statement: Cost of living Summit, 11th July 2022
[9] UK Government Press Release, Chancellor announces new Growth Plan with biggest package of tax cuts in generations, 23rd September 2022
[10] BBC News, What happened to the UK economy, pound and mortgages this week? 30th September 2022
[11] BBC News, Bank of England steps in to calm markets, 29th September 2022
[12] BBC News, Bank of England steps in to calm markets, 29th September 2022
[13] BBC News, Bank of England steps in to calm markets, 29th September 2022
[14] BBC News, Bank of England steps in to calm markets, 29th September 2022
[15] BBC News, IMF openly criticises UK government tax plans, 28th September 2022
[16] BBC News, IMF openly criticises UK government tax plans, 28th September 2022

highest earners[17]. Although the Government is abandoning its plan to scrap the 45p tax rate this only accounts for £2bn of £45bn worth of tax cuts that were announced[18]. Therefore, the Government's level of borrowing is still going to be very high which could continue to destabilise market confidence in the UK's financial position.

Despite the package of support that has been announced, there are fears that in light of worsening financial situation, this will not be enough to support those most vulnerable to the effects of rising inflation. The Council faces significant risks, in terms of supporting those most in need who are experiencing hardship in terms food/fuel poverty, housing needs and employment. A key element of risk is the inability to effectively target our resources to reach those most in need and in particular to identify any areas of unmet need. It is likely that this will put additional demand upon our services at a time when our resources are already being stretched. Other risks include the threat to health and wellbeing, the risk of more people living in food/fuel poverty and the increased risk of homelessness. Similarly, the Council is also vulnerable to rising cost pressures associated with inflation. The rising cost of construction materials, food supplies, energy costs and staff wages will all have an impact on the costs of service delivery, at a time when our budgets uplifts are unable to keep up with rising cost of living. Consequently there is a risk to the Council's ability to maintain levels of service delivery and has the potential to disrupt our ability to achieve our wellbeing objectives and key priorities as a council such as major capital programmes such as the Sustainable Communities for Learning (formerly 21st Century Schools) programme, Council housing programme and other transformation projects that include Project Zero.

1.2 Risk Owner	Director of Resources (Tom Bowring)

1.3 Impact on our contribution to the Wellbeing Goals

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

1.4 Risk Categories

Categories	Yes/No	Definition
Political & Legislative	Yes	Failure to ensure service continuity during the transitional period due to poor project planning resulting in political and legislative repercussions.
Resources	Yes	Lack of an affordable pay solution in the context of inflationary pressures broadens the financial impact of the crisis on both our budgets and in terms of our staff.

Insufficient council budget to deliver key priorities as set out in the Corporate Plan and Annual Delivery Plan. |

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[17] BBC News, Kwasi Kwarteng U-turns on plans to scrap 45p tax rate, 3rd October 2022
[18] BBC News, Kwasi Kwarteng U-turns on plans to scrap 45p tax rate, 3rd October 2022

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Insufficient budget to maintain viability/delivery of key capital programmes e.g. Sustainable Communities for Learning, Regeneration Programmes etc. Rising costs of construction/other materials impacting on deliverability of key programmes of work. E.g. Sustaining the planned programme of development for schools as part of the WG's Sustainable Communities for Learning becomes more challenging especially in relation to the affordability of achieving our net zero goals for new school builds. This potentially also impacts on the prioritisation of our schemes of work. Insufficient funding to maintain momentum and delivery of key transformation projects such as Project Zero and Eich Lle. Impact on our social care budgets if we are unable to recover debt from service users for packages of care/res care provision. Risk of industrial action arising from cost-of-living crisis has potential to disrupt service delivery and challenge business continuity. Skills retention for specialist/highly skilled roles if wages cannot compete with private sector pay. Creation of skills gaps in business-critical areas which could impact on business continuity. Impact of wage stagnation on workforce recruitment and retention. Further exacerbates issue in existing areas of concern and has the potential to widen across the organisation as a whole. Rising staff turnover likely to compound capacity pressures in services already experiencing the strain. E.g. social care. Impact of the crisis on the health and wellbeing of our staff. Any downturn in the economy and associated austerity in the public sector budgets could result in fewer staff resources. This could result in expanding the additional responsibilities of staff that could impact on retention, absence and wellbeing (burn out). Availability/reduction in grant funding due to a redistribution/prioritisation of funding to other areas. This has the potential to impact on the sustainability of some non-statutory service provision and/or transformational change/pilots. Impact of narrow remit of grant funding streams, challenges our ability to effectively target resources at areas of defined need. Citizens not seeking help to meet their care needs due to rising costs has the potential to result in later presentation of more complex and costly care and support needs.

1.4 Risk Categories		
Categories	Yes/No	Definition
		Impact on staff who are care givers on their capacity/availability to work has the potential to impact on service delivery. Impact on Eich Lle, our hybrid operating model and rationalisation of our estate if more staff choose to be more office-based due to rising costs of energy in their homes. Energy supply volatility could result in power outages, which has the potential to significantly disrupt business continuity especially for our priority 1 services.
Service Delivery and Wellbeing	Yes	Rise in people living in food/fuel poverty impacting on a wider demographic of the Vale of Glamorgan's population. This impacts on resident's ability to make choices and in some cases the decision between eating and heating. Most likely to see this disproportionate impact on the lowest income/most vulnerable groups. Impact on resident's health and wellbeing. Potential impact on relationships especially in the aftermath of Covid. Potential impact on social isolation/loneliness, carer breakdowns, domestic abuse/violence and other safeguarding concerns. Risk of a rise in homelessness. Lack of affordable/secure housing tenancies could lead a rise in homelessness, whilst there is an undersupply of affordable rent within the sector. Rising interest rates and other associated cost of living pressures could private homeowner's ability to afford higher mortgage payments and other cost of living expenses. Potential to increase homelessness as a result of possession of homes. Sharp rise in homelessness will challenge our capacity to fulfil our homelessness duty. Significant cuts to budgets results in only statutory service provision. Demand management- Higher demand for services at a time when our resources/capacity are diminishing. In the case of Social Services- this could lead to failure to meet the care and support needs of service users. For example, a rise in demand for social care services where carers have had no choice but to return to work and now require additional care arrangements to be put in place. Risk that citizens in receipt of social care services whose savings/earnings are above care threshold and are deemed responsible for paying for their care, may discontinue their care and support due to financial pressures. Viability of businesses in light of rising inflationary pressures. Includes the affordability of energy for businesses into the short to medium term. Impact of business insolvency on our procurement and supply chains. Has the potential to disrupt key programmes of work.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Slower economic growth and stagflation puts pressure on jobs market and on incomes. Any downturn in the economy/recession could reverse the 'employee market' resulting in redundancies/higher levels of unemployment. This could also lead to the emergence of skills gaps within the economy. Any rise in unemployment is likely to put additional pressure on our support services e.g. benefits teams, community-focused work programmes. Sustainability/viability of community organisations/charity groups impacts not only on availability of support services in communities but on the Council in terms of being able to signpost residents to support especially for preventive services. Consequently we could see a rise in demand for our services where there is a lack of community capacity. Managing levels of expectation from our service users especially in cases where they have become reliant on discretionary payments and/or levels of expectation from non-statutory service provision. Rising community tensions could result in riots, and public disorder. This also puts additional resource pressures on the Community Safety Team. Digital exclusion in communities may impact on our ability to fully roll out our digital strategy for service delivery. Some service users may be unable to engage with our services via digital means due to lack of access to broadband etc. This has the potential to impact on future models of service delivery. Risk of a rise in the accumulation of personal debt and with this the risk of loan sharks and rogue traders. Likely to see spike in rogue trading e.g. door stop criminals and impact on businesses and residents as a consequence of businesses taking cutting corners in favour of cost. This of most concern in relation to food hygiene and goods descriptions.
Reputation	Yes	Reputational impact on the council in terms of how we are perceived as an employer in terms of pay/conditions. Failure in our 'community leadership' role to disseminate key messages/communication and target our resources effectively to those must vulnerable and in need damages our reputation.

2 – Risk Evaluation			
2.1 Inherent Risk Scoring			
Category	**Likelihood**	**Impact**	**Total Inherent Risk Score**

Political & Legislative	4 (Almost certain)	3 (High)	12 (High)
Resources	4 (Almost certain)	4 (Catastrophic)	16 (Very High)
Service Delivery & Well-being	4 (Almost certain)	3 (Catastrophic)	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	• Senior Leadership Team maintains oversight of issues/developments relating to cost-of-living crisis. Chief Executive in his messages to staff highlights cost of living issues and promotes support services available. • Public Services Board has regular discussions regarding issues/developments relating to the Cost of Living, as it is linked to the Well-being Plan Objective to reduce poverty and tackle inequalities linked to deprivation. • Established a cost-of-living huddle (working group) that consists of officers from the cross section of service areas whose role it is to identify and co-ordinate the council's response to the crisis in relation to our community and organisation. • External communications campaign for cost of living. Information hub on website with signposting to support and advice for the public.	1	1	1
Resources	• Budgets are reviewed annually and monitored monthly as part of the council's standard budgetary control processes. • 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	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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. • Work is underway to review cost pressures associated with cost of living in terms of impact on key capital programmes of work. • Secured energy prices a year in advance. • Pay structure incorporates 'Living Wage' Agreed in May 22. • Pay offer has been identified, but not yet agreed. • Established Cost of Living Huddle to co-ordinate our organisational response/activities internally. • Welsh Government homelessness Prevention Grant for next 3 years. Targeted at loan and arrear payments.			
Service Delivery & Well-being	• Package of financial support from UK/Welsh Government that includes £400 off energy bills for all households, £650 one off payment for households in receipt of means-tested benefits, an additional £300 for pensioners, £150 for those in receipt of disability payments and a £150 council tax rebate for households in Council Tax bands A to D. • UK Government announced cut fuel duty by 5p and increased the thresholds for National Insurance (the amount someone can earn before National Insurance contributions are applicable). • Welsh Government funding in the form of a Winter Fuel Support Scheme for those in receipt of working-age means-tested benefits. Eligible households can claim a one-off cash payment of £200 towards their energy bills. The funding will also be used to support a further fuel payment to	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	be launched by the Welsh Government in the autumn. • Welsh Government Discretionary Cost of Living Support scheme that enables local authorities to decide on how best to provide additional financial support that is reflective of local needs. • Utilised Welsh Government grant funding to support particular vulnerable groups that are facing pressures as a result of the cost of living. E.g. one-off payment of £100 for every children/young person eligible for the Pupil Development Grant for the forthcoming academic year, and a £500 payment to unpaid carers and an additional £1,498 (gross) payment to registered care home workers, domiciliary care workers and Personal Assistants in Wales alongside the introduction of the real living wage. • Established good relationship with Citizen's Advice to signpost residents to advice and support. Citizens requiring digital or personal budgeting support are assisted by the Citizens Advice Bureau. • Signposting residents to Food Banks. Utilised Welsh Government funding to distribute financial support to local Food Banks, Community food initiatives. We have also utilised Welsh Government funding to address period dignity in our communities. • Promotion of 'Summer of Fun' free activity programme for children and families. • Launched a new One Stop Shop for housing support based in Holton Road, Barry operated in partnership with Pobl. • Enhanced engagement with tenants affected by cost-of-living crisis through the promotion of advice and support services. • There are various initiatives/support mechanisms in place for families who are experiencing financial hardships such as the Sofa scheme. • The Multi-Agency Landlord group meets regularly to discuss and identify how we mitigate the adverse impacts of cost of living on tenants. • Community Investment Team works with tenants to support them through accessing employment, promoting digital			

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	inclusion and working with tenants to participate in Time banking schemes. • 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. • 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. • Information hub on website with signposting to support and advice for the public. Social media is used regularly to communicate with citizens on cost-of-living matters and raise profile of support and advice that is available. • 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. • Wellbeing bulletin issued by champions with wellbeing messages associated with the Cost-of-Living crisis. This includes an increased focus on wellbeing emails to staff. • Cost of living information hub for Staffnet+ in development.			
Reputation	• External communications campaign for cost of living. Information hub on website with signposting to support and advice for the public. • Rebranding exercise of the Vale to attract and aid recruitment to vacant positions. Promotion of the Vale in terms of inclusivity and what it can offer in terms of flexible working practices as well as the wellbeing offering to staff.	1	1	1
Overall Effectiveness of Controls		**1**	**1**	**1**

2.3 Residual Risk Scoring & Direction of Travel											
	Inherent Risk Scores			**Effectiveness of controls Score**			**Residual Risk Score**			**Direction of Travel**	**Forecast Direction of Travel**
Category	**Likelihood**	**Impact**	**Total**	**Likelihood**	**Impact**	**Total**	**Likelihood**	**Impact**	**Total**		
Political & Legislative	4	3	12	1	1	1	4	3	12	↔	↔
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 (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			
CoLR/NS001 (NS/A024)	Work in partnership with the Public Services Board to implement the Move More, Eat Well Plan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DK/KD/LE	March 2023	**Green (On Track)**
ACTION UPDATE:	The year 10 Leisure Management contract progress report has been prepared for scrutiny and details the work already undertaken and that planned to address the issues raised in the WAO report.												
CoLR/PB002 (PB/A035)	Work with relevant Council services to assist in the delivery of the Cardiff and Vale Move More, Eat Well Plan and ensure linkages are made with Project Zero.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/HM	March 2023	**Green (On Track)**
ACTION UPDATE:	Work continues to support the work of the More Eat Well Plan in the Vale with colleagues attending the health advertising stakeholder event in November. Partners have arranged to meet in the next quarter to discuss the outcomes of the event and a way forward for the Vale. The regional Move More Eat Well Implementation Group continue to meet to progress local actions and this also forms part of the work of the regional Amplifying Prevention Board												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/PB003 (PB/A036)	Work in partnership to deliver activities and support to address food poverty.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/HM	March 2023	**Green (On Track)**
ACTION UPDATE:	Partners in the Llantwit Food Project continue to work towards implementing the actions for year one of the project. The More Than Food Hub is now a regular monthly feature in the town to provide face to face information, support and sign posting. Citizens Advice are now using the Hub as a monthly drop in support service where residents can access immediate support by using a confidential space near by. Opportunities to provide funding for local food poverty support organisations through the Discretionary Cost of Living Grant are being explored in more detail.												
CoLR/SL004 (SL/A015)	Contribute to the poverty agenda and the Move More Eat Well Plan by implementing free school meals for all primary school pupils and commissioning a healthy eating promotion programme (via the Big Fresh catering Company) to be delivered in all schools.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/HM	March 2023	**Green (On Track)**
ACTION UPDATE:	All infant aged pupils are now receiving a free school meal and junior aged pupils will follow in 2023.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/ALN 005 (ALN/A022) CoLR/SP006 (SP/A017)	Work in partnership with health and other stakeholders to develop a whole school approach to tackling food poverty in schools and contribute to the Move More Eat Well Plan. Work in partnership involving pupils, parents and other stakeholders to develop a whole school approach to tackling food poverty in schools and contribute to the Move More Eat Well Plan through schemes such as the Winter of Well-being programme and Reform of the School Day pilot.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MD MH	March 2023	**Green (On Track)**
ACTION UPDATE:	Work in relation to developing a whole school approach to food poverty across schools is a very broad area of work and progress is can be slow. The action plan is being worked through and meetings to discuss are quarterly. Four Vale schools took part in Food and Fun in the summer – particular issue for the Vale is staffing impacting on the development of this scheme in the Vale. Currently investigating a 3 year financial commitment from WG to help take this forward. In supporting Food and Fun 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			
	increasing activity amongst children, the Vale Play Team will be looking to roll out the Play Friendly school project, which includes training for schools staff. Active Travel Plan Report has been written to propose funding for an Active Travel School Officer, we are awaiting outcome. Whole School approach to food engagement draft report is under review – it presents a summary of engagement results to progress priority action in the Move More, Eat Well implementation plan: 'To improve the whole school approach to food throughout the school day' within educational settings The work of the Community Focussed School Manager (CFSM)and Family Engagement Officers across Barry has continued to gain momentum with Pencoedtre and its feeder primary schools working in greater collaboration than ever before. A whole cluster event took place in October where all staff from all schools attended a joint INSET at the Memo, followed by focussed environmental learning walks in the schools. The CFSM is developing a number of partnerships with outside agencies and third sector organisations who can support the schools.													
CoLR/HS007 (HS/A033)	Continue to operate and develop the Food Pod and Clean Slate scheme in Penarth and further develop the Education Centre and Plastic Bottle Green House at the Margaret Avenue Garden project.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI/NJ	March 2023	**Green (Completed)**

		Risk Categories				Demonstration of 5 Ways of Working							
Risk Action Ref.	**Action**	Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term	**Officer**	**Completion Date**	**Status**
3. Risk Management Plan – Mitigating Actions													
ACTION UPDATE:	Food Pod service now established and assists local people experiencing food poverty.												
CoLR/HS008 (HS/A002)	Work in partnership with residents and stakeholders to improve community engagement and encourage behaviour change in relation to reducing food poverty and waste in line with the Climate Change Community conversation.	☑	☑	☑	☑		☑	☑	☑	☑	NJ	March 2023	**Green (Complete)**
ACTION UPDATE:	Additional grant funding secured to support the delivery of the Food Pod and services continue to be provided to people in need. Discussions with volunteers due to take place in January to consider scope for improvements to delivery model.												
CoLR/HR009 (HR/A002)	Take action to address barriers for protected groups, particularly disabled and young people, and create more opportunity for employment within the council.	☑	☑	☑	☑	☑		☑	☑	☑	MI	March 2023	**Green (On Track)**
ACTION UPDATE:	We have commenced Race awareness Training . HR Business Partners and SLT training completed. Next stage roll-out to all DMT groups underway, following this review to disseminate awareness sessions to wider organisation,												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Disability Group in the process of start up to support diverse and GLAM in providing an inclusive working environment and critical friend to organisation, 2nd meeting organised for Jan 23. Dashboard created and work underway with HR Business Partners to embed in DMT groups.												
CoLR/HS010 (HS/A007)	Evaluate the outcomes of the Tenant Profiling exercise to improve and better target services to meet individual needs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI/NJ	March 2023	**Green (On Track)**
ACTION UPDATE:	Data capture exercise has been completed and apprenticeships have been completed. Staff have moved on to take up longer term employment opportunities. Data continues to be used to inform service delivery priorities. Housing Management team away day will consider how profiling information can be used to continue to improve services.												
CoLR/ALN 011 (ALN/A011)	Support the development and sustainability of the childcare market by building on the findings of the Childcare Sufficiency Assessment.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MD	March 2023	**Green (On Track)**
ACTION UPDATE:	Capital funding for childcare and FS has now been received and plans are under development												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Welsh Government have confirmed that there will be additional Funding for Phase 2 of Early Years Expansion. The childcare workforce development post has been filled and work has started to explore ways to strengthen and support recruitment in the childcare sector. Sustainability grants have been reviewed. Take up has not been high and another round will take place in the Spring term.													
CoLR/ALN 012 (ALN/A021)	Implement the new Welsh Government Employability Strategy to ensure that employability provision meets the future needs of young people and adults in the Vale of Glamorgan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MD	March 2023	**Green (On Track)**
ACTION UPDATE:	Communities for Work+ Indicative financial letter has been received from WG. This brings all 5 streams into one. A delivery plan is under construction which will also help focus employability support for young people. 7 QuickStart placements have started in various departments across the council. These are being monitored and will be reviewed. The YPG coordinator has made a good start linking closely with the EPC and youth team, a youth event has been booked for 16-24 year olds to showcase a range of options for young adults.													

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Disabled Employment Champions continue to help develop work inhouse. A task and finish group has been established to help to improve recruitment of CfW+ Indicative financial letter has been received from WG. This brings all 5 streams into one. A new group has been established and led by the CfW coordinator aimed at work colleagues with experience of disability, mental ill health and neurodiversity. The approval of SPF Delivery plan will also see a small team established to work/support disabled people into supported employment.													
CoLR/SP013 (SP/A016)	Work with others to support employment and the development of skills for the future including the delivery of initiatives such as Inspire to Work (I2W) and Inspire to Achieve (I2A), with a focus on prevention (i.e. those at risk of becoming NEET/ those classed as NEETs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MD/RJ	March 2023	**Green (On Track)**
ACTION UPDATE:	The Youth service has reshaped its targeted team to deliver a new programme aimed at preventative measures and those identified via EIT data as 'at risk' of becoming NEET (Not in Education, Employment or Training). This programme has a working title of 'Strive' until we hear if any finances will come from the Shared Prosperity Funding. Post 16 will be heavily impacted by the new Youth Guarantee project being led by C4W and C4W+; additionally, we will have a post16 tracker for destination data who will lead on door knocking and identifying those within sixth forms to better enhance our data of Yr12 and Yr13 school leavers.													

