

Corporate Risk Assessment (January 2021)

| IDENTIFIED RISK | | | | ACTION PLAN | | | | | | | | | | | | |
|-----------------|---|--|----------------|-------------|-------|-------------------|---|--|-----|---------------|-------------|--|---------------------|----|-------|--|
| No. | There is a risk that if.. | 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 | Last Reviewed | Next Review | Action completed by | Residual risk score | | | Well-Being Objective |
| | | | 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. The true impact of COVID remains unclear in terms of the Council's financial sustainability. Careful planning and difficult choices will be key to ensuring that a balanced financial position is able to be maintained. | 4 | 5 | 20 | Treat | 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. The impact of COVID has been significant in terms of both timetable and the focus on achieving savings. Due to the more generous WG settlement for 20/21 the savings targets were lower than usual and so most of those will be met. Work to deliver a balanced budget for 2021/22 and beyond is underway, but many aspects remain uncertain. | 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. Cabinet and Corporate Management Board are continuing to meet regularly as part of the budget planning process for 2021-22 and beyond. This has focussed not only on the immediate requirement for a possible £9 million savings for 2021-22 but also discussion to begin to shape a longer term strategy for the Council based on projected savings over the next 3-4 years. There remains significant uncertainty around the financial position, as COVID costs continue to emerge. However, WG have funded a high proportion of costs to date, which has mitigated the risk. | CMB | Jan-2021 | Jul-2021 | Feb-2021 then ongoing quarterly review | 3 | 5 | 15 | Smarter use of resources |
| 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. | 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. Much work has been done to bring together Directorates and a real corporate approach by CMB. This is work in progress and there is still occasionally some inconsistency, but huge progress has been made in working as a unified team. This is now being re-focussed to adapt and change as a result of the challenges posed by the COVID pandemic. Our approach to the pandemic has challenged the way that we work across all services, and we will need to quickly adapt and learn any lessons from this that can be embedded into 'new normal' and recovery. A review of Council processes has meant that some deemed unnecessary and bureaucratic have ceased but full compliance with those that remain is required. Examples of processes which have stopped without impacting on compliance include the cessation of wet ink signing and printing of documents as documentation is now electronically signed, physical attendance to open tenders replaced with opening on-line, cessation of physically authorising invoices as invoices are now authorised electronically on the Electronic Documents Record Management system and the replacement of in attendance training events with on-line remote training. 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 | Jan-2021 | Jul-2021 | Ongoing | 2 | 2 | 4 | All Well-Being Objectives |
| 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, Cultural services and Waste. | The Council has kept in close contact with its partners throughout the pandemic and has been able to flex and adapt services as required. Waste services continued with some adaptations, but there will be a prolonged period of re-start and recovery for leisure and cultural services, and a shared risk for continuation of services. | CMB | Jan-2021 | Jul-2021 | On-going | 3 | 4 | 12 | All Well-Being Objectives |
| 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. The Capital Programme will be reviewed quarterly and will be updated by Cabinet and Council. | CMB | Jan-2021 | Jul-2021 | Complete with ongoing review | 3 | 5 | 15 | Supporting a successful sustainable economy and smarter use of resources |
| 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 first 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 worked hard during the first year to embed Bridgend in the new Cwm Taf Morgannwg partnerships and build a solid platform for delivery of services. This was tested through the COVID pandemic and there are a number of strands of work to look at 'what worked' and 'what worked less well'. It will be important for the Council to learn lessons from this period, both as a body and as a key partner, and to build on those strengths for the future. By working with the new region, Bridgend has continued to receive Integrated Care Funding for a range of bids that have enabled either the continuation of previously funded services or assisted with the development of new service initiatives. It will be important to continue this relationship to secure further ICF for future projects. | 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 | Jan-2021 | Jul-2021 | Feb-2021 | 2 | 4 | 8 | Helping people and communities to be more healthy and resilient and smarter use of resources |

