

## 10 - Appendix E - Corporate Risk Register - May 2023

IDENTIFIED RISK			ACTION PLAN									Residual risk score			Well-Being Objective		
No.	There is a risk that	Consequences of risk	Raw risk score			Control method	Date Risk score assigned	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	
COR - 2019 - 01	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. Careful planning and difficult choices will be key to ensuring that a balanced financial position is able to be maintained. Continuing increases in inflationary pressure, most acutely in areas such as energy and also likely pay awards, mean that there is inevitably a greater focus on the "here and now" and the cost of living crisis makes medium term planning more difficult in view of the huge uncertainties around future budget and increasing demand for many services.	4	5	20	Treat	Jan-19	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 Council was able to meet most of the savings required in 2021/22. The year pressures during 2022/23 were unprecedented due to inflationary pressures on both pay and non pay costs. Elected members were all briefed on this position during the year. <b>In setting the 2023/2024 budget, difficult decisions had to be made re budget savings and limited growth across the budget.</b>	Continuously review the assumptions built into the MTFs and update as additional information becomes available. Keep elected members and BREP informed of updated position and re-align MTFs as appropriate. Earlier discussion with members on possible scenarios to get early buy in to the direction of travel. Review scope and direction of BREP to ensure they play a key part in shaping the MTFs. For MTFs 2023-27, more focus on potential areas of saving, even if not currently proposed, rather than just proposed savings. Focus to be more deep dives into targeted areas. A review of budgets has been commissioned to identify areas of high spend in BCBC compared with that in other Local Authorities. MTFs to consider longer term pressures and ensure these are fully considered beyond the life of the 4 year MTFs. It is clear that in the short term there will need to be a concerted "One Council" approach to identify and agree the immediate priorities while continuing to try to put the right changes and measures in place to develop an effective and sustainable longer term plan for the organisation. <b>The impact of grant fall out on individual services will be monitored to determine financial and service impact.</b>	CMB	May-2023	Nov-2023	Feb-2023 then ongoing quarterly review	4	5	20	Smarter use of resources
COR - 2019 - 02	The council is unable to deliver transformation including projects and 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 and capital projects, which will lead to it not meeting its commitments within available budgets. Of particular importance here is the actions required to tackle the Climate Emergency, the delivery of the universal free school meal offer and the Sustainable Communities for Learning Programme, the consequences of which will have a detrimental impact on all areas of the Borough.	4	4	16	Treat	Jan-19	The council has a number of programmes and strategies in place that either directly support specific proposals for service improvement, deliver large scale capital regeneration projects, provide wider transformation opportunities and /or financial savings. Further transformation opportunities have been identified that are intended to support a 'One Council' culture and support staff and managers through transformation. It also has a well documented decarbonisation programme to tackle the Climate Emergency and submitted it's Bridged 2030 Decarbonisation Strategy and Action Plan to Cabinet and Council for approval.	Further development of a 'One Council' culture and transformational change was progressed in recent years and accelerated as a response to the Covid-19 pandemic. A much more corporate approach to service provision and transformation has been driven by CMB. The response to the pandemic challenged the way that we work across all services, and <b>we have adapted and learnt lessons from this that we are now working on to embed into 'new normal' and recovery.</b> Transformation projects such as the Future Service Delivery Programme, and increased activity in areas such as "Grow Your own" and helping to change the way the Council does its business and other strategically important projects such as our Digital Transformation Programme continue to progress. Clearly the uncertain future budget position may impact in due course on priorities such as 2030 decarbonisation and where significant investment is required, so this will need to continue to be monitored and reviewed regularly.	CMB	May-2023	Jul-2023	Ongoing	4	4	16	All Well-Being Objectives
CEX - 2019 - 01	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. There is an increased risk that the Council will no longer be able to make some of the capital investment to the same level as previously due to the cessation of particular grants. In addition, the cost of borrowing has risen recently making it more difficult for the Council to afford all of its ambitions around investing in its infrastructure and the level of available external funding has fallen since the end of the relevant European programmes, risking further deterioration in some key assets.	4	5	20	Treat	Jan-19	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). The capital programme is regularly reviewed and updated but it is already evident that the costs of most projects have risen, sometimes significantly, and the availability of contractors has often become more limited reducing competition.	The Council will consider and seek external and match funding for projects where possible, in order to maximise its capital programme spending capability. Where feasible the capital earmarked reserve will be replenished on an annual basis to mitigate the decline in available and potential new capital receipts. The Council will continue to operate a strategy where capital receipts are not ring-fenced, to ensure that maximum flexibility is available. All capital bids will be fully considered by CMB and CCMB in line with the Capital Strategy, before inclusion in the capital programme. Schemes must have been subject to a full feasibility assessment. This should inform more accurate costings and profiling of spend to avoid potential overspends or delays in schemes. The procurement process will also be considered and qualification criteria updated to try and avoid supplier issues.	CMB	May-2023	Jul-2023	Complete with ongoing review	4	5	20	Supporting a successful sustainable economy and smarter use of resources