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/SL014 (SL/A014)	Work with others including key businesses to support training, employment and the development of skills for the future through opportunities via the 21st Century Schools and the Council's Kick Start Apprenticeships programmes.	☑	☑	☑	☑		☑	☑	☑	☑	TBaker	March 2023	**Green (On Track)**
ACTION UPDATE:	Communities 4 Work to connect project contractors with Council scheme. Youth engagement event 10th February at Barry Memo for year 12 school leavers. Contractors to provide construction talks / workshop. Current programme to re-run engagement event for the supply chain. Aim to hold event in early 2023. The current targets for the active projects are being met.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/HR015 (HR/A012)	Build on good relationships with local education establishments (such as Cardiff University & Cardiff and Vale College) as well as independent Apprenticeship providers to expand the Council's Apprenticeship scheme offer, with a particular focus on underrepresented groups and 16–24-year-olds.	☑	☑	☑	☑		☑	☑	☑	☑	GW	March 2023	**Red (Slipped)**
ACTION UPDATE:	We have excellent relationships with the training providers and fully abreast of all apprenticeships currently on offer; the offering has been reduced over the last 6 months. We continue to struggle to engage manages with this as a recruitment option Need to have further conversations to determine the feasibility of Vale Academy given the budget restrictions.												

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/HS016 (HS/A011)	Enhance people's skills and readiness for work through community investment opportunities including the Council housebuilding programme and Supporting People Scheme.	☑	☑	☑	☑		☑	☑	☑	☑	MI/NJ	March 2023	**Green (Complete)**
ACTION UPDATE:	Following a review of the 'Opportunity Knocks' employability service, future support will be delivered via the Communities for Work programme. Applications for future funding will be made jointly to the Shared Prosperity Fund to ensure that access to services is streamlined and there is no duplication. Housing staff will continue to work closely with tenants to ensure there are no barriers to accessing Employment advice and support.												
CoLR/FS017 (FS/A016)	Work across the Council and with partners to support residents regarding changes to the welfare system that are rolled out.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MB	March 2023	**Green (Complete)**
ACTION UPDATE:	Ongoing work in this area.												

3. Risk Management Plan – Mitigating Actions

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/FS018 (FS/A003)	Continue to signpost applicants to enable them to fully access support on the digital service for UC applications.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MB/PR	March 2023	**Green (Completed)**
ACTION UPDATE:	This has now been taken from the Council and is administered by the CAB.												
CoLR/SRS019 (SRS/A009)	Work in partnership 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 exploitation.	☑	☑	☑	☑		☑	☑	☑	☑	CH/JB	March 2023	**Green (On Track)**
ACTION UPDATE:	In November SRS contributed to National Safeguarding week where SRS Officers took the opportunity to deliver key safety messages to the public. Over the course of the week a range of activities were carried out, including: • A range of presentations were given, including one to over 50 volunteers and staff at the Age Cymru Hope Advocacy Project, and another at the Princess of Wales Hospital, Bridgend • Fraud and scams awareness training was given to hairdressers with packs to be given to clients												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	• A Rogue Trader operation was conducted cross the region with South Wales Police • The latest 'Ask the Regulator' podcast was released on the subject of Safeguarding, and this can be accessed via Spotify A test purchase exercise conducted on 28 December saw 7 premises visited and test purchases conducted in relation to the sale of e-cigarettes. Of these 7 premises, 4 premises sold e-cigarettes to the underage volunteer and as a result investigations into these businesses will be conducted."													
CoLR/SRS 020 (SRS/A012)	Support victims of illegal money lending to access debt advice, rebuild their finances and make a sustainable transition to legal credit and carry out enforcement to remove loan sharks from communities.	☑	☑	☑	☑		☑	☑	☑	☑	JB	March 2023	**Green (On Track)**
ACTION UPDATE:	Working with Credit Union Wales, the Illegal Money lending Unit have paid for targeted digital advertising - promoting and directing people looking for loans to CUW and highlighting the dangers of loan sharks.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/HS021 (HS/A012)	Provide residents with advice, support and information on a range of issues including housing, debt, fuel poverty, benefits, employment, and training through services including the One Stop Shop and money advice team.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI/NJ	March 2023	**Green (Completed)**
ACTION UPDATE:	The One Stop Shop has been launched officially and continues to offer advice and assistance to local people regarding a wide range of housing related support issues. Sessions are available by appointment or on a drop-in basis and residents can access the service by phone or by calling into the service in Holton Road, Barry. Interventions and support offered continue to demonstrate positive outcomes for service users.												
CoLR/NS022 (NS/A020)	Work in partnership to facilitate and promote inclusive opportunities for leisure, play and sports development with a particular focus on tackling inequalities, working with groups/in areas with low participation rates.	☑	☑	☑	☑		☑	☑	☑	☑	DK/KD	March 2023	**Green (On Track)**

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	The Council's sport Development annual report was recently presented to Scrutiny committee and details the significant number of schemes and initiatives that have taken place as efforts continue to increase participation levels.												
CoLR/NS023 (NS/A022)	Work in partnership to deliver a comprehensive play programme that improves the well-being of children and their families.	☑	☑	☑	☑		☑	☑	☑	☑	DK/KD	March 2023	**Green (On Track)**
ACTION UPDATE:	The need to focus on tackling inequalities, working with groups/in areas with low participation rates continues to be a priority for the sport and play scheme. A Christmas play event attracted many positive comments from parents, some of whom stated this was the only chance they had to take their children to see Farther Christmas as it was a free event.												
CoLR/HS024 (HS/A013)	Develop a new Community Investment Strategy to improve quality of life for tenants on Council housing estates to include anti-poverty initiatives, digital inclusion and community garden/growing projects.	☑	☑	☑	☑	☑		☑	☑	☑	MI/NJ	March 2023	**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 CI team away day has been arranged to inform the new draft Strategy. In addition a number of funding applications (to support and expand existing initiatives) has been submitted to the Council's Regeneration team, with a view to securing financial support via the Shared Prosperity Fund. The CI team continue to deliver a wide range of community investment and tenant engagement activities.												
CoLR/HS025 (HS/A014)	Develop a local volunteering scheme proposal for residents of the Vale based on the existing Time banking model.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI/NJ	March 2023	**Green (On Track)**
ACTION UPDATE:	The scheme continues to grow and the number of volunteers is rising. Additional funding has been secured from Public Health Wales to extend the scheme for a further year. In addition, an application has been made to the Shared Prosperity Fund to support further expansion of the project.												
CoLR/RMS026 (RMS/A015)	Deliver and implement of the regional strategy for unpaid carers.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NJ/NH	March 2023	**Green (On Track)**
ACTION UPDATE:	Charter has been ratified through associated governance structure i.e. cabinet, UHB exec board, RPB. Decision to delay launch until January 2023. Work underway in relation to the delivery plan to support the Charter.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/RMS 027 (RMS/A030)	Support the offer of innovative respite opportunities for unpaid carers.	☑	☑	☑	☑	☑	☑	☑	☑	☑	NJ/NH	March 2023	**Green (On Track)**
ACTION UPDATE:	Voucher scheme has been launched. Consideration of current carers services team to provide dedicated resource to development of services with a priority focus on innovative respite opportunities.												
CoLR/RMS 028 (RMS/A029)	Pilot a project to reduce social isolation and loneliness and develop an age friendly community in the Western Vale.	☑	☑	☑	☑	☑	☑	☑	☑	☑	LC/TBowring	March 2023	**Green (Completed)**
ACTION UPDATE:	Completed - ongoing review												
CoLR/HS029 (HS/A023)	Maximise the supply of Council rented accommodation by completing schemes at Hayes Road, Barry and St Cyres Road, Penarth and commence development of over 130 new Council Homes at 5 sites across the Vale of Glamorgan including Barry, Penarth and the rural Vale.	☑	☑	☑	☑			☑	☑	☑	MI/AF	March 2023	**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:	Hayeswood Road, Barry (53 units) - under construction but on hold due to the insolvency of Jehu PSL - completion anticipated February October 2023. St Cyres Road, Penarth (14 units) - under construction with completion anticipated April 2023. Coldbrook Road East, Barry (20 units) - under construction with completion anticipated March 2024.Colcot Clinic, Barry (12 units) - under construction with completion anticipated March 2024. Holm View Phase 2, Barry (31 units) - start on site March 2023. Maes y Ffynnon, Bonvilston (8 units) - start on site May 2023.												
CoLR/RP030 (RP/A024)	Increase the supply of good quality, accessible and affordable housing by maximising opportunities through the planning system and by working in partnership with housing colleagues.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG	March 2023	**Green (On Track)**
ACTION UPDATE:	Out of the 146 dwellings approved during Q3 128 were affordable (88%). Securing off-site affordable housing monies in line with policy. Regular support provided to housing colleagues regarding council house schemes including Holm View. Continued application of robust affordable housing policies and negotiating with developers to secure 30-40% of affordable housing as applicable. Major affordable housing development approved at St Brides Road, Wick and Myrtle Close, Penarth (subject to signing of S106). Integrated working with VOG Housing on re-designs at Maes-y-Ffynnon. Discharge of Conditions to unlock delivery of Hayes Road site.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/HS031 (HS/A024)	Implement a five-year Local Housing strategy to address housing need and reduce homelessness and to increase the supply of good quality, accessible and affordable housing.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI/NJ	March 2023	**Green (Completed)**
ACTION UPDATE:	Final version of the Local Housing Strategy has been approved and is in place. Implementation of the Strategy is monitored by the Overarching Housing Forum.												
CoLR/HS032 (HS/A025)	Expand the provision of Council managed hostel/temporary accommodation.	☑	☑	☑	☑			☑	☑	☑	MI/NJ	March 2023	**Green (On Track)**
ACTION UPDATE:	A scheme to provide up to 90 temporary homes on Council owned land in Llantwit Major has been developed following discussions with local members and partners. The scheme using modern methods of construction, follows the successful Court Road scheme and benefits from a short lead in time. 50% funding has been secured for the scheme which will provide homes for Ukrainian families who have fled the war in Ukraine. Other schemes including the conversion of a former Office building are being developed and the potential purchase of a former B&B has been approved following a Planning application.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/SP033 (SP/A019) CoLR/HS034 (HS/A026)	Work with partners to identify and deliver effective interventions for young people at risk of homelessness. Work with partners to reduce homelessness and implement a Housing Support Programme Strategy and Homelessness Prevention Plan ensuring equality of access to services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH MI/NJ	March 2023	Green (On Track)
ACTION UPDATE:	Homeless project has been going through change management whilst we reshape the new 'Strive' project; the team continue to work within schools with those most at need and with those at risk of becoming homeless. Staff continue to work with partners in new approaches to supporting the young people and their families, the families' ties project alongside other mentoring and coaching will be used to ensure the individual needs of each client is met. HSP has been approved and adopted. Key actions will be implemented over the next four years and progress will be monitored by Homes and Safe Communities Scrutiny Committee.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/HS035 (HS/A027)	Maximise the Homelessness Prevention grant fund to support people in temporary accommodation and address longer term housing needs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI/NJ	March 2023	**Green (On Track)**
ACTION UPDATE:	Over 90% of the grant has been spent or committed this financial year. The remainder will be used for rent top ups, rent in advance payments and other items permissible within the grant criteria, over the next three months. The funding award for next financial year has been confirmed at the existing level and will continue to fund interventions which prevent households being made homeless.												
CoLR/HS036 (HS/A031)	Continue to invest in our housing stock and improve thermal efficiency by maximising the performance of the existing components and materials of our homes and looking at alternative fuel supplies to support carbon reduction and reduce fuel poverty.	☑	☑	☑	☑	☑		☑	☑	☑	MI/AF	March 2023	**Green (On Track)**
ACTION UPDATE:	A tender package for consultancy services is being developed to support the PAS2035 surveying of all Council homes to develop a programme of investment to achieve EPC band A properties by 2033.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/PB037 (PB/A006)	Work with partners through the Digital Inclusion Steering Group to address issues of digital inclusion across the Vale.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TBowring /TC	March 2023	**Red (Slipped)**
ACTION UPDATE:	A wide range of support for residents who wish to improve their digital skills and gain access to digital services is offered through our get The Vale Online hub on the Councils website. Laptops and tablets continue to be offered through libraries and other services and these are often targeted at individuals who are more likely to be digitally excluded. Further work is required to assess the impact of data poverty on residents as a result of the cost-of-living crisis.												
CoLR/PB038 (PB/A007 CoLR/PB039 (PB/A015)	Co-ordinate council-specific activity with the Vale Heroes group to maximise the impact of digital inclusion focused activity. Co-ordinate council-specific activity with the Vale Heroes group to maximise the availability of appropriate support and signposting to improve the outcomes of citizens and to enhance their wellbeing.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TBowring /TC TBowring / HM	March 2023	**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:	Focus of the group continues to be on Cost of Living Crisis. The Cost of Living Crisis support page content has been reviewed and to maximise access to services. An independent content review is planned during Q4 to ensure that support can be easily found and accessed on the website by citizens and staff providing support. Access to Citizens Advice Reference product has been achieved during the quarter, allowing direct referral of residents to support and advice offered. Citizens Advice will proactively contact residents referred through the system rather than wait for the resident to contact them. This not only makes access to services offered through Citizens Advice easier but may ensure that residents get support more quickly.

Risk Action Ref.	Action	Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term	Officer	Completion Date	Status
CoLR/PB040 (PB/A016)	Work with Adult Services to develop a customer facing service to enable self-referral to universal services available via the Third Sector.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TBowring /TC	March 2023	**Green (On Track)**

ACTION UPDATE:	Access to the CAB referral system has been achieved. User Experience research is being undertaken to understand residents current experience of access Adult Social Services and whet they would need and value from the service in the future. This research will inform the design of future online services for Adult Social care

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CoLR/PB041 (PB/A025) CoLR/FS042 (FS/A010)	Promote the support available under the Armed Forces Covenant. Promote the support available under the Armed Forces Covenant with specific focus on housing and council tax benefits.	☑	☑	☑	☑			☑	☑	☑	TBowring /TC MB	March 2023	**Green (On track)**
ACTION UPDATE:	All staff are up to date with their Armed Forces training. Within finance, we continue to disregard all War Pensions and Armed Forces compensation. However we will continue to review this regularly in light of any potential changes. The Armed Forces Liaison Officer and veterans Advice Service has continued to provide practical help and support. The leader of the Council attended the Defence Employers Recognition Scheme award ceremony during the quarter and promotional activity has been undertaken around this. Partnership meetings have been scheduled for Q4 and a new staff group for veterans and armed forces families has been established.												
CoLR/PB043 (PB/A037)	Maximise opportunities to signpost citizens to cultural and arts activities designed to enhance their mental health and wellbeing.	☑	☑	☑	☑			☑	☑	☑	TBowring /TC	March 2023	**Red (Slipped)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Work has begun to review customer facing email content generated through interaction with the GovService system. Testing has commenced to ascertain likelihood of citizens to click on links within the email content, the results of which will inform how these interactions can help support the promotion of cultural activities designed to enhance mental health and wellbeing.												
CoLR/RP044 (RP/A019)	Identify grant support for businesses and investment in regeneration projects in town centres.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG/PC	March 2023	**Green (On Track)**
ACTION UPDATE:	Cabinet 15th December 2022 considered a report on the UK Shared Prosperity Fund, and resolved to delegate specified powers to named Officers in consultation with the relevant Portfolio Holder relating to the local delivery of the emerging Investment Plan (including all Vale Town Centres). The Town Centre Minor Physical Improvement Grant scheme targeting businesses along Holton Road and High Street/Broad Street in Barry Town Centre was launched during Q.3. In this regard the level of interest is high and applications are being processed.												
CoLR/AS045 (AS/A014)	Further development of the sustainable and integrated model for single point of access to Well-being Matters services (via the Contact Centre)	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**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:	This work continues to progress with ongoing discussions across the Council and UHB, along with third sector partners. We continue to meet regularly to undertake workstreams around revisiting the integrated structure, recruitment and branding of the Wellbeing Matters service.												
CoLR/ALN 046 (ALN/A015)	Utilise the Children and Communities Grant to target interventions to support children, young people and their families ensuring that services respond to demand and have a positive impact on socio-economic disadvantage and other protected groups.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MD	March 2023	**Green (On Track)**
ACTION UPDATE:	Indicative Funding Grant for Children and Communities Grant has been received and the large increases are focussed on the FS expansion. A Delivery Plan is now under construction. Two streams have now come out of CCG (CfW+ and Legacy) and 2 have come in (OOCD and FS Expansion). FF management Board have agreed to some minor changes to the delivery for 2023/24. This will see two small projects cease and a new Children's Mentoring service launched, based on its success through Early Help Funding. Monitoring has been ongoing and Families First RBA report cards are due early Feb 2023 and will reflect the progress and impact of services 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			
CoLR/SL047 (SL/A019)	Collaborate with partners to promote our schools and libraries as community and well-being hubs and increase the diversity of leisure, art and cultural learning opportunities available including digital opportunities.	☑	☑	☑	☑		☑	☑	☑	☑	TB/PS	March 2023	**Green (On Track)**
ACTION UPDATE:	Each of the libraries have been successful in securing Warm Spaces funding and have started to run a diverse programme of wellbeing events, game days, coffee mornings and taster courses. These will continue during the next quarter and help those who may be struggling with the cost-of-living crisis and unable to maintain safe and warm living accommodation. An imaginative series of activities and events for adults and children has helped maintain good visitor numbers during the autumn. As well as our range of weekly activities there were some other stand-out sessions. These have a included a range of author talks including Sophie Buchaillard and Phil Rowlands. We've had a launch of a new code club at Penarth, run creative writing workshops and Halloween events. We've had a mindfulness session with Indian music, drop-ins with digital champions, employment advice sessions and backgammon sessions. Near 400 people attended the Job and Employment Skills Fair at Barry in October. 588 attended Santa's Post Office at Barry in early December and 86 children visited Santa's Grotto at Barry on the 17th December, with many also attending for the Barry Community Choir event on the same day. Rhoose Library also had a successful Christmas fair. Barry Library continues to support refugee Afghan children with weekly visits to the Copthorne hotel where approx. 70 children attend 1 of 3 sessions run by library staff during the day. There are Welsh language conversation classes at several libraries including Wenvoe and Sully, Wenvoe also has Italian and French conversation groups. Ongoing plans continue to provide opportunities in libraries to boost health and wellbeing, employment, social interaction, cultural vibrancy, information and lots of fun.												

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

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

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

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

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

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

1.3 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	Political and legislative repercussions of failing to ensure the Council owned corporate buildings are not compliant with current duties/requirements as part of the Health and Safety at Work Act 1974.
Resources	Yes	Limited availability of accurate and up to date compliance data in relation to both Council-owned assets and Third-Party provision results in the Council not being able to meet its building compliance obligations. Budgetary pressures impacting on the availability of asset renewal funding will impact on how the Council prioritises and meets its building compliance obligations. Failure to adopt a strategic approach to the management of building compliance in relation to our existing Council-owned assets. Insufficient resources available to effectively, monitor, prioritise and project manage completion of building compliance work.
Service Delivery and Wellbeing	Yes	Failure to fully deliver our building compliance responsibilities. 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. Failure to safeguard the wellbeing of our service users/residents/pupils in Council-owned assets and other associated public buildings as a result of an incident arising from non-compliance. Inability to sustain service delivery/business continuity from premises as a result of an incident associated with non-compliance.
Reputation	Yes	Erosion of public confidence and trust in the Council as a result of a compliance failure which would damage its reputation and attract negative criticism from Welsh Government our regulators. Reputational risk of failing to address/monitor compliance in any buildings where the Council has a vested interest/stake in the premises and/or the services that are being delivered.