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| 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-self-reliance. | 4 | 5 | 20 | 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. Good management oversight with robust quality assurance and risk management arrangements will mitigate presenting risks. | 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. The Director of Social Services and Well-being presented the action plan to address the recommendations made by Internal Audit and the Audit Committee in July 2020. Members were content with the action plan and asked for a progress report in due course. The full range of Safeguarding activities was reported to Overview and Scrutiny Committee on 3 July 2019. | CMB | Jan-2021 | Jul-2021 | Completed with ongoing monitoring | 2 | 5 | 10 | Helping people and communities to be more healthy and resilient and smarter use of resources |
| 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. The council has established emergency planning arrangements including a Major Incident Plan and contributes to the South Wales Local Resilience Forum (SWLRF) and South Wales Resilience Team (SWRT). Contract conditions are included in relevant contracts. The terms of these conditions will vary depending on the nature of the contract, but will cover compliance with GDPR, security of personal information and general cyber security. Where contracts are awarded via a framework the necessary conditions will be imposed by the contracting agency for the framework. This has been an increased risk throughout the COVID period with significantly increased risk of attack and many more sophisticated attempts to disrupt the Council's network. | Cyber resilience training continues to be rolled out. The council has responded swiftly and appropriately to the increased risk posed by increased reliance on ICT and the network. A number of changes - some significant - were made during this period that has helped to mitigate the increased risk. Throughout the period the Council has stayed connected and resilient with many services being delivered remotely. The situation is being monitored on an ongoing basis. | CMB | Jan-2021 | Jul-2021 | Ongoing | 3 | 4 | 12 | All Well-Being Objectives |
| 8 | The council is unable to attract, develop 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 is a particular concern for the statutory Section 151 role. This could lead to the wellbeing of citizens suffering and a loss of morale 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 with a particular focus on management development. 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 has been enhanced in 2020/21. In specific service areas the council is actively seeking opportunities to collaborate where this will enhance capacity or resilience. To support recruitment and retention a market supplement policy is being explored which will set out how the Council may, in exceptional circumstances, offer an additional temporary supplement to the grade of a post as identified through the Council's grading scheme. 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. 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. The future focus for managers will build on the current provision of training and continue to encourage inspired individuals to gain and apply knowledge, skills, insights and attitudes to their roles. Staff have been a key priority during the COVID pandemic, with many working long hours and going 'out of their way' to ensure that residents were looked after. Programmes to help with staff well-being have been made widely available and advertised on a regular basis. Managers have been requested to look after both service delivery and staff well being in a balanced way. | CMB | Jan-2021 | Jul-2021 | Ongoing | 3 | 4 | 12 | All Well-Being Objectives |
| 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). Where appropriate contract conditions are included to ensure the contractor has the appropriate level of security required for the service they provide. This will differ depending on the nature of the service and the legal requirements applicable. | 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. This has continued throughout the pandemic. 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. This has become increasingly important due to the fragility of the market and the economic situation as a result of COVID. Many suppliers are going through difficult times and we will need to monitor closely to ensure that critical services do not collapse. | CMB | Jan-2021 | Jul-2021 | Ongoing | 4 | 3 | 12 | Helping people and communities to be more healthy and resilient and smarter use of resources |