SS - 2019-01	The council fails to safeguard vulnerable individuals e.g. children, adults in need of social care, homeless etc.	Risks to the safety and wellbeing of children and adults at risk are significant and require an effective, highly skilled response from multi-agency safeguarding partnership with leadership from the local authorities. There is a risk that, without adequate budgets and due to the decline of a sufficient experienced workforce, the Council's safeguarding arrangements will not be effective, and that children and adults at risk will not be kept safe and will experience harm. The Council continues to prioritise this area of work and works effectively with key partners, whilst the demand for services continues to significantly increase. This is particularly evident in referrals into MASH/Information Advice and Assistance and the level of assessment activity. The Child Protection Register is at the highest level in the history of the County Borough indicating the level of concern of partners in respect of safeguarding risks to children. While staff teams have been strengthened where possible, there is still an over reliance on agency staff in some areas and there is a further risk with the worsening financial position that all of the investment required will not be possible on a sustainable basis whilst it must be understood that the Council has statutory duties to provide sufficient resources to safeguard children and adults as well as to set a balanced budget and could face intervention from Welsh Government if it fails in either duty	5	5	25	Treat	Jan-19	A number of different actions are being taken to address these concerns. In reaction to staffing matters additional staff have been employed to ensure the service is able to meet the increasing demand for services, the Council's Market Supplement Policy has been invoked to support the recruitment of staff to the childcare teams, resource has been found to support increased numbers of staff accessing the social work training scheme and work has been done to establish an overseas recruitment programme. Working practices in the service are being reviewed. There is a reporting structure in the service to monitor the work required to address the range of issues and this feeds up to a Gold meeting which consists of senior officers and the Leader and Deputy Leader of the Council.	A new Corporate Safeguarding Officer has been appointed to enhance the support to corporate safeguarding arrangements. The Regional Safeguarding Board is developing common quality and performance reporting via the steering group to include clear trigger points of escalated action. A reflective lessons learned exercise has been undertaken into the issues which led to the critical incident in IAA services to ensure lessons have been learned and sustainable improvements made to reduce the risk of such an escalated position being required again. <b>Work is being undertaken to develop a sustainable model for the service which includes practice, workforce and funding issues.</b>	CMB	May-2023	Jul-2023	Ongoing	4	5	20	Helping people and communities to be more healthy and resilient and smarter use of resources
COR - 2019-03	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. An increased risk to energy security and financial sustainability has increased this risk.	4	4	16	Treat	Jan-19	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 situation is constantly being monitored on an ongoing basis, ICT are reviewing options to mitigate potential cyber attacks as the attack landscape is continually changing. 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. Ongoing work on resilience and business continuity will help mitigate the risks but keeping the Council services running effectively this winter and beyond becomes more challenging	CMB	May-2023	Jul-2023	Ongoing	4	4	16	All Well-Being Objectives
COR-2019 - 04	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 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	5	20	Treat	Jan-19	The labour market remains very challenging in many disciplines, including social care. Some measures have been implemented to seek to mitigate and treat the risks including use of the new market supplement policy, an enhanced grow your own programme for both apprentices and graduates and more innovative practice around things like international recruitment. However, out of necessity, while clearly undesirable, the use of agency staff remains high in some areas and vacancies impact on the capacity of the organisation to deliver all of its objectives and can lead to an impact on wellbeing and increased pressure on the depleted number of staff in work, and some frustration among the public and elected members about the pace of some responses and action	There is a need to continue to seek alternative approaches to recruit to service areas, acknowledging that one size does not fit all. The benefits of working for the council will be promoted alongside different ways of attracting staff. Consideration will also be given to how the council's agency provider can support this agenda. Different recruitment, advertising and selection methods are being introduced for recruiting Apprentices, to improve the level and quality of applicants and with the aim of developing a pool of Apprentices. Action plans are in place and being developed to address challenges in the Social Services and Wellbeing Directorate.	CMB	Jan-2023	Oct-2023	Ongoing	4	5	20	All Well-Being Objectives
COR-2019 - 05	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. There is increasing evidence that this risk is becoming more apparent and prevalent. In particular in areas such as Home to School Transport, but also in residential care and construction there are increasing numbers of cases of market failure, companies falling into administration and increased costs being demanded to provide services or contracts will be handed back, which are difficult to mitigate as often there are very limited options to provide services, some of which are statutory.	4	4	16	Treat or Transfer	Jan-19	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. Services are also doing more to work with providers to ensure an early dialogue when services are under pressure to work towards an agreed outcome	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 current economic situation. Many suppliers are going through difficult times and we will need to monitor closely to ensure that critical services do not collapse.	CMB	May-2023	Oct-2023	Ongoing	4	4	16	Helping people and communities to be more healthy and resilient and smarter use of resources
COR-2020 - 02	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.	The return of many individuals and staff groups to the office has been successfully managed and the introduction of the new 'hybrid working policy' has been broadly supported by Trade Unions in line with the preference of most of their staff members for a more flexible approach to working. Hybrid meetings for both public Council meetings and internal officer/member meetings has also been introduced. Clearly new ways of working are yet to be fully embedded and we must be aware of new waves of Covid during the winter period. We must also be cognisant of the potential impact of the Cost of Living crisis on the working patterns of individuals. Overall however evidence suggests that with a continued focus on 'business first' there is no detriment to productivity from new ways of working but there is increased demand for many services and ever increasing expectations create further challenges around capacity in the organisation as we continue to see some of the post Covid impact continue in areas such as homelessness and social care	5	4	20	Treat	Sep-20	Full risk assessments at a service level 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 has been distributed for self assessment to determine if special measures are required to be implemented to protect those individuals. Revised protocols have been 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.	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 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. The Council continues to move to a 'recovery' position whereby as well as continuing to deliver some Covid related services and respond to some of the Covid legacy issues such as significantly increased demand for social care, early help and homelessness services, there is an expectation from the public that other Council services will have returned to 'normal'.	CMB	May-2023	Nov-2023	Ongoing recovery as the impact of the pandemic eases, subject to future waves.	4	4	16	Smarter use of resources