2 – Risk Evaluation

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

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact Score	Total Score
	• Service is now fully funded through central recharges and fee recovery on additional work delivery. • Ongoing work continues to review and collate compliance data and information. A compliance system is in place to ensure that our compliance knowledge is maintained and up to date. We manage the asset record and the data to support it. • IPF database has been populated and relevant paperwork scanned onto the system. • A report has been developed to identify the status of each site and provide alerts where certificates are about to expire. Individual directorates are now receiving updates on the compliance status of their service area. Service Managers are now working well with the team to provide timely certification and reports to support their individual compliance actions. • Schools who have signed up to an agreement with us and are charged a 'minder's fee' for compliance. Any school not signed up to this are subject to regular monitoring visits. • Effective Monitoring of building compliance within Schools. Raised awareness with Premises Managers of compliance risks. • Regular compliance updates provided to School Investment Operational Board (SIOB). • Building compliance arrangements in relation to our Social Services buildings is in place and compliance status up to date.			
Service Delivery & Well-being	• Site visits are conducted on all school sites and corporate (Council owned) assets where Corporate Compliance team have been engaged. • IPF database is fully populated and documentation is entered onto the system to capture compliance evidence/information with service dates being updated at the same time. Individual site managers are 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.	1	2	4

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact Score**	**Total Score**
	• 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. • The nature of the Covid risk has reduced Covid risk to a level where control measures in most environments are no longer necessary. However, individual management plans may still be necessary for some vulnerable individuals. This has now reduced the likelihood of critical infection transmission.			
Reputation	• The response from schools and other sites has been very well received and better than expected.	2	2	4
Overall Effectiveness of controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & Direction of Travel

Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	2	2	4	2	2	4	↔	↔
Resources	3	3	9	3	2	6	1	2	2	↔	↔
Service Delivery & Well-being	3	4	12	2	2	2	1	2	2	↔	↔
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/FS001	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.	☑	☑	☑	☑				☑	☑	MB/LC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Work remains ongoing in supporting the monitoring of building compliance data.												
BCR/HS002	Monitor corporate building compliance corporately including schools and raise awareness with premises Managers of any compliance risks.	☑	☑	☑	☑				☑	☑	MI/AT	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Annual inspections continue across all school sites and corporate premises. Corporate Compliance staff have contributed to a range of new and updated Health and Safety policies. Compliance staff have been involved in a recent Health and Safety Executive random audit of 2 schools . The Corporate Compliance monitoring arrangements are being reviewed to provide further meaningful information to Premise Managers.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/NS003	Undertake regular public buildings inspections to ensure we meet our building compliance responsibilities.	☑	☑	☑	☑				☑	☑	ER	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Regular building audits continue to progress on an annual basis. There are various shortfalls within each site which are raised with the individual site manager and service manager. An exception reporting process is being developed to flag up issues to the Senior Leadership Team.												
BCR/RP004	Work with landlords to ensure that buildings are safe for occupation and fit for purpose, with special attention being paid to the Vale Enterprise Centre and its long-term future. *Vacant space will not be leased unless it is compliant*.	☑	☑	☑	☑				☑	☑	MG	March 2023	**GREEN (Completed)**
ACTION UPDATE:	No further lettings are taking place within the Vale Enterprise Centre. Council is working to minimise risks associated with this leased property and ultimately terminate the lease.												

Risk Action Ref.	Action	Risk 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/SL005	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.	☑	☑	☑	☑				☑	☑	TBaker	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Some concerns have been raised this quarter with relation to resources within the Corporate Compliance team and the impact this has on our monitoring and compliance responsibilities. They have been raised at a corporate level.												
BCR/SL006	Undertake an assessment of CO_2 (in relation to classroom ventilation) across our education estate in response to COVID and progress capital works where appropriate to mitigate areas of high readings with funding from Welsh Government.	☑	☑	☑	☑				☑	☑	TBaker	March 2023	**GREEN (On Track)**
ACTION UPDATE:	A significant project to improve ventilation at Ysgol Gymraeg Bro Morgannwg has been approved this quarter and these works are due to be completed in quarter 4.												

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

The Provider Performance Protocol provides a framework for escalating concerns about safeguarding issues and the impact on vulnerable people arising within care homes and other relevant commissioned services. Should these procedures not be followed there could a risk of injury or harm to individuals. Injury or harm could also lead to financial loss to the council in terms of compensation claims and reputational damage to the council, leading to a loss of public confidence in key services. The likelihood of this risk occurring increases if policies and procedures are not frequently reviewed and updated, or if compliance with these policies is not fully implemented across the council. Therefore, the overarching risk is that corporate safeguarding procedures may not be sufficient, followed, or are ineffective.

Of concern is the impact that the pandemic has had on children and young people at risk of abuse and or child sexual exploitation. During the pandemic, children were 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 had 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 the impact COVID-19 has had on increasing demand for our children and young people services. |
| | |
| **1.2 Risk Owner** | **Director of Social Services (Lance Carver)** |

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

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

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

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

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• 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	• Safer Recruitment Policy is in place to ensure safeguarding checks are carried out on staff working with the public and vulnerable people. All schools in the Vale of Glamorgan have also adopted the policy. • The Council's Duty to Report Safeguarding Concerns procedure is in place to provide employees with guidance	2	2	4

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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	• Provider Performance Protocol procedures are embedded in relation to the managing of commissioned services. • Ensure that protection, fieldwork and contracting services work together to protect vulnerable people and take timely and appropriate action. • Obtain the views of children and adults at risk/their families and implement protocols in respect of abuse and neglect • A Child Sexual Exploitation Strategy has been developed and a Sexual Exploitation Risk Assessment Framework referral process is in place.	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	- 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. - Regional Exploitation Strategy has been ratified by the Regional Safeguarding Boards. - As part of 21st Century Schools Investment Programme, safeguarding is a			

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

Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	2	3	6	3	2	6	1	2	2	↔	↔
Resources	3	3	9	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/A032)	Deliver the priorities of the Regional Safeguarding Board, ensuring effective arrangements are in place to protect children and adults at risk of neglect, abuse and exploitation.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ/ND/AW	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Continued engagement and contribution to relevant subgroups and associated workstreams												
SR/RMS002 (RMS/A033)	Implement the Social Services elements of the Corporate Safeguarding Work Plan and work with other directorates to co-ordinate their contribution to delivery of the plan.	☑	☑	☑	☑	☑		☑	☑	☑	AP/NJ	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Mid-Point reporting is now established.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
SR/RMS003 (RMS/A009)	Implement our quality assurance framework to support the Reshaping programme for Social Services.	☑	☑	☑	☑	☑		☑	☑	☑	AP/NJ	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Ongoing review of the requirements of the framework. Mapping exercise has begun to identify crosscutting activity; best practice and support to workforce.												
SR/AS004 (AS/A023) SR/CS005 (CS/A015) SR/SP006 (SP/A018) SR/SL007 (SL/A020) SR/FS008 (FS/A018)	Contribute to the safeguarding agenda, by delivering elements of the Corporate Safeguarding Group Work Plan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC RE MH TBaker MB DM TBowring MG HP MI	March 2023	**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/LS009 (LD/A015) SR/PB010 (PB/A038) SR/RP011 (RP/A023) SR/SRS012 (SRS/A010) SR/HS013 (HS/A016)													
ACTION UPDATE:	There continues to be appropriate representation and engagement within Corporate Safeguarding Group. Within Learning & Skills Directorate, all actions and recommendations from Regional Safeguarding Board groups that are relevant to L&S are communicated to Directorate and school staff via messaging and face to face training, along with DMT updates and termly DSP forums. Within Finance, Safeguarding being incorporated into the Procurement Policy & Strategy. Legal and Democratic Services, the OM continues to attend Corporate Safeguarding Board meetings and ensures compliance with mandatory safeguarding training via iDev.												

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Withing Policy & Business Transformation, work has continued to support the Safeguarding agenda with relevant chief officers regularly attending the Corporate Safeguarding Group's meetings and delivering specific actions. Work continues within the Communications Team to share appropriate messaging internally and externally. In Regeneration and Planning as a Directorate, we continue to ensure compliance with mandatory safeguarding training via iDev and apply safer recruitment protocols where appropriate. SRS Teams have continued to ensure work contributing to the partner Councils' safeguarding responsibilities is progressed through ongoing work around rogue trading, doorstep crime, illegal money lending, and food and product safety. Within Housing Services, activity this quarter has concentrated on Safeguarding awareness related to Ukrainian Unaccompanied Children fleeing the war in Ukraine . Post covid training activity has recommenced in relation to VAWDA SV and domestic abuse response. Homes and Safe Scrutiny committee was presented with the Mid-Year safeguarding report. The Head of Housing has attended 100% of the Corporate Safeguarding Board 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/ALN014 (ALN/A024)	Ensure that all school staff, governors and all central staff have continued access to appropriate safeguarding training via virtual methods and the use of IDev.	☑	☑	☑	☑			☑	☑	☑	DD	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Training at level 1 and level 2 remains at high compliance rates of over 85%. The RSB (level 3) 'What Happens Next' multi-agency train the trainer took place in November 2022 and there is an anticipation to roll out multi-agency training in Spring / Summer 2023.												
SR/ALN015 (ALN/A25)	Ensure that education services implement the Violence against Women, Domestic Abuse and Sexual Violence Strategy.	☑	☑	☑	☑			☑	☑	☑	DD	March 2023	**GREEN (Complete)**
ACTION UPDATE:	This is progressing effectively with 18 schools having signed up for VAWDASV group 2 training sessions, with a total of 738 staff having completed the training. Efforts continue to be made to ensure that all schools take part in training.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/HR016 (HR/A015)	Support the Corporate Safeguarding Group to monitor and challenge compliance with the Council's Safeguarding Policy in line with our responsibilities and contribute to implementation of the Corporate Safeguarding Work Plan.	☑	☑	☑	☑			☑	☑	☑	TD	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Monitoring systems remains in place. Compliance with the policy remains high in both schools and corporate services.												
SR/LS017 (LD/A016)	Ensure all staff are up to date with relevant safeguarding training and complete corporate mandatory training on IDEV.	☑	☑	☑	☑			☑	☑	☑	DM	March 2023	**GREEN (On Track)**
ACTION UPDATE:	This work is on-going throughout 2022/2023. The OM LS attends the Corporate Safeguarding Board meetings and ensures compliance with mandatory safeguarding training via iDev.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/SRS018 (SRS/A008)	Work in partnership 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 exploitation.	☑	☑	☑	☑	☑	☑	☑	☑	☑	Christina Hill	March 2023	**GREEN (On Track)**
ACTION UPDATE:	The Health and Safety Service Plan was adopted by Joint Committee in June while the remaining Plans, namely the Food and Feed Law Service Plan and Communicable Disease Plans were approved by the Committee in September.												
SR/SRS019 (SRS/A012	Support victims of illegal money lending to access debt advice, rebuild their finances and make a sustainable transition to legal credit and carry out enforcement to remove loan sharks from communities.	☑	☑	☑	☑			☑	☑	☑	Jason Bale	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Working with Credit Union Wales, the Illegal Money lending Unit have paid for targeted digital advertising - promoting and directing people looking for loans to Credit Union Wales and highlighting the dangers of loan sharks.												

1 – Risk Overview	
1.1 Risk Description	Adult Services are becoming increasingly integrated with health services in order to provide service users and patients with seamless care arrangements. There is also an emphasis as part of the Social Services Wellbeing Act to focus on looking at integrated ways of working through collaboration. The recommendations arising from the Parliamentary Review of Health and Social Care has further cemented the need for further developing our approach to integrating health and social care services. The Parliamentary review identified that the focus needs to be on 'empowering individuals to take decisions, tailoring care to the individual's expressed needs, whilst being more proactive and preventative. The review also emphasised the need for care provision to be 'seamless', of high quality and as close to home as possible.
	Existing HR and IT arrangements may need to be reviewed as organisations work more closely together. The extent and success of the integrated arrangements remain dependent upon partner organisations. The Vale of Glamorgan works predominantly with one health board (C&V UHB) but many service users from the Western Vale receive hospital services outside of the county provided by Cwm Taf Morgannwg. Integration with C&V UHB will be influenced by the extent to which integration is also achieved with Cardiff social care services. We also work in an integrated way with Swansea Bay Health Board to provide holistic 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.
	Although, significant strides have been made by the Vale of Glamorgan in relation to integrated health and social care services, there continue to be risks and challenges associated with its delivery. For example, developing a more integrated approach to service provision is likely to propose further challenges with technology, information sharing, staffing structures and governance re policies and financial management. Financial scrutiny will be required to ensure that any risks associated with mandated pooled funding are properly considered. There are also risks associated with the overall sustainability of these new ways of working, given that a significant amount of investment in new ways of working is via Grant funding and therefore short term and finite.
	These challenges and associated risks have been compounded by the COVID-19 pandemic 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.
	The permission to explore the development of a partnership agreement with C & V UHB and to form the Vale Alliance has been a significant milestone in trying to mitigate these risks, which enabling the teams to

have the autonomy to deliver quality services to our citizens and address the populations health and wellbeing needs.

In quarter 4, 2021-22, , the Welsh Government have published their Strategic Priorities for Primary Care (SPPC) which includes an Accelerated Cluster Development to further embrace this way of working.

This is being worked through but appears to be very similar to the ambition of the Vale Alliance and will therefore add further pace to the wish to embed integrated working across the health and social care pathway with a strong emphasis on working on prevention through the enhanced relationships with our third sector colleagues.

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	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. Failure to put in place effective governance structures to ensure accountability and transparency in decision making which could have a detrimental impact on the ability to integrate health and social care services.
Resources	Yes	Failure to effectively project plan, manage and communicate changes to models of service delivery resulting in delays and/or compromising the quality and delivery of integrated health and social care services. Inability of staff to work effectively across organisational boundaries to deliver the integrated health and social care programme, as a result of capacity of key team members whilst managing operational issues, and lack of experience in managing projects. Collaboration by partners could become increasingly more challenging in light of COVID-19, as we along with our partner organisation seek to focus our resources on our recovery from the pandemic, if we work in silos this may compromise identification of opportunities to deliver services differently and not effectively use resources in a collaborative way. Council staff are supported to effectively work from home

1.4 Risk Categories		
Categories	Yes/No	Definition
		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. 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. Failure to agree further pooled funding of integrated health and care services in line with legal frameworks and potential for ineffective scrutiny. Ineffective scrutiny of the utilisation and expenditure of properly pooled budgets. The volatility of grant funding streams impacts on our ability to develop, commission and sustain integrated health and social care services into the longer term due to the short-term and time-limited nature of funding e.g. ICF and Transformation funding. This volatility 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. 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. 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. 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.
Service Delivery and Wellbeing	Yes	Failure to maintain business continuity and strengthen service resilience as a result of changes made to service delivery models during the transitionary period.

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Failure to put in place appropriate information sharing protocols to support delivery of integrated health and social care services.

Disproportionate funding split in relation to partners spending/commissioning of care arrangements impacting on the ability to deliver integrated health and social care services that meet the diverse needs of the community.

Poor communication with staff and citizens regarding changes to how services will be delivered could impact on the quality and consistency of service delivery and on the awareness/take up of services.

Failure to adequately resource the Customer Contact Centre for dealing with health and social care queries impacting on access to services and waiting times.

Use of multiple systems to manage information has inherent risk in supporting people if information is not accurately recorded in a centrally accessible system. |
| *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	2 (Probable)	3 (High)	**9 (Medium/High)**
Resources	3 (Probable)	3 (High)	**9 (Medium/High)**
Service Delivery & Well-being	2 (Probable)	3 (High)	**6 (Medium/High)**
Reputation	2 (Probable)	3 (High)	**6 (Medium)**
Overall Inherent Risk Score	**3 (Probable)**	**3 (High)**	**9 (Medium/High)**

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Information Sharing Protocols developed and operational.
• Integration of Health and Social Care is considered at all levels of the	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	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 Director of Social Services are members of the Regional Partnership Board that oversees integration and the work of the Integrated Health and Social Care Partnership, including access to resources for the Regional Integration Fund (RIF) • 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 co-opted onto the Learning Disability Ministerial Advisory Group. • The exploration of a partnership agreement that will form the basis of the Vale Alliance that seeks to significantly reduce the risk once in place.			
Resources	• Financial authorisation and management of disputes processes are in place with Cardiff and Vale University Health Board. • Developed the ability to view both database systems via Vale IT. • Implemented WCCIS within the Vale of Glamorgan Council • IT issues are escalated to Operational Manager for IT and Contact Centre issues are escalated to Director of Corporate Resources. • Regional 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. • .	1	1	1

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	• 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, formally acknowledged through the development of a partnership agreement that will be presented to Cabinet and Scrutiny committee in due course for consideration. • 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. • Work on Exit Strategies from short term funding is ongoing to ensure we are able to effectively plan for the future. • Joint Commissioning Strategy for Adults with Learning Disabilities continues to be the focus of all developments with Learning Disability services.			
Service Delivery & Well-being	• DEWIS Cymru Portal continues to provide 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 Regional Integration 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. • Development of this project to encompass 'Your Choice, Your	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	Community' to further embrace the preventative services and work with individuals in a strengths-based manner. • 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.			
Reputation	• Senior Officer and Councillor representation on the Regional Partnership Board.	1	2	1
Overall Effectiveness of Controls		**2**	**2**	**4**

2.3 Residual Risk Scoring & Direction of Travel

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

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
IHSR/AS001 (AS/A007)	Develop the Vale integrated fall service to provide a rapid response to people who have fallen and access to specialist interventions.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	A 12-month pilot of an all Vale falls Response Service has started with St John Ambulance. The trial will now be continually assessed for the next 12-months to judge impact and look at continuous financing.												
IHSR/AS002 (AS/A009)	Work with partners to develop a coherent engagement plan to support the development of wellbeing hubs and centres across the Vale locality.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	The Vale Locality welcomed a Locality Manager as an additional post within the structure in October 2022. This additional capacity will enable discussions around the Shaping our Future Wellbeing in the Community Strategy, that encompasses the planning for wellbeing hubs and centres, to progress. The Head of Adult and Vale Alliance continues to be involved in these discussions at present with the UHB planning department to try to progress these schemes. The next stage will be to reinvigorate the engagement with services across health, LA and third sector led through the Locality Manager with appropriate support from UHB capital and service planning colleagues.												

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

		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
IHSR/AS003 (AS/A010)	Explore the development of intermediate care services and how this can enhance and support existing service provision.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	We have commissioned St Johns ambulance to provide a Vale Falls Service which started on 1st October 2022 offering a 24/7 pickup services to all Telecare customers. We are working with VCRS, and NHS falls clinicians to provide rapid access to information and therapies to all people contacted by the falls services with the aim of in minimising falls risk in the future.												
IHSR/AS004 AS/A011)	Progress the work of the Alliance Model.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Qtr 3 has had a period of reflection on progress to date and future plans, in light of digesting information relating to the development of the Vale Pan Cluster planning Group (PCPG) and how the two inter-relate. The Locality team felt strongly that we need to ensure that there is no duplication, considering the number of operational pressures and expectations on senior roles to attend Boards for various reasons, it is felt appropriate that the work paused whilst we established what was required for the Strategic Priorities for Primary Care (SPPC). We engaged with legal advisors to help to determine governance structures and this has also been paused. The services within the Vale Alliance model continue to develop and progress their work programmes for VCRS and Wellbeing Matters Service. In addition, in recognition of the considerable change within the Executive in the UHB, and change in Cabinet member that we need to revisit the proposal with these individuals to ensure that they have the opportunity to fully understand the aims of the Vale Alliance, the history and the ambition. This will												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	happen early in Qtr 4, and a position statement is being prepared by the Head of the Vale Alliance in order to re-establish a programme for 2023/24. Project staff engaged for this area of work will be stood down from end of Qtr 3 in light of this being funded through grant funding.												
IHSR/AS005 (AS/A012)	Develop new models of joint working with the Health Board with a particular focus on sustainable integrated services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	This quarter has focused primarily on further development of the Wellbeing Matters model, across the Council, Health and third sector services. The work on the development of the Alliance model has slowed due to the planned leadership changes in the Head of Service role, to be revisited to 2023.												
IHSR/AS006 (AS/A013)	Develop the domiciliary care element to the Primary Care Cluster model and support the accelerated clusters across the Vale.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	This has not progressed. Domiciliary care is brokered according to postcode, meaning that domiciliary care agencies tend to focus on certain geographical patches, but brokerage is best undertaken centrally. Once both the Central and Western Vale are established in I&A, consideration will be given to invite representation form relevant care agencies for MDT discussions.												