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| 10 | The Council is in breach of the GDPR because Directorates do not take ownership of, or properly resource, their responsibilities under the Regulation (GDPR). | If Directorates do not comply with the GDPR action may be taken by the regulator which could result in fines and in a loss of reputation for the council, including with citizens. Properly complied with, GDPR will increase public trust and citizens confidence in how their data is handled by the Council. | 4 | 4 | 16 | Treat | Prior to GDPR an implementation group was established with representation from each Directorate and each Directorate undertook an audit of the data it holds. The Information Governance Board meets quarterly. A Data Protection Officer has been appointed and the council has undertaken a review of its data protection and privacy policies and procedures, established an E-Learning model for staff and also provided training to Members. There is a data breach reporting procedure in place. | Directorates to ensure that staff have access to all the data protection policies and undertake the mandatory e-learning training. There is a risk of GDPR not being reflected by staff when performing certain activities leading to non compliance and penalties imposed by the ICO. The information Governance Board is continuing to meet. Following the move to remote working, staff have been reminded of compliance via Bridgenders messages and another message is due imminently. | CMB | Jan-2021 | Jul-2021 | Ongoing | 3 | 2 | 6 | Smarter use of resources |
| 11 | Recovery/restoration of services - the restoration of some Council services will require new ways of working to be established and implemented to ensure Covid safe environments for staff and the public . | Additional measures will need to be considered, with revised protocols with potentially additional costs, and increased operational burdens, to meet relevant guidance and provide safe service and working environments. Specific measures at a Directorate level will need to be assessed for the reopening of schools, including school transport and catering arrangements and assessing the needs of pupils with additional learning needs. Assessing the additional social care implications from having to work more remotely including the impact of remote assessments and less direct face to face contact for things like day services, the additional service requirement to meet the enhanced expectation that all homeless people will be provided with housing options and wrap around services, and the safe distancing, cleansing and hygiene and enhanced ICT provision required to allow effective reopening of the Council's core office portfolio on a gradual basis as well as better supporting agile working and working from home on an ongoing and more permanent basis, ensuring all health and safety requirements are understood and addressed. There is also a general risk that some members of the public, some staff and some elected members will not necessarily understand why new and different ways of working are necessary and may not be supportive, for example increased working away from the office and services offered on a predominantly 'digital' basis. These issues may result in decreased capacity and therefore an inability to meet service demands, potential for claims against the Council based on health and safety, an increased likelihood that some residents will be unable or unwilling to take up provision of services, an increased financial burden on the Council on a recurring basis. | 5 | 4 | 20 | Treat | Full risk assessments at a service level will provide evidence of where interventions are required and new ways of working need to be implemented. A risk tool for individual members of staff and elected members will be distributed for self assessment to determine if special measures are required to be implemented to protect those individuals. Revised protocols are being developed to advise staff on good practice and business cases are prepared where additional investment is required to meet new operating procedures. Enhanced communication with staff, elected members and the public (including parents and pupils) will be necessary to mitigate some concerns and fears and ensure a better understanding of the Council's position. Local coronavirus restrictions were replaced when at the end of December 2020 higher-level restrictions came into force in all of Wales to control the spread of the virus which was accelerating and present in all local communities, these restrictions would continue to protect the public health for people living in the country. The main restrictions are: - closure of all non-essential retail including close contact services & all leisure & fitness centres - closure of all hospitality premises - tighter restrictions on household mixing, staying at home & holiday accommodation - to not create an extended household (single adults or single parents may join with one other household to form an exclusive support bubble) - to not travel without reasonable excuse. | Comprehensive service risk assessment, implement key actions from the service recovery plans completed by Directorates, identify and action the lessons learnt from the experiences of service provision over the last 5/6 months during the pandemic and lockdown, identify and consider service business cases for additional investment (as well as where there might be some savings from stopping areas of service or closing previous provision), ensuring ongoing and comprehensive communication and engagement as necessary. | CMB | Jan-2021 | Jul-2021 | Ongoing recovery once second wave of virus eases & subject to future peaks. | 5 | 3 | 15 | Smarter use of resources |

