

Appendix A  
Corporate Risk Assessment 2019-20 November 2019

| IDENTIFIED RISK |   |   |                |    |       | ACTION PLAN    |   |  |     |                  |  |                     | Corporate Priority |    |                          |
|-----------------|---|---|----------------|----|-------|----------------|---|--|-----|------------------|--|---------------------|--------------------|----|--------------------------|
| No.             | There is a risk that..  | Consequences of risk  | Raw risk score |    |       | Control method | How is the council addressing this risk   | Key actions to be established - NB business as usual activity not reflected here   | who | Reviewed by when | Action completed by when               | Residual risk score |                    |    |                          |
|                 |   |   | Li             | Im | Total |                |   |  |     |                  |  | Li                  |                    | Im | Total                    |
| 1               | The council is unable to make robust medium to long term decisions requiring service change | It is harder each year to make ongoing budget reductions as easier decisions have already been made. If more difficult decisions about cutting or reducing service levels against a background of declining budgets are not made, then the council will not deliver the changes necessary to achieve a balanced budget which will result in it being in breach of its legal responsibilities. | 4              | 5  | 20    | Tolerate       | The council manages this risk through existing budget and business planning processes which include early identification of savings targets and development of options for cabinet, challenge from BREP, scrutiny and formal and informal briefings of members and political groupings. | Develop proposals for a stronger focus on future and multiple year financial planning including scrutiny and outline budget decisions by elected members for multiple years.<br><br>Cabinet and Corporate Management Board have met regularly as part of the budget planning process for 2020-21 and beyond. This has focussed not only on the immediate requirement for an estimated £10 million savings for 2020-21 but also discussion to begin to shape a longer term strategy for the Council based on projected savings over the next 3-4 years. | CMB | Oct-2019         | Feb-2019 Then ongoing quarterly review | 3                   | 5                  | 15 | Smarter use of resources |

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| 2               | The council is unable to deliver transformation including agreed financial savings | If the council is unable to change the way that staff work, including new roles, collaborations and the acquisition of new skills, it will be unsuccessful in delivering service transformation which will lead to it not meeting its commitments within available budgets. | 4              | 4  | 16    | Treat          | The council has a number of transformations in place that either directly support specific proposals for service improvement and /or financial savings. Further transformations have been identified that are intended to support a "One council culture" and support staff and managers through transformation. | Review and rationalisation of management activity.<br><br>Further development of a 'One Council' culture and transformational change has progressed since the appointment of a new Chief Executive, initially on an interim basis in January 2019 and then on a permanent basis in May 2019. A review of Council processes has meant that some deemed unnecessary and bureaucratic have ceased but full compliance with those that remain is required. The Chief Executive's Directorate is being embedded to provide a coordinated and efficient corporate support service. The Human Resource/Occupational Development review will ensure, among other things, that managers are given the right training to meet current challenges and that a more balanced approach to promoting and enhancing the wellbeing of those staff in work is developed, as well as teaming with those who unfortunately are absent from work through sickness. | CMB | Oct-2019         | Oct-2019                 | 2                   | 2                  | 4  | All corporate priorities |

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| 3               | The council is unable to respond to legislative change   | If reducing budgets and a reducing workforce decreases the council's ability to ensure compliance with statutory requirements and to adapt successfully to an ever changing legislative landscape there is a risk that the council will be in breach of its legal responsibilities and may receive adverse regulatory reports, adverse publicity, fines and ultimately the threat of prosecution. | 5              | 4  | 20    | Treat or Transfer | The council manages this risk in a number of ways that are contingent on the particular service area affected. This might include reducing service quality or reprioritising a response to a legislative change over other activity or transferring risk - for example, where legally possible, by transferring responsibility to another provider. However, some service areas are subject to a non delegable duty of care. Examples of where the council has shared risk are Leisure and Waste. | No further actions to be commissioned at this stage.  | CMB | Oct-2019         |                              | 3                   | 4                  | 12 | All corporate priorities                                     |
| 4               | The council is unable to identify and deliver infrastructure required in the medium to longer term | If the council does not raise sufficient capital to maintain its infrastructure, including roads, street lights, buildings and technology then it may deteriorate bringing financial and safety risks which could lead to adverse incidents, reports, publicity, fines and ultimately prosecution.  | 4              | 5  | 20    | Treat             | The council has a ten year capital programme. The development of this programme and arrangements for its review and updating are well established. However the council has identified scope to improve upon this to ensure that these needs are balanced with other demands for capital (such as new schools).  | A revised capital strategy has been prepared and agreed by Council setting out capital spending plans and priorities for the next 10 years. | CMB | Oct-2019         | Complete with ongoing review | 2                   | 5                  | 10 | Supporting a successful economy and smarter use of resources |