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	**Action**	**Risk 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/AS007 (AS/A021)	Support the alignment and implementation of Strengths Based Approach (SBA) to support the integration of preventative services, admission avoidance and resilient communities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Strength-based E-Learning training programme is being developed for all Adult Services staff and potentially providers, which will be available during 2023/24.												
IHSR/AS008 (AS/A014)	Create a sustainable and integrated model for single point of access to Well-being Matters services (via the Contact Centre) Enable safe discharges from hospital that considers the impact/consequences of Covid-19 through models of care which provide choice and control for service users.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**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:	This work continues to progress with ongoing discussions across the Council and UHB, along with third sector partners. We continue to meet regularly to undertake workstreams around revisiting the integrated structure, recruitment and branding of the Wellbeing Matters service.												
IHSR/RMS009 (RMS/A020)	Develop the regional commissioning board performance dashboard to support the work of the Vale Alliance.	☑	☑	☑	☑	☑			☑	☑	AP/SM	March 2023	**GREEN(Completed)**
ACTION UPDATE:	A dashboard for the Regional Commissioning Board is now in place. Updated data process to ensure monthly submission of dashboard to Regional Commissioning Board members. First dashboard submitted 23/05/22.												
IHSR/RMS010 (RMS/A014)	Embed the regional care home contract in consultation with partners.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ/NM	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Slow progress continues regarding contracts being signed under seal. The new ISC is being used for new placements and the process for getting all partners to sign the ISC is taking some time to embed. Progress continues to be monitored.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk 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/RMS011 (RMS/A028)	Continue roll out of the Your Choice model in co-ordination with other services including the identification of new providers as part of this phased approach.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ/NM	March 2023	**GREEN (On Track)**
ACTION UPDATE:	We continue to work with providers to move packages over to Your Choice. There are now 8 providers delivering care under YC, and discussions are on-going with another large provider. Around 200 citizens have had there are packages transitioned over to YC, with 188 currently receiving their care and support provided as a YC package (around 3,000 hours per week).												
IHSR/RMS012 (RMS/A025)	Embed the new escalating concerns procedures.	☑	☑	☑	☑	☑		☑	☑	☑	AP/GJ/NM	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Quality Services - Delivering What Matters protocol has been ratified by SSMT. In use from November 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			
IHSR/PB013 (PB/A016)	Work with Adult Services to develop a customer facing service to enable self-referral to universal services available via the Third Sector.	☑	☑	☑	☑	☑		☑	☑	☑	TB/TC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Access to the CAB referral system has been achieved. User Experience research is being undertaken to understand residents current experience of access Adult Social Services and whet they would need and value from the service in the future. This research will inform the design of future online services for Adult Social care.												
IHSR/PB014 (PB/A013)	Contribute to the development of the Vale Alliance and Wellbeing Matter Service.	☑	☑	☑	☑	☑		☑	☑	☑	TB/TC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Customer Relations continues to support this project, providing advice and guidance on process improvements and enabling technologies.												

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

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

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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
Political & Legislative	Yes	Risk of legal challenge as a result of a failure to adhere to the Deprivation of Liberty Safeguards for relevant care home residents or for those living in their own homes (where authorisation from the Court of Protection has not been sought) and for young people lacking capacity.

Political repercussions as a consequence of failing to adhere to the Deprivation of Liberty Safeguards. |
| *Resources* | Yes | Inability and capacity of key partners to effectively work together to safeguard adults who are at risk of deprivation of liberty.

Financial repercussions as a result of court proceedings where there has been a failure to safeguard clients and there has been an unauthorised deprivation of liberty.

Lack of suitably qualified staff to undertake best interest assessments within designated timescales.

Increased demand for best interest assessments as a result of changes in law impacting on staff capacity and putting pressure on budget thresholds. |
| *Service Delivery and Wellbeing* | Yes | Impact of assessing a person's capacity when conducting assessments remotely rather than face to face due to the ongoing break out Covid situations in residential settings.

The Council is unable to meet statutory responsibilities for responding effectively to situations where people are at risk of neglect or abuse. |

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		Implications arising from the Court of Protection associated with Deprivation of Liberty of people living in domestic settings. Failure to appropriately identify individuals living in domestic settings where authorisation from the Court of Protection should be sought. There is the concern that COVID-19 further compounds this risk, as inability to identify individuals in domestic settings is applicable in the context Excessive waiting times for an assessment impacting on unlawful deprivation of liberty.
Reputation	Yes	A failure to adhere to the Deprivation of Liberty Safeguards for relevant people living in a care home or to seek authorisation from the Court of Protection for relevant people living in their own homes is unlawful and unequal. This would have a detrimental impact on reputation of the Council and would draw criticism by our regulators.

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	Regular scrutiny and CMT reports to highlight the key issues affecting DOLs. The DOLs Management Board oversees DOLs development.	3	2	6
Resources	Additional Best Interest Assessors have been recruited to meet the increased demand for additional assessments. Efficient use and co-ordination of resources on a regional basis via a collaborative arrangement with Cardiff Council and Cardiff and Vale University Health Board. Light touch review of systems and processes undertaken to put in place more robust processes to support the timely completion of assessments. Financial contributions by partners are reviewed at every DOLs Board with ongoing discussion. Findings & recommendations from the business improvement review have been adopted and implemented. Secured additional legal resource that has added capacity to process applications to court in timely way. The ADSS Matrix Prioritisation Tool is used consistently to prioritise applications being received. Monthly data reporting has been put in place across the partnership, with quarterly monitoring taking place through the DoLS partnership board. Monthly data reporting has been put in place across the partnership, with quarterly monitoring taking place through the DoLS partnership board.	3	1	3
Service Delivery & Well-being	Ongoing prioritisation of cases based on levels of risk and deprivation assisted by an effective case management system.	3	1	3

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	The CMHT for Older People has relocated from Ty Jenner to Llanfair Unit at Llandough Hospital. Advocacy Gateway provider has been identified through market analysis with plan to go live with Gateway in June 2018. Existing providers are to continue to provide advocacy and Independent Professional Advocacy as accessed through the Gateway. Gateway provider will monitor demand for advocacy and Independent Advocacy to inform future commissioning intentions. This work will lead to the Cost-effective commissioning of advocacy Services that meets the needs of service users. Established a robust monthly monitoring mechanism to provide effective monitoring of DoLS across the partnership with quarterly reporting via the Deprivation of Liberty Safeguarding Partnership Board.			
Reputation	We have formed good relationship with Welsh Government, Regulators and Key Partners and feed into the Association of Directors of Social Services (ADSS).	3	2	6
Overall Effectiveness of Controls		**3**	**2**	**6**

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

3. Risk Management Plan – Mitigating Actions													
		Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DOLR/RMS001	Undertake planning and preparation in readiness to implement the new Liberty Protections Safeguards scheme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ	March 2023	**Green (On Track)**
ACTION UPDATE:	Consultation response was submitted in Quarter 1. No further information to date.												
DOLR/RMS002	Continue to collaborate regionally on the DoLS partnership board to monitor activity and progress implementation.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ	March 2023	**Green (On Track)**
ACTION UPDATE	Quarterly DoLS Partnership Board Meetings with key stakeholders continue to take place; LPS progress and implementation is standing agenda item.												

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/RMS003	Continue to monitor and review the position of DoLS and back logs and where necessary take appropriate action.	☑	☑	☑	☑			☑	☑	☑	AP/NJ	March 2023	**Green (On Track)**
ACTION UPDATE:	Ongoing monitoring of quarterly data in relation to applications; backlog. Additional resource has been provided via UHB to address operational issues that resulted in an increase of applications for the UHB.												
DOLR/AS004	Continue to progress DoLS community applications to ensure the least restrictive practice is utilised and assessments proportionate.	☑	☑	☑	☑			☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	As in Quarter 2 case management teams continue to seek legal support for DOL authorisations from the Court of Protection, for individuals deprived of their liberty in a domestic, community setting.												

1 – Risk Overview	
1.1 Risk Description	This risk focuses on how we respond to uncertainty and emerging issues surrounding Brexit that has the potential to impact on how we deliver services to our citizens. There is a risk that we fail to effectively identify and respond to the changing policy and legislative landscape as a result of the 'Brexit.' This could also impact significantly on our ability to deliver our Well-being Outcomes and strategic objectives of our Corporate Plan. By developing a better understanding of the potential pressures Brexit places on specific services this will enable us to better prepare and respond to the changing climate and minimise disruption to service delivery. The uncertainty and implications associated with Brexit have been the subject of much discussion across the Council. SLT adopted a proportionate approach for preparing for Brexit where service areas undertook an impact assessment in the context of overall business continuity planning. During the transition period, the WLGA provided grant funding to all Local Authorities to support the preparatory work associated with Brexit. Post transition, this funding has now ended. The Local Resilience Forum have also committed resources to support coordination and communications across the region. We recognise that residents and businesses will look to us a community leader for advice, support and assistance whilst the effects of Brexit continue to be felt. Although a trade deal between the UK and EU was agreed and came into force on the 1st January 2021, there have continued to be Brexit related concerns whether it be in relation to the Northern Ireland protocol, labour market or supply chain issues. Therefore, it is vital that the Council remains part of any discussions at both the national and local level regarding the potential impact of Brexit on Council services. For example, the Council continues to be represented by the Director of Environment and Housing Services on the Local Resilience Forum (a regional emergency planning group). Brexit also remains a regular agenda item at both SLT and the Insight Board which prompts the identification of any wider mitigating activity as an authority. Both the pandemic, the conflict in Ukraine along with cost-of-living inflationary pressures have further exacerbated the previous supply chain and labour market issues that originally emerged from Brexit. The cross-cutting nature of these issues and the effect they are having on these issues makes them indistinguishable from the causes of Brexit. Instead, the amalgamation of issues around Brexit, energy insecurity, food insecurity, the conflict in Ukraine, climate change and the ongoing legacy from Covid are all having a compound effect on supply chain disruption and putting inflationary pressures on goods and materials. This has continued to influence the availability of goods/services, price volatility in the context of rising demand and has impacted on workforce issues such as lack of staffing within care sector and HGV lorry drivers. Consequently, the combined impact of this further influences our ability to manage the changing policy and legislative landscape post Brexit.

1.2 Risk Owner	Head of Policy & Business Transformation (TB).

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

1.4 Risk Categories		
Categories	Yes/No	Definition
Political & Legislative	Yes	Political uncertainty associated with Brexit and the impact this has on our ability to forward plan. Failure to comply with any legislative changes arising from the UK leaving the EU and impact this has at the local level. This risk is of particular relevance at a time when the Council is beginning its work to recover from the pandemic. Failure to fully embrace and participate in discussions/collaborative opportunities associated with Brexit could be detrimental to the profile and status of the Council. Failure to represent the Council's position in relation to the policy developments/changes associated with Brexit, which could impact on our ability to maximise opportunities for future investment and to deliver our strategic objectives outlined in the Corporate Plan. Failure to effectively lobby for and secure access to funding via UK successor programmes (replacement to previously EU funded programmes). Changes to consumer protection requirements across the EU affecting residents and local businesses. Potential changes to the regulatory procurement regime/framework that we operate by could have a negative impact on how we tender for and access products/services from EU markets.
Resources	Yes	Financial impact of leaving the European Union on the Council's European funded projects/initiatives (regeneration). Impacts our ability to secure funding to further progress the development/investment in regeneration projects e.g. Creative Rural Communities. Post-Brexit impact 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/cost of living crisis, has the potential to further

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		exacerbate this risk and affect our ability to attract inward investment.
		Rising costs associated with importing supplies and services e.g. Fuel, Food products from EU countries places further pressure on our budgets.
		Loss of staff from EU countries impacting not just on the council's operational capacity but also on the wider business community e.g. health and social care, construction, tourism etc. A reduction is labour supply could have a detrimental impact on the local economy. COVID has highlighted the value and significance of health and social care sector during the crisis, which is also a sector that employs a greater proportion of EU nationals. COVID combined with Brexit has exacerbated labour supply issues which is currently being seen in relation to domiciliary care and availability of HGV drivers.
		Difficulties in recruiting staff (or commissioning from the market) in 'hard to recruit' areas and where skill shortages exist and the impact this has on our capacity to deliver services/projects/schemes.
		Inability to put in place effective civil contingency plans (emergency planning) to take account of the potential impact of Brexit.
		Market volatility, inflation and financial uncertainty could impact on council revenue budgets and borrowing costs for capital schemes.
		Inability to effectively manage demand and sustain service delivery post Brexit.
		Risk that resources drawn to address the priorities arising from the pandemic, impacts on our capacity to prepare and adapt to changing policy and legislative landscape in response to Brexit.
Service Delivery and Wellbeing	Yes	Uncertainty in the economic/financial climate as a result of the Brexit impacts on our ability to attract inward private investment and lever fewer jobs in the area.
		Impact of Brexit on the supply chain, disrupting access to supplies and services from EU. This has the potential to significantly disrupt service delivery particularly in relation to vulnerable groups.
		Disruption in food supply could impact on our ability to provide cooked meals to children in schools, adults in residential care settings and our Tourist attractions/Country Parks.

1.4 Risk Categories		
Categories	Yes/No	Definition
		Disruption to fuel supply could impact on our ability to deliver services such as waste collections and the ability of staff to get to work.
		Shortages in medical supplies/specialist equipment could have a detrimental impact on discharge from hospital and ultimately on the health and well-being of our citizens. Issues experienced around the availability of key medical supplies such as PPE during COVID could further aggravate the supply chain concerns post-Brexit.
		Increased risk of counterfeit/fraud of goods/supplies such as pharmaceutical products, materials (building materials, electronic parts, vehicle parts), food and supplies such as cleaning products, sanitary products impact not only on quality but also on overall service provision.
		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, Covid and cost of living. 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.
		Delays/disruption to goods/supplies through the supply chain due to increased regulation at ports/airports. Increased pressure on the capacity of the SRS Service (Environmental Health Officers) for the inspection of food at ports/airports.
		Contract/provider failure by delivery partners/contractors to deliver services on our behalf due to pressures from Brexit on their operational capacity. This risk is further exacerbated by the impact of COVID that has put the care sector under strain both from a capacity and financial perspective which in turn has significantly threatened the future viability of some service providers during the crisis.
		Lack of resilience amongst our Third Sector partners in responding to the changes that Brexit brings 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.
		Combined impact of COVID and Brexit exacerbating issues and challenging business continuity. For example, the recent HGV driver shortage has affected our ability to recruit and retain our workforce in key areas such as waste and highways leading to some disruption in service delivery.
Reputation	Yes	Reputational repercussions and loss of credibility as a result of failing in our community leader role to effectively communicate clear messages associated with the Brexit and its impact.

1.4 Risk Categories		
Categories	Yes/No	Definition
		Loss of public confidence in our ability to deliver services effectively and sustainably post-Brexit.

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	• 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	2	2	4

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	date no significant areas of concern have been identified.			
Resources	• Ongoing approach overseen by CMT and involving Insight, Emergency Planning and Heads of Service. • Completed a Directorate-wide impact assessment of Brexit. • Business Continuity Plans have been reviewed and updated for priority one services. • Maintain a high-profile presence in all relevant discussions and briefings with regard to Brexit and its implications for legislative changes. The Council has established good links with the Welsh Government and WLGA in relation to this. • Links with the Welsh Government and WLGA regarding economic development. • Brexit Impact Assessment Action Plan has been approved and is monitored by CMT on a regular basis. The monitoring of this action plan feeds into updates/reporting that we provide regionally to the WLGA in relation to the EU Preparedness Advisory Panel. • 100% of all priority 1 Business Continuity Plans were completed. The next steps will involve undertaking testing of Priority One Business Plans to gain assurance of existing business continuity mechanisms. • Impact of access to agency staff post-Brexit in relation to our residential/domiciliary care workforce has been fully investigated and identified as a low-risk area. • Continue to work closely with mangers across all service areas to help them to support potential employees who may need to apply for settled status Worked with our local Trade Unions, we have provided the ability for staff to access advice and support from HR to support them to apply for settled status. • HR systems have been updated to record/capture the nationality of new employees/new starters to the local authority that will enable us to take a more pro-active approach to signposting and supporting them to register via EUSS. • 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	2	1	2

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
	been directed to the government information on applying for EU settled status. • 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	• 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).	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Developed a <u>Preparing for Brexit</u> web page for the website to signpost our businesses to advice and information to the Business Wales website. • 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	• 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.	2	1	2
Overall Effectiveness of Controls		**2**	**1**	**2**

2.3 Residual Risk Scoring & Direction of Travel

Category	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	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	3	3	9	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			
BXR/ALN001 (ALN/A005) BXR/SP002 (SP/A004)	Ensure that appropriate exit and forward planning strategies are in place for ESF funded projects to minimise service disruption and ensure sustainable services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/MD MH/MD/ TR	March 2023	**Green (On Track)**
ACTION UPDATE:	Within Learning & Skills, work continues with Welsh Government about Communities for Work close-down. Timelines have been received from WG. I2A and I2W have now closed to new participants, both held celebration events. Confirmation from UK Government has been received that Shared Prosperity Funding plans have been approved. We await a formal funding letter prior to initiating the project. Internal processes have also confirmed that the local delivery plan meets required needs. Indicative financial allocations have been sent by Welsh Government for Communities for Work+ for 2023/24 and a delivery plan is under construction. The CELT project finished in December and reports are being drafted. Profile has over-achieved with 82 participants registered and 27 Job outcomes. Most participants have now been exited." The Youth service has reshaped its targeted team to deliver a new programme aimed at preventative measures and those identified via EIT data as 'at risk' of becoming NEET (Not in Education, Employment or Training). This programme has a working title of 'Strive' until we hear if any finances will come from the Shared Prosperity Funding. Post 16 will be heavily impacted by the new Youth Guarantee project being led by C4W and C4W+; additionally, we will have a post16 tracker for destination data who will lead on door knocking and identifying those within sixth forms to better enhance our data of Yr12 and Yr13 school leavers.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/ALN003 (ALN/A021)	Implement the new Welsh Government Employability Strategy to ensure that employability provision meets the future needs of young people and adults in the Vale of Glamorgan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MD	March 2023	**Green (On Track)**
ACTION UPDATE:	Communities for Work+(CfW+) Indicative financial letter has been received from WG. This brings all 5 streams into one. A delivery plan is under construction which will also help focus employability support for young people. 7 QuickStart placements have started in various departments across the council. These are being monitored and will be reviewed. The YPG coordinator has made a good start linking closely with the EPC and youth team, a youth event has been booked for 16-24 year olds to showcase a range of options for young adults. Disabled Employment Champions continue to help develop work inhouse. A task and finish group has been established to help to improve recruitment of CfW+ Indicative financial letter has been received from WG. This brings all 5 streams into one. A new group has been established and led by the CfW coordinator aimed at work colleagues with experience of disability, mental ill health and neurodiversity. The approval of SPF Delivery plan will also see a small team established to work/support disabled people into supported employment.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/FS004 (FS/A005)	Review the inflationary pressures impact on the affordability on construction schemes as part of Capital Monitoring and the Capital Strategy.	☑	☑	☑	☑				☑	☑	MB/GJ	March 2023	**Green (On Track)**
ACTION UPDATE:	Results of an exercise to identify the status of tendering of the capital programme, existing and emerging cost pressures have been received and have fed into the Capital Bids and funding reported as part of the recent Capital Strategy report. Iterative work to support project managers in retendering, value engineering and scheme redesign is undertaken through regular monthly capital monitoring.												
BXR/FS005 (FS/A017)	Reshape procurement practices and policies to ensure our procurement activities contribute to the national Well-being Goals, support work around climate change, community benefits, response to challenges as a result of Brexit and build on the foundational economy project.	☑	☑	☑	☑	☑		☑	☑	☑	MB/GJ	March 2023	**Green (On Track)**