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| 12 | Public Health/Protecting the Public - the Council will need to take an enhanced public health leadership role for a sustained period of time and that this will need to be prioritised and resourced at the expense of other services that are normally provided, and that without proper and comprehensive planning to carry out the additional functions of test, trace and protect, a potential mass vaccination programme and continued and ongoing protection of the vulnerable (including mental health services) and previously shielded individuals to ensure they have the services and support they require, as well as an advisory and enforcement role to ensure compliance with Covid regulations, Covid 19 virus infections will potentially rise locally with a significant overall impact on public health and consequential impact on the local economy. | A need to divert resource to ensure adequate planning, together with our partners in the Health Board and the third sector, of programmes of work to address these matters which if they are not dealt with properly or the measures are ineffective will lead to increased local infection and potentially increased fatalities, increased sickness levels including for the Council, significantly increased demand for services and in a worst case scenario further local lockdowns. | 3 | 5 | 15 | Treat | Planning effectively with our partners a joint Cwm Taf Morgannwg TTP team has been established across the Bridgend, RCT and Merthyr area to ensure enhanced resilience and, following initial secondments, a full time team is now being appointed based in RCT. A planning team, again on a regional basis, is planning for a mass vaccination programme but the likely timescale for a vaccination is still unknown. Enhanced support for staff wellbeing has been put in place and service provision and regular contact with vulnerable individuals has been maintained even though 'shielding' has for the time being been halted. A local response plan, should local lockdown be required, has been prepared and signed off. Local coronavirus restrictions were replaced when at the end of December 2020 higher-level restrictions came into force in all of Wales to control the spread of the virus which was accelerating and present in all local communities, these restrictions would protect the public health for people living in the country. Please refer to Risk 11 for details of the restrictions in place. | Establishment of sustainable and resilient TTP team and programme of work, workstream established to plan and prepare for mass vaccination requirement, engagement and support procedures for most vulnerable established, enhanced wellbeing support offered, local response plan has been developed in the case of any need to consider local lockdown, SRS team engaged with local businesses and community groups to promote good Covid safe practice and where necessary to consider enforcement if there is an obvious and flagrant public health risk from breaches of regulations. | CMB | Jan-2021 | Jul-2021 | Ongoing during the remainder of the financial year and into 2021-22, particularly in view of the enhanced risk of the prevalence of the virus increasing during winter months, although some of these activities are likely to stay with us long term and will in due course need to become business as usual | 3 | 5 | 15 | Smarter use of resources |
| 13 | Invigorating the economy and economic recovery - there will be a prolonged and deep economic recession following the Covid pandemic and the uncertainties of the impact of the UKs withdrawal from the European Union, compounded by local issues such as the impending closure of the Ford engine plant. | There will be an increase in unemployment and the number of local benefit claimants. This impact may increase further at the end of the UK government's 'furlough' scheme which has been extended to the end of March 2021, with the potential for further business failure at that point. In addition there is likely to be a consequential impact on town centre footfall and increased empty retail properties, as potentially there will be less disposable spending locally. Increased financial hardship may also lead to an increase in demand for some Council services including those of the economic development, council tax, employability, mental health, domestic abuse and homelessness services. | 5 | 3 | 15 | Treat | By seeking to support local businesses and individuals by signposting them to appropriate financial support, skills training and support services, and progressing schemes to develop opportunities to set up and establish new business. Local coronavirus restrictions were replaced when at the end of December 2020 higher-level restrictions came into force in all of Wales to control the spread of the virus which was accelerating and present in all local communities, these restrictions would protect the public health for people living in the country. Please refer to Risk 11 for details of the restrictions in place. | Establish the local economic recovery taskforce and identify and implement the recommended actions. Liaise closely with colleagues in the Cardiff Capital Region and Welsh Government to identify and target opportunities for investment to stimulate and invigorate the economy. Seek to signpost opportunities for training, support and new jobs by targeting the work of the Council's Employability teams. Administer and target financial grant schemes and provide support to local businesses to adapt to new circumstances. Progress existing economic development schemes to provide more opportunities for business 'start up' by developing enterprise hubs throughout the County Borough. Agreeing direct intervention initiatives where the Council controls the cost of some relevant services, for example free car parking /car parking offers in town centres, rental holidays/reductions for businesses where the Council is the landlord. Develop the economic plan and allocate the Economic Futures Fund, targeting key area's identified to support the business and economy of Bridgend. | CMB / Economic Recovery Panel | Jan-21 | Jul-21 | Ongoing | 5 | 2 | 10 | Supporting a successful sustainable economy |
| 14 | School closures/partial school closures | Not able to ensure standards; wellbeing and safeguarding. Loss of senior leaders in schools through early retirement or ill health | TBD | TBD | TBD | Treat | Business resilience plan developed in partnership with schools; Use of RRRS (Recruit, Recover, Raise Standards) grant to recruit more teachers to support catch up programmes for pupils | Succession planning for continuity of key leadership functions | CMB | Jan-21 | Jul-21 | Ongoing | TBD | TBD | TBD | Smarter use of resources |
| 15 | Schools are not able to maintain educational standards | Inhibit progress for schools currently in special measures/ in need of significant improvement | TBD | TBD | TBD | Treat | Work closely with Qualifications Wales / WJEC, Estyn and Welsh Government to determine most equitable way forward | Working closely with schools in their use of RRRS grant for Welsh Government | CMB | Jan-21 | Jul-21 | Ongoing | TBD | TBD | TBD | Smarter use of resources |

Control Method Definition

| Definition | Meaning |
|------------|---|
| Treat | To continue with the activity, but at the same time take action to bring the risk to an acceptable level. |
| Transfer | Transferring the responsibility of the risk to outside the Council. |