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| 5               | The council is unable to develop positive working relationships across all partners within the new region to ensure that the needs of the Bridgend community are fairly recognised in the immediate future. | If the council is unable to successfully build on the progress made, during the transitional year, of operating within a new region with the health Board, local government and third sector partners, there is a risk that appropriate care to citizens through new service models and relationships will be slowed down or not be delivered resulting in citizens receiving a less satisfactory service with poorer outcomes. | 4              | 4  | 16    | Treat          | The council has the ability to influence and shape the new region by ensuring effective governance and appropriate membership on the Regional Partnership Board and the associated groups set up as part of regional arrangements. Effective and good relationships have been established at political and senior managerial levels with the new Cwm Taf Morgannwg University Health Board. | Continue to work with the Health Board, local government and third sector partners to ensure processes are in place to develop regional approaches to service delivery. This includes effective management and monitoring of regional grant funding that is directed through the Partnership Board and the ongoing development of integrated services.   | CMB | Oct-2019         | Apr-2020  | 2                   | 4                  | 8  | Helping people be more self reliant and smarter use of resources |
| 6               | The council fails to safeguard vulnerable individuals e.g. children, adults in need of social care, homeless etc.   | If budgets and the workforce continue to decline there is a risk that the council will be unable to provide the necessary services to vulnerable people resulting in the possibility that vulnerable people will not be kept safe and be encouraged to greater safe self-reliance.  | 3              | 5  | 15    | Treat          | The council has well established mechanisms to ensure compliance with statutory responsibilities. This includes its own operational safeguarding board and active management of demand and caseloads. All meetings of CMB and of Cabinet/CMB have a standing item to consider safeguarding matters and allow for appropriate management actions to be taken quickly.                        | The review by internal audit identified gaps in completion of mandatory training through e learning. These gaps are identified, reported on and monitored by Human Resources Department.<br><br>The full range of Safeguarding activities was reported to Overview and Scrutiny Committee on 3 July 2019.<br><br>The internal audit review and the inspection of Youth Offending has identified the need to ensure that all links between Youth Offending Services and other early help or social care services are effective and effectively documented. An action plan has been agreed by Cabinet and Corporate Management Board and rapid improvement will be made before an anticipated inspection in six months time. | CMB | Nov-2019         | Completed with ongoing monitoring<br><br>Jan-2020 | 2                   | 5                  | 10 | Helping people be more self reliant and smarter use of resources |

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| 7               | The council is unable to plan for and recover from major threats to service continuity such as civil emergencies, school failure, cyber attack and discontinuation of funding streams and major contracts | If the council does not have the capacity and expertise to plan for and protect itself against major threats such as cyber-attack, civil emergencies and significant financial variations there is a risk that there may be a failure to deliver services and a balanced financial position which could harm citizens who rely on council services.               | 4              | 4  | 16    | Treat          | The council has anti virus installed which is regularly updated. All critical data is backed up and located offsite. Software update processes exist that includes the installation of patches. Security awareness training is provided to all employees.<br>The council has established emergency planning arrangements including a Major Incident Plan and contributes to the SWLRF and SWRT.   | Cyber resilience training.<br>The council responds appropriately to WLGA/WG/UK Government consultations and seeks to influence the development of any future regional investment programme, via informed discussions with WG<br><br>The situation is being monitored on an ongoing basis.   | CMB | Oct-2019         | TBC<br><br>Ongoing       | 3                   | 3                  | 9  | All corporate priorities |
| 8               | The council is unable to attract or retain a workforce with the necessary skills to meet the demands placed upon the authority and its services   | If there is a continual decreasing number of suitably skilled and experienced staff then there may not be the expertise required to deliver services and protect the interests of the council. This could lead to the wellbeing of citizens suffering and a loss of moral amongst the remaining staff if they feel unsupported and are seeking to work elsewhere. | 4              | 4  | 16    | Treat          | The council has workforce planning in place (through directorate level service planning) and is prioritising finite training budget to ensure that key skills and qualifications are targeted. In addition the council is using apprenticeships to actively bring in or develop key skills (such as Welsh language skills or ICT capability). This investment will be enhanced in 2020/21. In specific service areas the council is actively seeking opportunities to collaborate where this will enhance capacity or resilience. | The council will continue to monitor the profile of the workforce and identify challenges through the business planning process. Appropriate action plans will be developed.<br><br>The staff survey has been completed and a range of actions implemented. These will improve engagement and feedback and shape the learning and development programme. The council will prioritise role specific training to enable staff to do what is expected of them, it will promote good practice examples of staff development and maximise access to funded learning and development programmes. e.g. WG and TUC. | CMB | Oct-2019         | Ongoing<br><br>Ongoing   | 3                   | 4                  | 12 | All corporate priorities |

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| 9               | Important council services are compromised due to the failure of a key supplier | If the suppliers of council services are not resilient there is a risk that they may fail to deliver those services leading to disruption for citizens and the council, which will be impacted as it seeks to restore provision and suffers a loss of reputation. | 4              | 4  | 16    | Treat or Transfer | The council's strongest defence against this is through its procurement strategy and procurement processes. When tendering for services the council requires contingency arrangements to be in place to allow for the eventuality of supplier failure (for example in the case of refuse and recycling collection contracts). The council also seeks to shape the market where possible to avoid over reliance on single suppliers (for example in social care). | Social Services have quarterly forum meetings with providers where risks, issues and pressures are identified. There are regular contract monitoring visits to monitor performance and quality.<br>Directorates to monitor the financial performance and stability of contractors on an ongoing basis. Dialogue with some major suppliers is required and contingency planning has been progressed. | CMB | Oct-2019         | Ongoing                  | 4                   | 3                  | 12 | Helping people be more self reliant and smarter use of resources |