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ACTION UPDATE:	Due to go to Cabinet for approval Feb/ Mar 2023. Currently out for Consultation with a range of suppliers. SLT and Insight board happy with the document												
BXR/HS006 (HS/A005)	Monitor the cost pressures arising from the increase in construction, materials and energy costs in relation to the Housing capital programme.		☑	☑	☑				☑	☑	MI/NJ	March 2023	**Green (On Track)**
ACTION UPDATE:	The Construction industry has reached a level of stability where prices are not rising at the significant rate previously experienced. Whilst cost certainty remains a key issue, there is an increased level of confidence in the market that inflationary figures are more predictable and whilst costs will continue to rise the levels are now within risk parameters.												
BXR/NS007 (NS/A004)	Deliver the next phase of transformation in respect of Brexit, and the Council's declared nature emergency including finding solutions for the supply and cost of parts for vehicles, cost of construction materials, additional HGV drivers and additional technical engineers.		☑	☑	☑				☑	☑	ER/KP/GG /CS/MC/B T/JL	March 2023	**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:	Apprenticeships completed on 31/12/2022. Fitter post will advertised in Q4. HGV motor vehicle fitter training delayed.												
BXR/PB008 BXR/SRS009	Maintain oversight of Brexit developments to inform the identification of appropriate responses to manage emerging impacts and ensure this is reflected in reports to members. Maintain oversight of Brexit developments as related to the remit of SRS and reflect any changes in legislative, policy and practice as appropriate.	☑	☑	☑	☑				☑	☑	T Bowring HP	March 2023	**Green (On Track)**
ACTION UPDATE:	There are significant implications for SRS as a result of the Retained EU Law (Revocation and Reform) Bill. It provides Ministers with powers to amend, retain or revoke any pieces of retained EU law (REUL), of which there are thousands. However a sunset clause means that any piece of RUEL will be revoked at the end of December 2023 if Ministers haven't actively saved it by that point. Given the scale of the task and the extremely tight timeline, Regulatory Services (together with the Environmental Health and Trading Standards professional bodies) have been lobbying the Welsh and UK Governments to flag the huge consequences of this for business certainty, compliance and enforcement. It is hoped that the December 2023 deadline can be extended for a period of at least two years in order to allow for a thorough review of the REUL concerned and enable appropriate safeguards / alternative arrangements to be put in place.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/RP010 (RP/A004)	Work with partners in the region to ensure that a consistent approach is adopted to engage with the business community to communicate Business Wales, UK Government and Welsh Government advice around Brexit.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG/PC	March 2023	**Green (On Track)**
ACTION UPDATE:	Regular meetings have taken place with the Cardiff Capital Region team to ensure that the Vale benefits from work of this regional project. The Council continues to work closely with Business Wales and Welsh Government to promote business support schemes on offer and also has spent time identifying gaps in provision that could be supported by locally allocated external funding. Work with Cardiff airport and bro Tathan enterprise zone is ongoing and discussions have taken place around a number of key sites with a view to future development.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/RP011 (NS/A011)	Work with UK and Welsh Governments and Cardiff Capital Region to secure funding to deliver regeneration and business support projects and programmes.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG/PC	March 2023	**Green (On Track)**
ACTION UPDATE:	Council has received confirmation of £500k WG grant to upgrade bus shelters. This is going to be a mix of shelter upgrades and install of e-timetable displays.												
BXR/RP012 (RP/A018)	Establish a new External Funding, Community Development and Innovation Team.		☑	☑					☑	☑	MG	March 2023	**Green (On Track)**
ACTION UPDATE:	Half of the team have been appointed and started work in November and the remainder of the team will be appointed in Q1 of the new financial year.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
BXR/SL013 (SL/A007)	Monitor the cost pressures arising from the increase in construction, materials and energy costs in relation to the 21st Century Schools capital programme.	☑	☑	☑	☑				☑	☑	TBaker	March 2023	**Green (On Track)**
ACTION UPDATE:	Aecom continue to review costs on the Band B projects which are active to ensure they reflect the market value. Requests have been made to contractors to review costs at Barry Waterfront to ensure sufficient evidence is provided to support the costs. Aecom continue to monitor project costs for Band B Programme.												

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.

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 two key areas. These relate to

children and young people with complex autism, and particularly 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 impact of the pandemic has meant that Welsh Government have worked with partners to agree a much slower implementation of the Additional Learning Needs and Education Tribunal (Wales) Act 2018.

In order to ensure that schools, PRUs and local authorities had the necessary time to move children from the SEN system to the ALN system, the Minister decided to add a year to the time available to move children during the first year of the implementation period. As a consequence, all early years and school age pupils with ALN will have transferred into the new ALN system by September 2024.

The road map for delivery is as follows:

School year 2022/23 – **children with special educational provision through school action/school action plus:** Year 10 (and any children who were Nursery, Year 1, Year 3, Year 5, Year 7 and Year 10 in 2021/22 who had not moved into the ALN system during 2021/22)

School year 2022/23 – children with provision through statements: Nursery Reception, Year 6, Year 10 and Year 11.

School year 2023/24 – **children with special educational provision through school action/school action plus**: Nursery, Year 2, Year 4, Year 6, Year 8 and Year 10.

School year 2023/24 – children with provision through statements: Year 2, Year 3, Year 4, Year 5, Year 6, Year 8, Year 9, Year 10.

Until March 2022, there had been no information about plans for young people post-16. Welsh Government have now announced that implementation for post-16 will involve a 'flow through' approach, whereby those currently in year 10 and below, who are being moved to the ALN system by a school or local authority during the implementation period, will 'flow through' into further education with an individual development plan (IDP) already in place (where they require one). Any young person not yet on the ALN system at the end of the 2024/25 school year will move to the ALN system at that point.

Until the ALN Act applies to a young person, the Education Act 1996 and the Learning and Skills Act 2000 will continue to apply and they will continue to benefit from the support available via the existing Special Educational Needs and Learning Difficulty and Disability systems, respectively.

The Welsh Government is currently responsible for securing specialist post-16 provision for young people whose education and training needs cannot be met via mainstream provision, under the Learning and Skills Act 2000. As part of the ALN Act, this responsibility will transfer to local authorities.

The Minister has announced the intention for this process to take place gradually, with local authorities becoming responsible for those who have been moved to the ALN Act from 2022/23 (those currently in year 10 and below). The Welsh Government will continue to secure and fund specialist post-16 placements for those young people who have not yet been moved to the ALN system (those currently in Year 11 and above).

The Welsh Government also confirmed that any funding for placements agreed by Welsh Ministers before the end of the 2024-25 school year will remain available to young people until they complete their agreed programme of study.

Currently, a small group of young people from the Vale of Glamorgan with complex ALN access college placements on leaving statutory education. The new arrangements outlined by Welsh Government will expose the local authority to increased risk as the number of young people requesting college placements is likely to increase and it is unclear whether sufficient funding will be transferred to local authorities to meet increased demand.

The financial impact of the new ALN system is difficult to measure because it is early in the implementation process to measure this. It is clear that more central staff have been required to implement the changes and to provide the additional training and support required to schools. Additional staffing have particularly been required to support the development of practice and provision in the Early Years and will increasingly be required post-16. Currently the majority of this increased expenditure has been met by grant funding provided by Welsh Government but it is uncertain how long this funding will be provided for, and ultimately long-term costs will have to be met by local authorities.

Any additional costs caused directly by the ALN reform will be of concern because these will be on top of significant financial pressures already in the system due to the increased numbers of CYP with complex difficulties, particularly those with complex social, emotional and mental health difficulties. Schools are concerned about their capacity to meet the increasing expectations on them as set out in the ALN Act. ALNCOs in particular are finding the role challenging and many have resigned as a consequence. Head teachers are reporting that much more time is needed for staff who work in this field which in turn requires additional staffing and therefore additional costs which are difficult to manage.

The success of the reform is largely dependent on a productive and effective partnership with the Health Service and health professionals. Due to the significant pressures on the Health Service developing a partnership approach has been challenging and this is likely to be the case for some time given the huge financial and capacity pressures they are facing.

There is still a huge amount of uncertainty in how the new reforms will work post-16. Over the next three years the implementation of the Act will phase in this age group and there is further work required to develop a shared understanding of how local authorities and further education settings will work in partnership to meet need

The Act requires local authorities to ensure sufficiency of ALN provision and work towards parity of provision between those attending Welsh medium and English medium schools. In order to do this, the lack of specialist materials and assessments, staff and specialist provision available through the medium of Welsh will need to be addressed. This is very challenging to achieve and has significant training and funding implications

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 two key areas. These relate to

	children and young people with complex autism, and those experiencing social and emotional health difficulties. Developing sufficient provision to meet demand in these growth areas will present an ongoing challenge.
1.2 Risk Owner	**David Davies (Head of Additional Learning Needs & Well-being)**

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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
Political & Legislative	Yes	Political and legislative repercussions of failing to meet the requirements of the *Additional Learning Needs and Education Tribunal Act 2018* could lead to litigation, fines and/or political instability.
Resources	Yes	Extending the duty of care to a wider age range of children and young people (0-25), impacts on our workforce capacity and our ability to widen our service provision to bring in more specialist skills/support. The legislation will require a significant amount of additional provision to be created without sufficient additional financial resources.

Insufficient knowledge and expertise in the workforce to fully meet the new requirements of the Additional Learning Needs Education Tribunal Act. This could have significant training and development implications for the local authority staff as well as school-based staff.

Insufficient funding to deliver our additional duties under the Additional Learning Needs Educational Tribunal Act. The discharge of new responsibilities/duties under the Act could present a significant financial risk to the Council where there is already a growing need for ALN provision. |

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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.
Service Delivery and Wellbeing	Yes	There is a risk that the local authority will fail to meet its statutory duties in delivering the requirements of the Additional Learning Needs and Education Tribunal Act 2018. Inability to deliver a fully bilingual service as set out in the Act in terms of Additional Learning Needs, creating a lack of parity of provision across the service and a failure to meet both the requirements of the legislation and the needs of our learners. Continued risk of operating the SEN system in tandem with the new ALN system leads to organisational difficulties regarding capacity to ensure both systems can run effectively alongside each other. This is problematic for both central staff and school-based staff. Lack of sufficient provision to meet the increasing numbers of children and young people across the two key growth areas of children and young people with complex autism, and those experiencing social and emotional health difficulties. There is a financial risk associated with providing ongoing bespoke transport solutions to a growing number of children and young people with complex needs in order to access education.
Reputation	Yes	Reputational damage associated with non-compliance with the Additional Learning Needs Education Tribunal Act and the negative criticism this could attract from our Regulators (Estyn).

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

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Political & Legislative	• Regular updates on ALN provision and progress against meeting the requirements of the Act presented to Scrutiny and Corporate Management Team. • Work closely with the Consortium with regular progress updates and reports. • The Transformational Project Board meetings are attended regularly, and monitoring of the plan is on target. • Effective partnership with the Central South Consortium Joint Education Service, schools, children and their families to improve the outcomes of vulnerable learners and reduce inequalities in education. • A significant amount of training has been undertaken in order to prepare for the implementation of the Act.	2	1	2
Resources	• Budget setting process includes considerations of cost pressures arising from ALN developments. • A readiness survey has been completed. This has identified areas of staff development and training	1	1	1

2.2 Controlling Inherent Risk				
Category	**• Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	requirements that will form the basis of a training programme. • A PCP audit has been undertaken and results have been analysed in clusters and regionally. • Awareness raising training has been delivered to Headteachers, ALNCOS and Governors on the Act. • IDP training has continued through ALNCO training. IDPs have been trialled and training has addressed the format, systems and procedures around IDPS. Regular half termly ALNCO training has continued to address the wider implementation needs of the Act and the new code. • Strategic links have been developed with CAVC to develop an agreed vision for the inclusion of learners with additional learning needs post 16. • Dispute resolution training has continued to be delivered. • Central training delivered and well attended on the wider implication of the ALN Act for local authority staff. IDP and PCP training will be offered to EOTAs staff and Social Services. PCP training has been offered to CLA coordinators.			
Service Delivery & Well-being	• A three-year ALN Implementation Plan for the Central South Consortium Region was agreed in August 2018. Delivery of the Implementation Plan is monitored by the transformational lead for the Vale of Glamorgan with progress reported back to the Director of Education. Good progress has been made against the actions set out in the plan. • 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.	1	1	1

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• For the tracking and monitoring of ALN pupils, all staff can access the system called ONE. Process maps for ONE have been developed to ensure that procedures are used consistently. • Early Years meetings continue to be attended, regionally and with Cardiff in order to plan early years provision. • An Early Years Forum has been established and the Early Years toolkit has been published and is being shared with Early Years providers. • A Continuing Health Care Draft Policy has been endorsed by all key partners to improve transparency of the process as it relates to children and young people. • Transition Protocol has been developed and agreed in conjunction with Social Services and Health. • Partners have advocated for the educational needs of learners in the 7 different vulnerable groups. • Proposals have now been through all stages of the consultation process for 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			

2.2 Controlling Inherent Risk				
Category	• **Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	commissioned to deliver a counselling service to primary aged pupils. • In response to increased need the capacity of the Engagement Service which works with schools to meet the SEMH needs of children and young people in the Vale has been increased. An additional specialist teacher has joined the team and plans are in place to employ clinical psychologist to add further expertise. • The Motional assessment tool has been purchased for schools for 3 years 2021-2024. Motional is an online tool for identifying, assessing, and improving the emotional health and wellbeing of children and young people. It builds capacity within mainstream schools to respond quickly to mental distress as pupil assessments generate activity/intervention plans tailored to the emotional health profile of the individual. In order to build emotional resilience of staff and schools have been provided with the following: • 2 x 45 minutes 'Recovery from Trauma' webinar Dr Coral Harper for all staff working in schools • Action for Happiness initiative across all schools including resources and training for staff self-care, Keys to Happier Living journal • Increased provision of clinical supervision for education staff working as trauma informed practitioners • Subscription to The Happy Newspaper for all staffrooms In addition to the comprehensive Trauma and Mental Health Informed Schools training already commissioned and continuing 2019-22 additional training has been made available to schools as follows:			

2.2 Controlling Inherent Risk				
Category	**• Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• 'Supporting the Return to School' Trauma Informed Schools 3 hr training for all education staff • Additional Senior Leaders Trauma Informed Schools 2-day course for all pastoral leads/heads of year in secondary schools • Mental Health first Aid training available for all schools • Therapeutic workshops, Play, music, OT understanding the functions of behaviour • DDP Level 1 training – for all secondary schools The following resources have also been made available to schools: • Action for Happiness Schools Toolkit – All primary schools and Year 7 pilot group • Rainbow Pathway – Trauma informed PSE curriculum - all primary schools • 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	• A communication strategy in relation to the ALN Act is being developed.	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	2	1	2	2	3	6	↔	↔
Resources	4	3	12	1	1	1	4	3	12	↑	↔
Service Delivery & Well-being	4	3	12	1	1	1	4	3	12	↑	↔
Reputation	2	3	6	1	1	1	2	3	6	↔	↔
Average risk score/ direction of travel	3	3	**9**	1	1	**1**	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/ALN001 (ALN/A018)	Develop consistency of practice in the production of high-quality individual development plans (IDPs) and the corresponding arrangements necessary for monitoring and reviewing their impact on learner progress.	☑	☑	☑	☑	☑		☑	☑	☑	DD/SR	March 2023	**Green (On Track)**
ACTION UPDATE:	LA officers continue to monitor and evaluate school IDPs, and work on complex cases with schools. All procedures and corresponding letters are being reviewed and will be reissued to ensure that ALNCos are clear on IDP process and have clear supporting letters that cover all statutory requirements. IDP champions continue to support schools with IDPs and work with LA on FAQs and supporting guidance. Guidance on monitoring progress and impact on learners is being developed.												
ALNR/ALN002 (ALN/A017)	Continue to work with colleagues delivering the 21st Century Schools Programme to develop provision for ALN to meet current and projected need. This will include projects such as the expansion of Ysgol y Deri.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD	March 2023	**Green (On Track)**
ACTION UPDATE:	A programme has now been established in order to utilise the WG funding. The programme is dependent on securing ongoing revenue funding to be able to staff any new provision.												
ALNR/ALN003 (ALN/A003)	Provide consistent and transparent information and advice about the new ALN system and develop an integrated approach to address disputes and disagreements so that	☑	☑	☑	☑	☑		☑	☑	☑	DD	March 2023	**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			
	they can be avoided or resolved at an early stage.												
ACTION UPDATE:	Clear advice and information on ALN is being shared on the Vale website, this will be continued to be developed. ALN information, leaflets are being updated to re share with schools for use on school websites and individual cases. Officers are reviewing school websites to ensure accessible information on ALN for parents. Dispute resolution procedures and information continue to be developed in line with complex cases and legal advice.												
ALNR/ALN004 (ALN/A004)	Develop processes to enable the new way of working and improve management information systems, including IT infrastructure to ensure that both the new ALN arrangements and the old SEN arrangements can co-exist over the implementation period.	☑	☑	☑		☑			☑	☑	DD/SR	March 2023	Green (On Track)
ACTION UPDATE:	The new ALN portal for writing and developing IDPs is completed and will be shared with schools ALNCos in January. Digital provision maps have been developed and shared with schools that can be used independently of any other system. All resource bases are being developed on One to monitor placement, reports are being trialled for this. Work on complex needs reports , recording and tracking continues.												
ALNR/ALN005 (ALN/A002)	Through partnership working, develop understanding across agencies of person-centred practice to facilitate collaborative discussion about needs, outcomes and provision with all concerned.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/SR	March 2023	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 ALN team is working with internal teams and external agencies and providers to ensure that IDP and PCP knowledge and skills are shared and training is given where needed. ALN Officers are meeting with external providers , and working with colleagues to ensure that Local Authority procedures are shared and that where Vale pupils are placed have good understanding of PCP practices and are able to develop IDPs with the LA.												
ALNR/ALN006 (ALN/A020)	Implement a training programme for central education staff in order to ensure readiness for the ALNET Act.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/SR	March 2023	**Green (On Track)**
ACTION UPDATE:	All central staff continue to be invited to ALNCO day training sessions and attend relevant areas. Cluster group training continues to be run for specialist staff around ALNET requirements including IDP development and reviews, regular advice and support is given from LA ALN officers. Regular collaborative meetings take place to share good practice , advice and support colleagues with ALN requirements. A development morning for central staff will take place in the spring term , to ensure that all ALN staff are share a joint understanding of ALN.												
ALNR/ALN007 (ALN/A008)	In accordance with the WESP, review Welsh - medium ALN provision to evaluate sufficiency and utilise findings to enhance provision as appropriate.	☑	☑	☑	☑	☑		☑	☑	☑	DD	March 2023	**Green (On Track)**
ACTION UPDATE:	The first phase of the review in nearing completion and will be fed- back to headteachers of Welsh medium schools in the Spring term. The new provision continues to develop strongly and is providing excellent support to pupils within the school. A formal evaluation of the provision will be undertaken in the Summer term.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
ALNR/ALN008 (ALN/A013)	Develop a shared understanding between the Health Board and LAs for identifying and supporting the needs of learners with ALN (0-25).	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/SR	March 2023	**Green (On Track)**
ACTION UPDATE:	Regular meetings with Health regarding individual complex cases and sharing of information have been developed. Meetings and training regarding Vale procedures and provision are being developed to increase health understanding of ALN in the Vale.												
ALNR/ALN009 (ALN/A007)	Work with schools to ensure pupils are happy, safe and free from discrimination with a focus on establishing effective processes to enable the collection, analysis and response to bullying data, including incidents involving vulnerable groups and protected groups.	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/JR	March 2022	**Green (On Track)**
ACTION UPDATE:	Autumn 2021 saw the recording of bullying incidents on 'My Concern' and subsequent automation of this data collection via 'Clarity' this has allowed for far greater analysis and risk forecasting. It is anticipated by Spring 2023 we will have year on year comparable data which will help further in plotting trends. in addition each school is receiving a 1-1 with My Concern to better understand bullying recording methods along with the introduction of a Threat / Risk dashboard for each school on My Concern.												
ALNR/ALN010 (ALN/A019)	Further develop arrangements between the LA and its delivery partners for keeping under review the quality and sufficiency of additional learning provision to meet the	☑	☑	☑	☑	☑	☑	☑	☑	☑	DD/SR	March 2023	**Green (On Track)**

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3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	current and future needs of its population of learners with ALN.												
ACTION UPDATE:	Work with cluster leads to record and collate how schools monitor and review ALP impact is planned following ALNCO day input on provision maps and ALPs. LA officers continue work on visiting and collating LA commissioned ALPs. Work has begun with colleagues on QA criteria and monitoring of commissioned ALps.												
ALNR/SP011 (SP/A002)	Work with Social Services, the Central South Consortium Joint Education Service (CSCJES), schools and other external agencies to strengthen our approach to engaging, involving and communicating with children and their families to deliver services that meet their learning needs within all education settings.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH	March 2023	Green (On Track)
ACTION UPDATE:	The Participation Strategy has now been agreed by DMT and ready to launch in the new year.												
ALNR/SP012 (SP/A005)	Deliver and evaluate programmes and interventions aimed at addressing gaps in progress to make sure they have a positive impact on socio-economic disadvantage, disability, sex, race, Children Looked After,	☑	☑	☑	☑	☑		☑	☑	☑	MH	March 2023	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			
	young carers, other vulnerable groups and other protected characteristics.												
ACTION UPDATE:	The Vulnerable Groups Team started an action research project with six schools to produce case studies on how schools can be actively anti-racist and contribute to the Council Anti Racist Action Plan. The Team developed the PEP/IDP portal to track the attainment of looked after children. This portal supports the Vulnerable Groups Team to identify the gaps in progress for looked after children. The Team developed a virtual school to track the attendance of pupils who are refugees and asylum seekers.												
ALNR/SP013 (SP/A009)	Work with the Central South Consortium Joint Education Service to ensure schools receive appropriate and high-quality professional learning opportunities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH/CP	March 2023	**Green (On Track)**
ACTION UPDATE:	•A comprehensive range of regional professional learning (PL) opportunities are available. The offer continues to be responsive to the needs of schools. • Participation of Vale schools in funded projects (between April – November 22) includes 26 schools across 25 projects. • 374 practitioners from the Vale have engaged in professional learning related to curriculum between April - November 2022 • 316 individuals working Vale schools have engaged in Governor training • 86 practitioners from the Vale have engaged in professional learning to develop Welsh Language provision												
ALNR/SP014 (SP/A008)	Work with the Central South Consortium Joint Education Service to ensure Improvement Partners identify readiness of schools for implementation of the curriculum by	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH/CP	March 2023	**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			
	September 2022 and provide appropriate on-going curriculum development support beyond September 2022.												

ACTION UPDATE:	• Improvement Partners (IPs) for those schools first implementing from September 2022 have completed Curriculum for Wales (CfW) surveys based on the 8 contributory factors for successful realisation set out by Welsh Government. In addition, IPs for those secondary schools first implementing from September 2023 have completed CfW surveys based on school readiness. Findings from surveys will be analysed and shared early spring term. • IPs and Curriculum and PL (C&PL) team continue to provide on-going support for schools in relation to roll-out of CfW. Bespoke support provided to four schools and to the Stanwell and St Richard Gwyn cluster of schools. 2 Vale schools attended the 'drop-in' sessions held (Sept 2022 and Dec 2022) to discuss curriculum development and put in place any support schools may require. • 'Leaders of curriculum' network meetings held in October 2022 for schools to consolidate their understanding of implementation and to share practice with schools from across the region. 7 Vale schools attended. • In terms of CfW, nearly all schools: - are continuing to develop a good understanding of the CfW framework including the four purposes, the statements of what matter and the mandatory elements. - have reviewed their vision, values and behaviours to support curriculum realisation. - continue to review and develop curriculum design models suitable to their school vision. - continue to review and develop their approaches to assessment and supporting learner progress.

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk 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/SP015 (SP/A013)	Work across our schools and youth services to meet the needs and respond to the social, emotional and mental health difficulties of children and young people including work on trauma informed approaches and the Whole School Approach to Mental Health and Well-being.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH/MD	March 2023	**Green (On Track)**
ACTION UPDATE:	The SEMH strategy has now been developed and is fully ratified after a discussion with DMT. A strategic wellbeing consultant has been recruited to ensure schools are supported to work towards compliance with completing a WSA audit and implementation plan by April 2023. All clusters have now undertaken Perform and Grow. The strategy will now be discussed with Youth Service managers so that a CYP friendly document can be constructed and consulted upon with YP via participation forums.												
ALNR/SP016 (SP/A015)	Work in partnership to deliver EOTAS provision which ensures our most vulnerable 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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH/MD	March 2023	**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 pupil engagement team are working hard to quality assure data before the EOTAS return data in January 2023. The QA process is ongoing with providers and a new QA process for independent schools will be trialled in January 2023. We continue to develop new working relationships with providers who can deliver to the needs of the pupil engagement service and who can deliver something more bespoke to learners here in the Vale. We had an EOTAS thematic inspection in Dec 2022 which will look at the changes to the service and any recommendations to move forward.												

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. 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 these interventions had a huge impact on all aspects of daily life as well as the economy. The social and economic cost of the crisis has been significant.
	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.
	Now that this risk has evolved, our focus has shifted towards our recovery. The risk this poses going forward is one of capacity to address the longer-term impacts of the pandemic on our services, citizens, and communities.
	The Council's recovery from Covid has not be linear, as it has been influenced by various challenges that at times may impede our recovery and at other times present us with opportunities. Regular review and updating of this risk will enable the Council to ensure this risk remains current and will enable us undertake horizon scanning in relation to potential threats and additional emerging issues as this risk evolves whilst shaping our strategic response. Despite the uncertainty that lies ahead, the crisis has provided local authorities with an opportunity to reflect on how services are operated and delivered to our citizens. Seizing opportunities to improve the efficiency

and effectiveness of our services will enable us to emerge from the crisis a stronger and more resilient organisation.

1.2 Risk Owner	Corporate Management Team

1.3 Impact on our contribution to the Wellbeing Goals

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

1.4 Risk Categories

Categories	Yes/No	Definition
Political & Legislative	Yes	Political and legislative repercussions of failing to discharge our statutory functions and comply with statutory requirements of service delivery. Political and legislative repercussions of not fulfilling our requirements as outlined in the Constitution. Failure to provide a consistent and timely leadership in response to the pandemic that is out of step with national policy. Failure to utilise our expert knowledge of our communities to make timely decisions in how we deliver services to meet the needs of our most vulnerable communities. The pandemic brings with it an increased risk of challenge and the potential for litigation. Inability to adapt our democratic/governance processes quickly and effectively to ensure timely decision-making and effective business continuity. Any adaptations to decision making/governance processes as a result of lock down restrictions would need to be robust an in keeping with our constitutional requirements, ensuring openness and transparency.
Resources	Yes	Insufficient funding available that can be used to meet unprecedented demand in our most critical services e.g. social care services. Effective financial management will be essential to respond monitor and prioritise the resourcing of a breadth of services where there are competing demands.

1.4 Risk Categories		
Categories	Yes/No	Definition
		Uncertainty regarding the funding support from Welsh Government in the wake of the pandemic and its impact it has had on our services and citizens.
		Rising costs associated with sourcing supplies via our supply chain (e.g. Personal Protective Equipment (PPE) etc.) and services (contracted out services/agency staff costs) will place further pressure on budgets.
		Financial viability of some of our key service delivery partners as we move from response to recovery.
		Failure to mobilise our assets, technology and workforce resources across our council departments and organisational boundaries to new ways of working in the aftermath of the pandemic in a cost effective and efficient way.
		Inability to manage demand and sustain critical services due to a loss of staff from the front line due to illness. e.g. Social Care staff, Teachers etc.
		Workforce shortages of specialist key staff impacting on our ability to deliver statutory service functions where redeployment from other areas is not possible. e.g. Social Workers.
		Inability to execute contingency plans consistently across service areas due to a lack of available resources.
		Inability to source from our supply chains appropriate levels of PPE to be distributed to our frontline workers and other providers.
		Financial impact of the crisis on the voluntary sectors impacting on their capacity and ability to provide support to citizens and communities.
		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.
		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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		quality and efficiency of our services and jeopardise our recovery and the viability of our services in the future.
		COVID-19 presents an increased risk of cyber-attacks and the potential for fraud. During the crisis, threats have been increasingly targeted at those working from home with more sophisticated attacks being identified and reported more frequently. This not only undermines the integrity of our systems, but places increased pressure on our resources to keep a step ahead of cyber threats and fraudulent activity.
Service Delivery and Wellbeing	Yes	Failure in our duty to ensure the safety and well-being of our most vulnerable citizens and an inability to meet their basic needs.
		Failure to provide education to school pupils, via distance learning for children self-isolating with Covid.
		Failure to maintain/oversee quality assurance mechanisms associated with managing and monitoring service delivery by Third Parties to citizens in our communities.
		Failure to safeguard the principles of social inclusion as a result of the crisis and effectively support the most vulnerable groups on the edge of society.
		Detrimental financial impact of the crisis on the sustainability of the local economy/businesses to survive and financially recover from the impact of the pandemic.
		Increased incidences of family abuse, neglect and domestic violence, places increased pressure on our safeguarding services.
		Combined financial impact of Covid and Cost of Living crisis on our residents. 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.
		Increased demand and lack of capacity within reablement services in the community to support the step down from critical care in hospitals which will can impact on an individual's ability to recover and regain their independence.
		Inability to maintain new and innovative services and ways of working that have developed during the pandemic, which have

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		proved essential for certain groups of individuals but for which future funding is not available to continue at the current time (e.g. homelessness). Failure to take advantage of the opportunities to transform services as a result of lessons learnt from the Council's response to COVID-19. Risk of contractual delay to key capital projects/construction projects due to COVID. For example, Labour and supply chain issues could cause construction projects to be delayed or contractual obligations not be met. Failure of a contractor to perform their contractual obligations in light of COVID-19. Non-performance could be caused by labour shortages, reduced productivity, and/or disruption to the supply chain.. Economic impact of COVID-19 on contractors/providers could threaten their viability and ability to fulfil contractual obligations and potentially result in contractual failure. Impact of pandemic on the demand for sports and leisure activities and in particular those requiring access to exercise referral programmes to support their health and wellbeing and recovery from illness. The pandemic has shifted our focus towards maximising our use of technology to deliver services, which increases the risk of digital exclusion. This could potentially disadvantage our most vulnerable and deprived citizens who do not have access to online services.
Reputation	Yes	Failure to communicate effective, clear and consistent messages to our key partners and other stakeholders could undermine the effectiveness of our recovery from the pandemic and result in a poorly orchestrated delivery of services at a critical time. Loss of confidence and trust by the public as a consequence of lack of clarity and transparency of key measures and its impact on any future compliance with public health measures.

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	• An extended Corporate Management Team, CMT Gold, maintain ongoing oversight and development of our strategic response to the developments associated with the crisis. • Emergency Planning Team and processes are an intrinsic part of the Gold arrangements. • Regular briefings and updates provided by the Managing Director and the Leader to all Members, WLGA and Welsh Ministers on our position and response to the crisis. • Directors in regular liaison with professional bodies and national forums to understand the latest policy position relevant to their area.	2	2	4
Resources	• Critical services reviewed and prioritised for resourcing. • All staff where it is practical have been enabled to work from home. • Systems have been put in place to collect financial information in a timely manner to ensure accurate grant claims	2	1	2

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

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	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 a 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 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. • Recommended respite services to support resident's physical and mental health.			
Reputation	• Tannoy trucks have been used to broadcast the key messages to the public of #StayHome-StaySafe demonstrating that the Council is at the forefront of the response to COVID-19.	2	1	2

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	• Managing Director issues weekly communications/updates to staff on the ongoing developments and advice on any changes to working practice. • Communications Plan has been developed in response to this crisis that ensures that regular updates are provided to public, business owners and other key stakeholders on key developments on a daily basis by maximising the use of all our key communication channels.			
Overall Effectiveness of Controls Score		2	1	2

2.3 Residual Risk Scoring & Direction of Travel											
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score			Direction of Travel	Forecast Direction of Travel
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	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	3	3	9	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			
CVR/PB001 (PB/A039) CVR/HR002 (HR/A014) CVR/NS003 (NS/A029)	Work in partnership regionally and nationally to continue to respond to and recover from the effects of the COVID-19 pandemic. Work in partnership regionally and nationally to continue to respond to and recover from the effects of the COVID-19 pandemic, with a focus on health and safety for schools and vaccinations. Work with partners regionally and nationally including Legacy Leisure, Community Associations, Schools and the Health Authority to respond to and recover from the effects of the COVID-19 pandemic. This will include continuing to work with passenger transport providers to meet needs and encourage public transport use, supporting leisure	☑	☑	☑	☑	☑	☑	☑	☑	☑	T Bowring TD ER	March 2023	**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			
	centres and contractors with their recovery programme.												
ACTION UPDATE:	A robust regional network is in place via the Warning and Informing group of the South Wales Local Resilience Forum. The group is used to coordinate various regional and national messaging across organisations. It has worked very effectively in recent months to respond to industrial action in the health sector, flooding and other adverse weather, and to coordinate regional support via third partners for those affected by the increased cost of living. Response has to Covid has moved more towards recovery. Within Neighbourhood Services work has been undertaken to look at recovery in relation to public transport. Recently a bus users event was undertaken in Kings Square, Barry to promote bus services. BES funding remains in place until 31/03/2023.												
CVR/AS004 (AS/A020)	Enable safe discharges from hospital that considers the impact/consequences of Covid-19 through models of care which provide choice and control for service users.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	This is now business as usual. The Vale Integrated Discharge Service, VCRS and Age Connect DSOs continue to provide coordination of social care and reablement discharges. The Vale operates a single point of referrals from all UHW, UHL and Barry Hospital wards for screening and signposting to relevant team.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CVR/AS005 (AS/A024)	Agree and implement the future operating model for AS in the context of the Council's Transformation agenda and 'Eich Lle'- 'Your Space' project.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	Second workshop took place with wider members of SMT. Establishment numbers/ survey findings were reviewed and options going forward were explored. Storage requirements inventory completed for RMS. This will now be extended to CYPS and AS.												
CVR/CS006 (CS/A007)	Work in partnership locally, regionally and nationally to respond to the specific pressures associated with the management of higher levels of demand alongside the scarcity of resources (specifically workforce and placements).	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2023	**Green (On Track)**
ACTION UPDATE:	Residential developments on track to go live at the end of Q4/Q1.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CVR/RMS007 (RMS/A010)	Recruit and retain staff to enable reopening of the reablement service within residential care.	☑	☑	☑	☑			☑	☑	☑	AP	March 2023	**Green (On Track)**
ACTION UPDATE:	Recruitment of staff ongoing and more applicants since rise of grades. Relief bank on hold as managements structure/responsibilities need to be determined in collaboration with HR.												
CVR/RMS008 (RMS/A011)	Establish a PPE management team to embed processes to ensure co-ordinated supply to relevant teams and settings across the council.	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2023	**Green (Completed)**
ACTION UPDATE:	The PPE has been established and a supply and distribution centre in operation.												
CVR/RMS009 (RMS/A012)	Reopen the 'Bay Unit' at Ty Dyfan as a bridging unit between hospital and home to mitigate capacity issues within the market.	☑	☑	☑	☑	☑		☑	☑	☑	AP	March 2023	**Green (On Track)**
ACTION UPDATE:	3 beds currently offered to 1000 bed 'bridging' project												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CVR/FS010 (FS/A020)	Support and deliver Welsh Government funding to address COVID recovery and community needs.	☑	☑	☑	☑			☑	☑	☑	MB	March 2023	**Green (On Track)**
ACTION UPDATE:	WG Covid Claims summitted for Months 1-9												
CVR/FS011 (FS/A019) CVR/NS012 (NS/A019)	Continue to develop the Capital Programme and the use made of the Council's assets to support recovery and economic growth including the proposed non treasury investment strategy. 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 and work to deliver the projects identified in the Council's Capital Programme for 2022/23.	☑	☑	☑	☑	☑		☑	☑	☑	MB	March 2023	**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:	Draft non-Treasury Investment Strategy is under review for adoption early in 2023.												
CVR/FS013 (FS/A005)	Review the inflationary pressures impact on the affordability on construction schemes as part of Capital Monitoring and the Capital Strategy.	☑	☑	☑	☑	☑		☑	☑	☑	MB	March 2023	**Green (On Track)**
ACTION UPDATE:	Results of an exercise to identify the status of tendering of the capital programme, existing and emerging cost pressures have been received and have fed into the Capital Bids and funding reported as part of the recent Capital Strategy report. Iterative work to support project managers in retendering, value engineering and scheme redesign is undertaken through regular monthly capital monitoring.												
CVR/HS014 (HS/A022)	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.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MI/NJ	March 2023	**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 cell meetings continue to take place in respect of temporary accommodation. The group will shortly disband but an alternative steering group will replace this in order to oversee the implementation of the new Rapid Rehousing Transition Plan. The majority of the agencies and attendees will remain the same but there will be a revised terms of reference and a focus more on minimising the future use of temporary accommodation.												
CVR/HR015 (HR/A001)	Support organisational-wide change as part of the Council's new Transformational Change Programme, COVID recovery, Brexit and the climate and nature emergencies including any HR and OD issues that may arise.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TD	March 2023	**Red (Slipped)**
ACTION UPDATE:	Oracle project delayed due to ongoing issues with system readiness, due to launch in April 2023 on track for launch. Work currently underway to prep wider org on new system. Occ Health Cohort System due to commence implementation in Feb 2023 - this should streamline occ health processes removing the paper-based systems. Strategic workforce planning to form part of Spring Management Development Programme, commencing with SLT and HOS. People Strategy, Hybrid Working Strategy, Volunteer Policy, Pay Policy and Performance Management Process to be discussed on the 2nd Feb Cabinet												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CVR/LD016 (LD/A003)	Continue to maintain service continuity of business-critical services in line with the Legal Services and Democratic Services Business Continuity Plans (in line with available resources).	☑	☑	☑	☑	☑		☑	☑	☑	DM	March 2023	**Green (On Track)**
ACTION UPDATE:	Service continuity of business-critical services continues to be maintained in line with the Legal Services Business Continuity Plan (in line with available resources). Review scheduled by Legal services Q3 2022/23.												
CVR/RP017 (RP/A017)	Identify further opportunities to expand the use of underused and empty spaces for use by local businesses, creative and co-working communities across the Vale with a key focus on town centres.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG/PC	March 2023	**Green (On Track)**
ACTION UPDATE:	Outreach work commenced during Q.3 for the Transforming Towns, Placemaking Grant targeting empty and underutilised buildings along Holton Road in Barry Town Centre. Outreach work to commence in Q.4 for the Transforming Towns, Loan Scheme targeting empty and underutilised buildings in Cowbridge Town Centre.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CVR/RP018 (RP/A019)	Identify grant support for businesses and investment in regeneration projects in town centres.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG/PC	March 2023	**Green (On Track)**
ACTION UPDATE:	Cabinet 15th December 2022 considered a report on the UK Shared Prosperity Fund, and resolved to delegate specified powers to named Officers in consultation with the relevant Portfolio Holder relating to the local delivery of the emerging Investment Plan (including all Vale Town Centres). The Town Centre Minor Physical Improvement Grant scheme targeting businesses along Holton Road and High Street/Broad Street in Barry Town Centre was launched during Q.3. In this regard the level of interest is high and applications are being processed.												
CVR/RP019 (RP/A014)	Work with partners including Welsh and UK Governments to deliver a programme of economic growth and recovery in Barry ensuring a diversity of both business and education facilities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MG	March 2023	**Green (On Track)**
ACTION UPDATE:	Member consultation on growth options with emphasis on employment and housing. Working on RLDP spatial options with emphasis on locating sites sustainably and which support commercial centres including Barry. Pre application advice given for development of The												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	Mole. Model Farm planning application assessment ongoing. Working with ABP and Regeneration team to support forthcoming waterfront developments and LUF /SPF bids.												
CVR/NS020 (NS/A030)	Work with Passenger Transport operators and the City Region to increase bus service provision to meet demand.	☑	☑	☑	☑	☑	☑	☑	☑	☑	ER/MC/KP	March 2023	**Green (On Track)**
ACTION UPDATE:	Work on the proposed reformed SE Wales bus network being undertaken by VOGC officers, TfW and WG has stalled slightly. Officers await a revised network plan from TfW that be shared with a wider internal stakeholder group.												
CVR/NS021 (NS/A005)	Refresh supply chain mapping for all priority one service areas requiring a Business Continuity Plan to identify source of transport/logistic arrangements for the supply of key products/materials and utilise lessons learnt from our COVID-19 experience and access to PPE supplies to secure additional COVID-19 vaccinations, PPE and testing kits (LFTs) for staff as required.	☑	☑	☑	☑	☑		☑	☑	☑	ER/GG/CS/MC/BT/JL	March 2023	**Green (Complete)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk 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:	PPE Supplies available via the corporate resources as well as LFT available from reception areas.												
CVR/NS022 (NS/A017)	Support our town centres to recover and adapt following the effects of COVID-19, by improving green spaces, public areas and transport infrastructure.	☑	☑	☑	☑	☑		☑	☑	☑	ER/MC/NT/CH/JG/LE	March 2023	**N/A**
ACTION UPDATE:	No update available.												
CVR/SRS023 (SRS/A004)	Implement the actions within the Directorate Recovery Plan to address the impact of COVID-19 on our services, service users and their families and communities.	☑	☑	☑	☑	☑		☑	☑	☑	HP	March 2023	**Green (On Track)**
ACTION UPDATE:	Work continues to provide Infection Prevention and Control advice in high risk enclosed care settings following Welsh Government Guidance, working in partnership with Public Health Wales and Cardiff & Vale Test, Trace Protect service.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CVR/SRS024 (SRS/A011)	Work in partnership to respond to the Covid-19 pandemic by leading on the Test, Trace, Protect service, supporting businesses and high-risk care settings to operate safely and enforcing regulations and self-isolation requirements.	☑	☑	☑	☑	☑	☑	☑	☑	☑	CH/JB/WL	March 2023	**Green (On Track)**
ACTION UPDATE:	Work continues to provide Infection Prevention and Control advice in high risk enclosed care settings following Welsh Government Guidance, working in partnership with Public Health Wales and Cardiff & Vale Test, Trace Protect service.												
CVR/ALN025 (ALN/A014)	Work with third sector partners to further develop the School and Community Based Counselling service for vulnerable children, young people and families, seeking to expand the offer to provide both primary and digital offers.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MD	March 2023	**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:	School Based Counselling continues to be delivered in all secondary schools. There have been delays in recruitment of additional counsellors due to a lack of applications. This is being explored. A development session was held with the 4 primary therapists to explore work going forward. A new system of using the FFAL for referrals has been agreed. Work with Luna play has been expanded from 4 primary schools adding an extra two primary schools coming online in the spring term. Costings are just being approved.												
CVR/ALN026 (ALN/A007)	Work with schools to ensure pupils are happy, safe and free from discrimination with a focus on establishing effective processes to enable the collection, analysis and response to bullying data, including incidents involving vulnerable groups and protected groups.	☑	☑	☑	☑	☑	☑	☑	☑	☑	JR	March 2023	**Green (Complete)**

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk 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:	Autumn 2021 saw the recording of bullying incidents on 'My Concern' and subsequent automation of this data collection via 'Clarity' this has allowed for far greater analysis and risk forecasting. It is anticipated by Spring 2023 we will have year on year comparable data which will help further in plotting trends. in addition each school is receiving a 1-1 with My Concern to better understand bullying recording methods along with the introduction of a Threat / Risk dashboard for each school on My Concern.												
CVR/ALN027 (ALN/A006)	Work in partnership with schools, Welsh Government and other partners including the third sector to ensure that school staff access the necessary professional learning and guidance to adopt a proactive approach to all forms of discrimination including issues such as peer-on–peer sexual harassment, including homophobic, biphobic and transphobic bullying and harassment, racism and body shaming.	☑	☑	☑	☑	☑	☑	☑	☑	☑	JR	March 2023	**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 1-1 sessions with schools are currently underway with schools, improving their recording and reporting of anti-bullying incidents. Still await finalisation and sign off on CYP champion scheme.												
CVR/ALN028 (ALN/A021)	Implement the new Welsh Government Employability Strategy to ensure that employability provision meets the future needs of young people and adults in the Vale of Glamorgan.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MD	March 2023	**Green (On Track)**
ACTION UPDATE:	Communities for Work Plus (CfW+) indicative financial letter has been received from Welsh Government. This brings all 5 streams into one. A delivery plan is under construction which will also help focus employability support for young people. 7 QuickStart placements have started in various departments across the council. These are being monitored and will be reviewed. The YPG coordinator has made a good start linking closely with the EPC and youth team, a youth event has been booked for 16–24-year-olds to showcase a range of options for young adults. Disabled Employment Champions continue to help develop work inhouse. A task and finish group has been established to help to improve recruitment of CfW+ Indicative financial letter has been received from WG. This brings all 5 streams into one. A new group has been established and led by the CfW coordinator aimed at work colleagues with experience of disability, mental ill health and neurodiversity. The approval of SPF Delivery plan will also see a small team established to work/support disabled people into supported employment.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CVR/ALN029 (ALN/A027)	Ensure specialist provision continues using online technology for assessments and reviews where possible ensuring that ALN needs are addressed	☑	☑	☑	☑	☑		☑	☑	☑	SR	March 2023	**Green (On Track)**
ACTION UPDATE:	Computer allocation and online training continues to be rolled out. Outreach / resource base Leads are working with Complex Needs Team and MIS ONE team to ensure the right pupil , visit and referral information is being recorded, and reports developed to ensure that ALN data can be retrieved for provisions, services and individual pupils.												
CVR/ALN030 (ALN/A015)	Utilise the Children and Communities Grant to target interventions to support children, young people and their families ensuring that services respond to demand and have a positive impact on socio-economic disadvantage and other protected groups.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MD	March 2023	**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:	Indicative Funding Grant for CCG has been received and the large increases are focussed on the FS expansion. A Delivery Plan is now under construction. Two streams have now come out of CCG (CfW+ and Legacy) and 2 have come in (OOCD and FS Expansion). FF management Board have agreed to some minor changes to the delivery for 2023/24. This will see two small projects cease and a new Children's Mentoring service launched, based on its success through Early Help Funding. Monitoring has been ongoing and Families First RBA report cards are due early Feb 2023 and will reflect the progress and impact of services this quarter.												
CVR/SP031 (SP/A005)	Deliver and evaluate programmes and interventions aimed at addressing gaps in progress to make sure they have a positive impact on socio-economic disadvantage, disability, sex, race, Children Looked After, young carers, other vulnerable groups and other protected characteristics	☑	☑	☑	☑	☑		☑	☑	☑	MC/CP	March 2023	**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 Vulnerable Groups Team started an action research project with six schools to produce case studies on how schools can be actively anti-racist and contribute to the Council Anti Racist Action Plan. The Team developed the PEP/IDP portal to track the attainment of looked after children. This portal supports the Vulnerable Groups Team to identify the gaps in progress for looked after children. The Team developed a virtual school to track the attendance of pupils who are refugees and asylum seekers.												
CVR/SP032 (SP/A008)	Work in partnership with the Central South Consortium Joint Education Service to prepare our schools for the introduction of the new education curriculum in 2022 recognising the impacts of COVID-19 measures on continuity of learning and the well-being of learners and school-based staff.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH	March 2023	**Green (On Track)**
ACTION UPDATE:	• Improvement Partners (IPs) for those schools first implementing from September 2022 have completed Curriculum for Wales (CfW) surveys based on the 8 contributory factors for successful realisation set out by Welsh Government. In addition, IPs for those secondary schools first implementing from September 2023 have completed CfW surveys based on school readiness. Findings from surveys will be analysed and shared early spring term. • IPs and Curriculum and PL (C&PL) team continue to provide on-going support for schools in relation to roll-out of CfW. Bespoke support provided to four schools and to the Stanwell and St Richard Gwyn cluster of schools. 2 Vale schools attended the 'drop-in' sessions held												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	(Sept 2022 and Dec 2022) to discuss curriculum development and put in place any support schools may require. • 'Leaders of curriculum' network meetings held in October 2022 for schools to consolidate their understanding of implementation and to share practice with schools from across the region. 7 Vale schools attended. • In terms of CfW, nearly all schools: - are continuing to develop a good understanding of the CfW framework including the four purposes, the statements of what matter and the mandatory elements. - have reviewed their vision, values and behaviours to support curriculum realisation. - continue to review and develop curriculum design models suitable to their school vision. - continue to review and develop their approaches to assessment and supporting learner progress.												
CVR/SP033 (SP/A014)	Work in partnership with the Central South Consortium Joint Education Service to support our schools to minimise exclusions and enhance attendance whilst recognising the impacts of COVID-19.	☑	☑	☑	☑	☑	☑	☑	☑	☑	KM	March 2023	**Green (On Track)**
ACTION UPDATE:	Attendance remains a concern post covid especially at secondary level as we have seen a spike in covid again this Autumn term and at primary level concerns are high regarding scarlet fever, and strep A with one child fatality from a VOG school and a significant cold/flu that has impacted across the UK in both the adult and child population. The LEO officers have supported secondary schools with attendance engagement, welfare checks CME issues and PSP meetings. Challenges continue to be in place around schools funding an sourcing the 14-												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	19 offer, ALN diagnosis and support and reasonable adaption for all forms of potential disability. Inclusion team training on EBSA issues and the need to support and prevent deterioration of attendance linked to anxiety or emotional based school avoidance with or without an ALN neuro divergence aspect is ongoing. Callio letters have been updated to take account of post covid landscape and targets issued to all schools alongside the inclusion team support offer. FPN are in process for a limited number of learners where all reasonable efforts to engage have failed to improve attendance and where there are no underlying issues that would prevent penal routes. The recent budget challenges present ongoing difficulties in terms of team capacity and retention of officers who are seeking better job security. Given the challenges in terms of the health situation, the issues within the NHS and social care and budgets for retention of trained staff etc and specialist provision capacity issues; planning to maintain the status quo and prevent deterioration of attendance and escalation of exclusion amidst these challenges is as much a priority as is meeting the targets.												
CVR/SP034 (SP/A016)	Work with others to support employment and the development of skills for the future including the delivery of initiatives such as Inspire to Work (I2W) and Inspire to Achieve (I2A), with a focus on prevention (i.e. those at risk of becoming NEET/ those classed as NEETs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MD/RJ	March 2023	**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 Youth service has reshaped its targeted team to deliver a new programme aimed at preventative measures and those identified via EIT data as 'at risk' of becoming NEET (Not in Education, Employment or Training). This programme has a working title of 'Strive' until we hear if any finances will come from the Shared Prosperity Funding. Post 16 will be heavily impacted by the new Youth Guarantee project being led by C4W and C4W+; additionally, we will have a post16 tracker for destination data who will lead on door knocking and identifying those within sixth forms to better enhance our data of Yr12 and Yr13 school leavers.												
CVR/SP035 (SP/A017)	Work in partnership involving pupils, parents and other stakeholders to develop a whole school approach to tackling food poverty in schools and contribute to the Move More Eat Well Plan through schemes such as the Winter of Well-being programme and Reform of the School Day pilot.	☑	☑	☑	☑	☑	☑	☑	☑	☑	MH	March 2023	**Green (On Track)**
ACTION UPDATE:	The work of the Community Focussed School Manager (CFSM)and Family Engagement Officers across Barry has continued to gain momentum with Pencoedtre and its feeder primary schools working in greater collaboration than ever before. A whole cluster event took place in October where all staff from all schools attended a joint INSET at the Memo, followed by focussed environmental learning walks in the schools. The CFSM is developing a number of partnerships with outside agencies and third sector organisations who can support the schools.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
CVR/SL036 (SL/A021)	Support schools to operate and maintain COVID control measures to ensure the safety of learners and school staff whilst at school.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2023	**Green (On Track)**
ACTION UPDATE:	Ongoing and part of business as usual in supporting those undertaking safeguarding duties.												
CVR/SL037 (SL/A006)	Continue to support schools to manage their budgets and identify creative solutions to ease increased resource pressures arising from COVID and cessation of the Welsh Government COVID hardship funding from April 2022.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2023	**Green (On Track)**
ACTION UPDATE:	The projected position with regards to school balances has changed due to the higher than anticipated pay award for teaching and non teaching staff which was £2.84M higher than the pay award growth awarded to schools in the formula. There are now 11 schools anticipating out turning in a deficit position at the end of the financial year, of those 11, 6 deficits are anticipated in excess of £75,000. The highest anticipated deficits are Stanwell (£570k), Romilly (£322k), St Davids (£135k) and Holton (£117K). The position on												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	school balances will be monitored with schools over the next few months, any schools out turning the current financial year in a deficit position should be expected to supply a recovery plan eradicating all deficits over a three to five year period.												
CVR/SL038 (SL/A004)	Engage and support schools with remote learning provision and new technologies to maximise access to learning and minimise inequalities for learners.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/SG	March 2023	**Green (On Track)**
ACTION UPDATE:	1. Wider (national) engagement is now taking place with regard to procurement of next generation Schools MI Systems, we are engaging with Digital Public Services on 3 separate workflows: a. Direct Award of ParentPay/ESS b. Competition via a Framework c. Explore Teacher Centre 2. The majority of 2022-23 Hwb funded equipment has now been delivered, including wave 5 equipment. It is expected that all equipment would have been shipped and installed by the end of Q4. 3. Server migration progress is still slow, waiting on the corporate IT server team to install new network adapters into the new servers, this set back was due to issues with IT procurement. Unsure whether servers will be operational and VM's migrated by end of 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			
CVR/SL039 (SL/A001)	Implement the Council's new Digital Strategy, focusing on expanding online services and the range of digital methods used to engage and communicate with Vale of Glamorgan citizens, whilst reducing office space and travel.	☑	☑	☑	☑	☑		☑	☑	☑	TB/NW	March 2023	**Green (On Track)**
ACTION UPDATE:	SOCITM Advisory have now been commissioned to carry out the work as described in the Q2 update. Project initiation has been set as 10th January 2023, and the work will be completed in this financial year as planned.												
CVR/SL040 (SL/A019)	Collaborate with partners to promote our schools and libraries as community and well-being hubs and increase the diversity of leisure, art and cultural learning opportunities available including digital opportunities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB/PS	March 2023	**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:	Each of the libraries have been successful in securing Warm Spaces funding and have started to run a diverse programme of wellbeing events, game days, coffee mornings and taster courses. These will continue during the next quarter and help those who may be struggling with the cost of living crisis and unable to maintain safe and warm living accommodation. An imaginative series of activities and events for adults and children has helped maintain good visitor numbers during the autumn. As well as our range of weekly activities there were some other stand-out sessions. These have a included a range of author talks including Sophie Buchaillard and Phil Rowlands. We've had a launch of a new code club at Penarth, run creative writing workshops and Halloween events. We've had a mindfulness session with Indian music, drop-ins with digital champions, employment advice sessions and backgammon sessions. Near 400 people attended the Job and Employment Skills Fair at Barry in October. 588 attended Santa's Post Office at Barry in early December and 86 children visited Santa's Grotto at Barry on the 17th December, with many also attending for the Barry Community Choir event on the same day. Rhoose Library also had a successful Christmas fair. Barry Library continues to support refugee Afghan children with weekly visits to the Copthorne hotel where a36pproximately 70 children attend 1 of 3 sessions run by library staff during the day. There are Welsh language conversation classes at several libraries including Wenvoe and Sully, Wenvoe also has Italian and French conversation groups. Ongoing plans continue to provide opportunities in libraries to boost health and wellbeing, employment, social interaction, cultural vibrancy, information and lots of fun.												
CVR/SL041 (SL/A014)	Work with others including key businesses to support training, employment and the development of skills for the future through opportunities via the 21st Century Schools and the	☑	☑	☑	☑	☑	☑	☑	☑	☑	TB	March 2023	**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			
	Council's Kick Start Apprenticeships programmes.												
ACTION UPDATE:	Communities 4 Work to connect project contractors with Council scheme. Youth engagement event 10th February at Barry Memo for year 12 school leavers. Contractors to provide construction talks / workshop. Current programme to re-run engagement event for the supply chain. Aim to hold event in early 2023. The current targets for the active projects are being met.												
CVR/SL042	Undertake an assessment of co2 (in relation to classroom ventilation) across our education estate in response to COVID and progress capital works where appropriate to mitigate areas of high readings with funding from Welsh Government.	☑	☑	☑	☑	☑		☑	☑	☑	TB	March 2023	**Green (On Track)**
ACTION UPDATE:	A significant project to improve ventilation at Ysgol Gymraeg Bro Morgannwg has been approved this quarter and these works are due to be completed in quarter 4.												

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 rise in National Minimum Wage to £9.50 from April 2022[2], is welcomed amongst social care workers, it is likely to further add to the cost pressures of external social care providers. The Vale of Glamorgan Council recently adopted the living wage as part of its single status pay structure in May 2022 for its lowest scale staff and the Welsh Government has indicated 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 the

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

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

1.2 Risk Owner	Lance Carver

1.3 Impact on our contribution to the Wellbeing Goals

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

1.4 Risk Categories

Categories	Yes/No	Definition
Political & Legislative	Yes	Political and legislative repercussions of failing to discharge our statutory functions and comply with statutory requirements under

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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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		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

Risk that external providers are unable to meet their responsibilities for responding effectively to situations where people are at risk of neglect or abuse.

Risk of judicial review as a result of the local authority not meeting its statutory requirement to ensure continuity of care and support in the event of a provider failure. |
| *Resources* | Yes | Insufficient operational staff capacity of externally commissioned care providers to operate high quality care and support sustainably and safely in communities and in care homes.

Financial viability of some of our externally commissioned care homes/care providers. Risk of financial collapse.

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.

Financial and resource impact of care provider failure on our capacity to ensure continuity of care and support for individuals. |
| *Service Delivery and Wellbeing* | Yes | Lack of capacity and resilience within local markets to fulfil requirements within domiciliary care and the capacity within the council to monitor the quality of our externally commissioned service providers further compounds issue around volatility of the external market. This has a potential knock-on effect on the ability to discharge people safely from hospital with assessed levels of care and support in place.

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.

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-being of our most vulnerable citizens and an inability to meet their basic needs.

Increase in voids 'empty beds' in residential care homes and/or reduction in self-funders impacts on the viability of externally commissioned care homes to continue to operate and provide |

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		residential care services. Impact of a provider failure on social services' capacity to provide alternative residential accommodation.
Reputation	Yes	Provider failure jeopardises the safety of citizens, residents and the negative reputational impact on the sector. Provider failure could result in serious harm to citizens if there is no local authority capacity to ensure continuity of care and support. Failure to ensure continuity of care and support and meeting the needs of vulnerable people would damage the reputation of the council and attract negative criticism from our regulators. Loss of public confidence and trust in Social Services ability to meet the care and support needs of citizens and maintain their health and well-being.

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

2.2 Controlling Inherent Risk				
Category	Current Controls	Effectiveness of controls		
		Likelihood Score	Impact score	Total Score
Political & Legislative	Reshaping Board meets monthly to discuss issues associated with market fragility and externally commissioned service provider matters. Regular meetings between Director, Heads of Service and Cabinet Member to discuss emerging issues relating to fragility of the market.	1	1	1
Resources	Capacity planning workstream has been established with agree Terms of Reference and an action plan to address areas for improvement. 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. Call to action meetings twice weekly with SITREP actions taken circulated twice per week outlining any movement in the market.	1	1	1
Service Delivery & Well-being	Continue to expand roll out of Your Choice scheme. Next provider has been identified. Regular Care Provider Forum meetings to identify and discuss provider issues. Escalating concerns policy in place which is used to recognise where providers are struggling and used to put in place supportive action plans.	1	1	1
Reputation	CIW Action Tracker in place to enable us to track and manage any areas of improvement to CIW relating to fragility of market. Joint regional action plan prepared and reviewed at Joint Management Executive in order to ensure strategic oversight of all system pressures.	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/AS001 (AS/A016)	Understand levels of demand into the Adult Services and any associated capacity gaps.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	This work is ongoing and we continue to try to work with colleagues to develop in partnership effective and reliable WCCIS dashboards to inform our performance management, alongside working with the tools developed for the Regional Commissioning Board to try to use the same to map Adult Services activity and demand. There is a WG data checkpoint that has recently changed that we are responding to that adds further information to allow us to analyse data trends and activity and demand for our services.												
MFR/AS002 (AS/A006	Maximise our use of funding to support development of local community initiatives to support locally identified needs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/LW	March 2023	**Green (On Track)**
ACTION UPDATE:	Adult Services team engaged in several groups to inform funding opportunities - e.g., Capital steering group for Housing with Care, RIF capital and HAU Grant. Also engaged in discussions as appropriate with third sector to support community programmes - linking with corporate 'stronger communities' workstream to maximise grants funding and prevent duplication.												

3. Risk Management Plan – Mitigating Actions												

Risk Action Ref.	Action	Risk 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/RMS003 (RMS/A017)	Embed our call-to-action process across Vale Alliance, UHB, LA to support management and monitoring of domiciliary care capacity in the market.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ/NM	March 2023	**Green (Completed)**
ACTION UPDATE:	Completed, but with ongoing review.												
MFR/RMS004 (RMS/A021)	Implement the fast track to care programme to support LA and private sector recruitment.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ/NM	March 2023	**Green (Complete)**
ACTION UPDATE:	Completed - ongoing review. LC advised we need to continue this programme and a fixed term post will be created to project manage Fat Track to Care (FTTC) moving forward. FTTC cohort 4 to start in October and SCWD team to manage this but LC to pay for costs. Video by previous candidate to promote FTTC has been completed.												

3. Risk Management Plan – Mitigating Actions												
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
MFR/RMS005 (RMS/A028)	Continue roll out of the Your Choice model in co-ordination with other services including the identification of new providers as part of this phased approach.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ/NM	March 2023	**Green (On Track)**
ACTION UPDATE:	We continue to work with providers to move packages over to Your Choice. There are now 8 providers delivering care under YC, and discussions are on-going with another large provider. Around 200 citizens have had there are packages transitioned over to YC, with 188 currently receiving their care and support provided as a YC package (around 3,000 hours per week).												
MFR/RMS006 (RMS/A018)	Continue to strengthen the quality assurance meetings to monitor activity regarding quality and financial stability across the sector.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ/NM	March 2023	**GREEN (ON Track)**
ACTION UPDATE:	JQMM meetings now part of monthly review of service providers.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk 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/RMS007 (RMS/A025)	Embed the new escalating concerns procedures.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ/NM	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Quality Services - Delivering What Matters protocol has been ratified by SSMT. In use from November 2022.												
MFR/CS008 (CS/A011)	Work with Foster Wales to increase number and diversity of in-house foster carers.	☑	☑	☑	☑	☑	☑	☑	☑	☑	KC	March 2023	**GREEN (On Track)**
ACTION UPDATE:	Up to end of Q3, we have approved 3 mainstream carers and 11 kinship carers.												
MFR/CS009 (CS/A008)	Continue to explore opportunities to develop children's residential provision in the Vale.	☑	☑	☑	☑	☑	☑	☑	☑	☑	KC	March 2023	**Green (On Track)**
ACTION UPDATE:	On track for year end/beginning of the following year.												

1 – Risk Overview	
1.1 Risk Description	It is widely acknowledged that the social care system is under significant strain due to rising demand for our services and tackling challenges associated with our capacity. Progress on reforming social care has repeatedly stalled over the years. The pandemic has only served to further exacerbate the issues around demand and capacity to deliver social care services. There is increasing pressure on local authorities to manage demand for social care services, and this has become even more challenging during the pandemic. There has been a significant growth in demand for our services and with that increasing cost pressures. There are increasing numbers of children and young people and their families and adults that are presenting with more complex needs. In common with the position across Wales, there are increasing numbers of Children Looked After in the Vale. Where a child has been assessed as needing to be looked after, the Council is responsible for placing that child in a placement appropriate to their needs. This is challenging in the current environment where placement demand is exceeding availability, and placements in the independent sector are costly. Similarly, there is an increasing ageing population in the Vale of Glamorgan. The Health Foundation forecast that future demand pressures for social care will continue to increase and it is estimated that social care cost pressures will increase in Wales by 4.1% per year between 2015 and 2030-31 due to demographic trends, chronic conditions and rising costs of care and it is anticipated that these costs will reach £2.3billion in 2030-2031[1]. The increased demand for social care services has also been driven by the pandemic. In response to the Welsh Parliament Inquiry into the impact of Covid-19 on the management of health and social care, ADSS Cymru highlighted there is increased service demand and pressures being felt across domiciliary care in relation to individual's requiring rehabilitation post-Covid and they also noted that long Covid has the potential to put pressure on services in the longer term especially amongst those who prior to Covid would not have required social care[2]. In addition, the pandemic has also resulted in a delayed presentation of care, which in turn has meant opportunities to signpost to preventative services as at an earlier stage have been prohibited. Consequently, when citizens do 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,

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[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

	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. 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. Challenges in recruitment and retention of social workers in Children and Young People Services remains an ongoing challenge, which is acutely felt within social work teams at the 'front door'. Even when there are opportunities to attract social workers, the lag time between interview, offer and start date impacts on teams. In the context of Children and Young People Service, there are known workforce pressures within the Integrated Family Support Team and the Care Planning and Proceedings Team. The workforce capacity pressures within CPP Team impact on the IFST, as the IFST will pick up on CPP cases but are unable to transfer to other teams that CPP would have normally dealt with. Within Adult Services, the capacity of the residential and domiciliary care has been impacted by staff shortages/absences due to high Covid infection rates or impact of the pandemic on the mental health of staff. There are also significant recruitment and retention difficulties being experienced across Adult Services including commissioned care. Care Home and domiciliary care workers work in challenging and demanding roles, often on low pay and these positions are often perceived as having limited opportunities for career progression. There is also significant competition from the NHS where pay and conditions for similar skill sets are significantly better. There have been calls for greater parity in pay between the NHS and local authorities as this has been viewed as a driver behind recruitment and retention difficulties in local authority care roles. The Welsh Parliament's recent inquiry into the impact of Covid-19 on the management of health and social care highlighted the need to 'assure parity of esteem, treatment or conditions between the two sectors' and recommended the need for properly renumerated career pathways for social care workers to ensure that it is an attractive career option[3]. The key 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.
1.2 Risk Owner	**Lance Carver**

[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	Political and legislative repercussions of failing to discharge our statutory functions and comply with statutory requirements of service delivery. 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. Risk of judicial review as a result of insufficient capacity In our care settings to deliver services that effectively meet the identified care and support needs of service users.
Resources	Yes	Insufficient funding available that can be used to meet unprecedented demand in our most critical social care services. 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. 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. 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. 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.

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

1.4 Risk Categories		
Categories	**Yes/No**	**Definition**
		hospital as part of their recovery from Covid or as a result of long Covid.

Risk that unsafe/poorly planned discharges from hospital impacts on patient outcomes but also demand for social care services. This could result in discharge without the identification of home support they need and a lack of co-ordination result in delayed access to care packages. This in turn puts pressure unpaid carers (usually family member) to meet their care and support needs.

Failure in our duty to ensure the safety and well-being of our most vulnerable citizens and an inability to meet their basic needs.

Risk that 'burn out' of unpaid carers impacts on their ability to continue to fulfil their caring role, places additional pressure and demand on social care services.

Increased pressure and lack of capacity of reablement services in the community to support the step down from critical care in hospitals which will ultimately impact on an individual's ability to recover and regain their independence. |
| *Reputation* | Yes | Failure to provide critical services and meet the needs of vulnerable people would damage the reputation of the council and attract negative criticism from our regulators.

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

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

Reputation	3 (Probable)	3 (High)	9 (Medium/High)
Overall Inherent Risk Score	**4 (Almost certain)**	**3 (High)**	**12 (High)**

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

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
Service Delivery & Well-being	Case management teams have reviewed all cases in receipt of a current package of care, with a view to temporarily moving them to 'contingency' plans through asking family members to provide some additional support, reducing calls for sitting services, shopping etc in order to try to redistribute care hours to those awaiting any POC. To manage capacity and service delivery within VCRS, staff have reviewed caseloads, apply screening criteria. Individuals that do not meet the criteria are signposted to alternative support. 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. 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. Prioritised time sensitive calls due to specific needs e.g. medication. Occupational Therapists closely monitor opportunities for reductions. Effective triaging within VCRS and signposting to other services where possible to manage demand for services.	1	1	1

2.2 Controlling Inherent Risk				
Category	**Current Controls**	**Effectiveness of controls**		
		Likelihood Score	**Impact score**	**Total Score**
	Continued to expand roll out of Your Choice scheme. New providers continue to be identified. Domiciliary Care Capacity workshop held to support the development of new actions to improve capacity which will be added to this commentary as they can be implemented.			
Reputation	Social Services Reshaping Services Board Action Tracker in place to enable us to track and manage any areas of improvement to CIW relating to demand management and capacity issues. Joint regional action plan prepared and reviewed at Joint Management Executive in order to ensure strategic oversight of all system pressures.	1	1	1
Overall Effectiveness of Controls Score		**1**	**1**	**1**

2.3 Residual Risk Scoring & Direction of Travel										Direction of Travel	Forecast Direction of Travel
	Inherent Risk Scores			Effectiveness of controls Score			Residual Risk Score				
Category	Likelihood	Impact	Total	Likelihood	Impact	Total	Likelihood	Impact	Total		
Political & Legislative	3	3	9	1	1	1	3	3	9	↔	⬆
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 (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			
DMR/AS001 (AS/A020)	Enable safe discharges from hospital that considers the impact/consequences of Covid-19 through models of care which provide choice and control for service users.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	This is now business as usual. The Vale Integrated Discharge Service, VCRS and Age Connect DSOs continue to provide coordination of social care and reablement discharges. The Vale operates a single point of referrals from all UHW, UHL and Barry Hospital wards for screening and signposting to relevant team.												
DMR/AS002 (AS/A006)	Maximise our use of funding to support development of local community initiatives to support locally identified needs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/LW	March 2023	**Green (On Track)**
ACTION UPDATE:	Adult Services team engaged in several groups to inform funding opportunities - e.g., Capital steering group for Housing With Care, RIF capital and HAU Grant. Also engaged in discussions as appropriate with third sector to support community programmes - linking with corporate 'stronger communities' workstream to maximise grants funding and prevent duplication.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DMR/AS003 (AS/A007)	Develop the Vale integrated fall service to provide a rapid response to people who have fallen and access to specialist interventions.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2023	**Green (On Track)**
ACTION UPDATE:	A 12-month pilot of an all Vale falls Response Service has started with St John Ambulance. The trial will now be continually assessed for the next 12-months to judge impact and look at continuous financing.												
DMR/AS004 (AS/A008)	Develop local cluster multi-disciplinary teams in Vale to provide early information, advice and assistance to people with complex needs.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/LW	March 2023	**Green (On Track)**
ACTION UPDATE:	The Western Vale Cluster MDT will be integrated into I&A, in preparation for the central Vale MDT following suit. This will allow Wellbeing officers and I&A social workers to offer front line information, advice and signposting for appropriate community and 3rd sector support and preventative health and social care 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			
DMR/AS005 (AS/A009)	Work with partners to develop a coherent engagement plan to support the development of wellbeing hubs and centres across the Vale locality.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2023	**Green (On Track)**
ACTION UPDATE:	The Vale Locality welcomed a Locality Manager as an additional post within the structure in October 2022. This additional capacity will enable discussions around the Shaping our Future Wellbeing in the Community Strategy, that encompasses the planning for wellbeing hubs and centres, to progress. The Head of Adult and Vale Alliance continues to be involved in these discussions at present with the UHB planning department to try to progress these schemes. The next stage will be to reinvigorate the engagement with services across health, LA and third sector led through the Locality Manager with appropriate support from UHB capital and service planning colleagues.												
DMR/AS006 (AS/A010)	Explore the development of intermediate care services and how this can enhance and support existing service provision.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC/AC	March 2023	**Green (On Track)**
ACTION UPDATE:	We have commissioned St Johns ambulance to provide a Vale Falls Service which started on 1st October 2022 offering a 24/7 pickup services to all Telecare customers. We are working with VCRS, and NHS falls clinicians to provide rapid access to information and therapies to all people contacted by the falls services with the aim of in minimising falls risk in the future.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DMR/AS007 (AS/A015)	Contribute to the capacity planning workstream of the Reshaping Programme.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	Our third international SW starts on 21.11.22 following some delays. Our file review SW interviews are scheduled in this quarter. We have some recruitment ongoing to management posts in Intake and FS2.												
DMR/AS008 (AS/A016)	Understand levels of demand into the Adult Services and any associated capacity gaps.	☑	☑	☑	☑	☑		☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	This work is ongoing and we continue to try to work with colleagues to develop in partnership effective and reliable WCCIS dashboards to inform our performance management, alongside working with the tools developed for the Regional Commissioning Board to try to use the same to map Adult Services activity and demand. There is a WG data checkpoint that has recently changed that we are responding to that adds further information to allow us to analyse data trends and activity and demand for our services.												
DMR/AS009	Continue to enhance recruitment of Reablement Support Workers.	☑	☑	☑	☑				☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	Retention of existing support workers and cover for the difficult Christmas period has been a priority, additional payments for the festive period agreed.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DMR/AS010 (AS/A024)	Agree and implement the future operating model for AS in the context of the Council's Transformation agenda and 'Eich Lle'- 'Your Space' project.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	Second workshop took place with wider members of SMT. Establishment numbers/ survey findings were reviewed and options going forward were explored. Storage requirements inventory completed for RMS. This will now be extended to CYPS and AS. (BW)												
DMR/AS011 (AS/A019)	Consider wider employee wellbeing offering and wider staff engagement. Identify themes and consider implementation findings (reasons for leaving) Undertake benefits review and compare with other councils.	☑	☑	☑	☑				☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	The actions are progressing through the OM's working with Comms and Lifecycle colleagues regarding recruitment strategies. We have tried to recruit again to the LTCS vacancies but without success, so Qtr 4 will now actively pursue the o/sea recruitment options as well as converting positions to SCO where appropriate to do so. Our limiting factor in Qtr 3 has been the absence of social workers well established in the team who have had long term absence, as felt that it is required that we have resilient and stable social workers to support the												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
	learning and supervision of our unqualified positions. In addition, our issues have been further compounded because several SCO successfully completed their social work training following sponsorship by the Vale - this is to be celebrated, and we have advertised those SCO posts and been able to fill those vacancies, now meaning we can concentrate further on skill mix in LTCS. Our other teams have been successful in filling vacancies with only a small number of vacancies in other teams continuing to exist. The LD CST have been developing a peer forum to support people with practice, wellbeing and continuing development - this was initially for the LD team whilst they were building their team following high numbers of vacant posts, this has now expanded to other teams to be invited to join.													
DMR/AS012 (AS/A001)	Development of online referral forms via website to improve quality of referral advice and to support faster access to information and signposting and into care and support services as required.	☑	☑	☑	☑	☑		☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	Slow progress. The implementation and training on the new Granicus system has taken priority over service developments, but now that it is in place, a renewed focus on creating on-line referral forms will be implemented.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	**Action**	**Risk Categories**				**Demonstration of 5 Ways of Working**					**Officer**	**Completion Date**	**Status**
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DMR/AS013 (AS/A021)	Support the alignment and implementation of Strengths Based Approach (SBA) to support the integration of preventative services, admission avoidance and resilient communities.	☑	☑	☑	☑	☑	☑	☑	☑	☑	SC	March 2023	**Green (On Track)**
ACTION UPDATE:	Strength-based E-Learning training programme is being developed for all Adult Services staff and potentially providers, which will be available during 2023/24.												
DMR/RMS014 (RMS/A023)	Identify capacity and resource challenges within safeguarding teams.	☑	☑	☑	☑	☑		☑	☑	☑	AP/NJ/ND	March 2023	**Green (On Track)**
ACTION UPDATE:	Working with Business Intelligence Team to develop and update data requirements for the safeguarding & review teams.												
DMR/RMS015 (RMS/A024)	Address capacity issues within contracting team as a result of rising numbers of providers moving into escalating concerns.	☑	☑	☑	☑	☑			☑	☑	AP/GJ/NM	March 2023	**Green (On Track)**
ACTION UPDATE:	Quality Assurance visits continue to be undertaken, with themes of good work and areas for improvement identified. Recruitment process for 2 x permanent QA posts has begun.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DMR/RMS016 (RMS/A031)	Work in partnership with UHB to tender of the Carers Gateway.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/NJ	March 2023	**Green (Complete)**
ACTION UPDATE:	Tender process has concluded, and contract awarded to Care Collective. Regular service monitoring to take place.												
DMR/RMS017 (RMS/A022)	Pilot the creation of a relief pool of staff in residential care to establish a bank system.	☑	☑	☑	☑	☑			☑	☑	AP/MJ	March 2023	**Green (On Track)**
ACTION UPDATE:	On hold pending discussion online management, December 22 decision made not to progress due to the practicalities around managing and supervision of staff. In addition, due to the increase in salary this has greatly benefited the homes with more applicants for advertised vacancies.												

3. Risk Management Plan – Mitigating Actions

Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DMR/RMS018 (RMS/A021)	Implement the fast track to care programme to support LA and private sector recruitment.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/MJ	March 2023	**Green (Complete)**
ACTION UPDATE:	Completed - ongoing review. LC advised we need to continue this programme and a fixed term post will be created to project manage FTTC moving forward. FTTC cohort 4 to start in October and SCWD team to manage this but LC to pay for costs. Video by previous candidate to promote FTTC has been completed.												
DMR/RMS019 (RMS/A019)	Monitor all packages awaiting domiciliary care agency availability to actively manage the position to enable flow and support hospital discharge and VCRS capacity.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ/NM	March 2023	**Green (On Track)**
ACTION UPDATE:	Weekly reports collated by Brokerage to evidence packages placed, requests received and those waiting for dom care provider to be identified. Weekly discussion regarding market situation.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DMR/RMS020 (RMS/A017)	Embed our call-to-action process across Vale Alliance, UHB, LA to support management and monitoring of domiciliary care capacity in the market.	☑	☑	☑	☑	☑	☑	☑	☑	☑	AP/GJ/NM	March 2023	**Green (Completed)**
ACTION UPDATE:	Completed with ongoing review												
DMR/CS021 (CS/A007)	Work in partnership locally, regionally and nationally to respond to the specific pressures associated with the management of higher levels of demand alongside the scarcity of resources (specifically workforce and placements)	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2023	**Green (On Track)**
ACTION UPDATE:	Residential developments on track to go live at the end of Q4/Q1.												

3. Risk Management Plan – Mitigating Actions													
Risk Action Ref.	Action	Risk Categories				Demonstration of 5 Ways of Working					Officer	Completion Date	Status
		Political & Legl	Resources	Service & Well-being	Reputation	Integration	Collaboration	Involvement	Prevention	Long-Term			
DMR/CS022 (CS/A012)	Contribute to the capacity planning workstream of the Reshaping Programme to further our approaches to increase the recruitment and retention of critical posts within Children and Young People Services.	☑	☑	☑	☑	☑	☑	☑	☑	☑	RE	March 2023	**Green (On Track)**
ACTION UPDATE:	Our third international SW starts on 21.11.22 following some delays. Our file review SW interviews are scheduled in this quarter. We have some recruitment ongoing to management posts in Intake and FS2.												
DMR/CS023 (CS/A009)	Increase the number of Social Care Officers across the Division to add resilience to teams and further support our ability to 'grow our own' Social Workers.	☑	☑	☑	☑	☑		☑	☑	☑	RE	March 2023	**Green (Completed)**
ACTION UPDATE:	Completed-14 new Social Care Officer posts created and recruited 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			
DMR/CS024 (CS/A010)	Further enhance our mechanisms to ensure effective oversight of increased numbers of referrals at the front door in order to effectively manage demand.	☑	☑	☑	☑	☑		☑	☑	☑	AC	March 2023	**Green (On Track)**
ACTION UPDATE:	It is intended we move to a dedicated Intake Team resourced to respond to levels of demand. The new arrangements commenced on 27.6.22. These arrangements will be carefully monitored with the intention the RAG arrangements are not required in the medium term.												