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COM - 2020 - 01	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 closure of the Ford engine plant.	The rapidly increasing cost of living crisis and political and market / financial uncertainty is impacting both individuals and local businesses. There has been increased demand for financial support , such as Cost Of Living payments and Council Tax reduction and a corresponding increase for other relevant Council advice and support services . May local businesses are particularly impacted by the huge inflationary increases particularly in energy costs meaning it is inevitable that it will be a difficult winter ahead	5	4	20	Treat	Sep-20	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. The Council continues to act on behalf of Welsh Government through the administration of small business rates relief . <b>Through its own Cost of Living Scheme the Council was able to widen its support to individuals and families during 2022/2023</b>	Support the aims set out by local economic recovery taskforce and identify and implement the recommended actions through the development of a new Economic Strategy . Liaise closely with colleagues in the Cardiff Capital Region and Welsh Government to identify and target opportunities for investment to add to investment provided by BCBC 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 proposals for the UK Government's Levelling Up Fund as well as other external funding sources as considered appropriate. Including the recently announced Shared Prosperity Fund which can be used to fund Employability/ skills based initiatives and replaces the previous European Funding Mechanisms.	CMB / Economic Recovery Panel	Apr-2023	Nov-2023	Ongoing	5	4	20	Supporting a successful sustainable economy
COR - 2022 - 01	The hangover effects of the pandemic, coupled with heightened geo-political tensions emerging from invasion of Ukraine, is impacting global economy, financial systems, supply chains and energy security	The continuing impact of Brexit and the war in the Ukraine are resulting in <ul style="list-style-type: none"> <li>Increased supply issues in relation to workforce for contractors and materials for major projects Increased inflationary pressures impacting costs of pricing and materials in construction sector, delaying or disrupting capital projects</li> <li>Increased pricing of commodities –gas, oil and silicon chips could have a direct impact on certain projects, costs and performance of key sectors</li> <li>Increased risks around energy supply and capability, to potentially impact delivery of the Energy Strategy</li> </ul>	4	5	20	Treat	Apr-22	<ul style="list-style-type: none"> <li>Ongoing economic analysis</li> <li>Agreed energy strategy</li> <li>Heat reduction schemes</li> </ul>	The impact on the Council will be continually monitored as the position becomes clearer. To achieve this, we will work closely with suppliers either via existing forums or through the contract management process. Work is being undertaken regionally to develop frameworks which will achieve economies of scale. As new services are tendered, potential inflationary costs and timeline pressures are being factored into the procurement process at an early stage. The impact on service delivery and the budget will be determined as part of this process and will be reported to Cabinet and Council as part of the normal reporting processes.	CMB	May-2023	Nov-2023	Ongoing	4	5	20	All Wellbeing Objectives
SS - 2023- 01	Significant service pressures in the health and social care services could impact on the ability of services to support vulnerable individuals	The health and social care system is not able to meet the health and care needs of people in a timely way resulting in harms and excess deaths. The immediate risk is that there is not sufficient capacity in community health and social care services to prevent hospital admissions and support timely discharge from hospital.	5	5	25	Treat	Jan-23	There are very regular meetings at senior levels across Health and the Local Authority to understand the current position and to agree the joint actions required to try to address the issues	The Cwm Taf Morgannwg health and social care partners have developed a range of immediate, short, medium and long term actions to enhance community capacity and review pathways of care. The most immediate actions are the enhancement of community beds through additional care home capacity and the implementation of Discharge to Recover and Assess pathways of care. There are timescales attached to the actions agreed. There is also a comprehensive plan to address the capacity issues in care and support at home services. <b>The system has experienced significant pressures so despite the actions the residual risk remains at a very high level and the service continues to evaluate whether immediate actions have impacted.</b>	CMB	May-2023	Nov-2023	Ongoing	5	5	25	All Wellbeing Objectives

**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.

**Risk Scores**

1-9 - Green - Low
10-12 - Amber - Medium
13-25 - Red - High

Risk ID number follows the sequence Directorate - year identified - risk number

Directorate codes mentioned above are:

SS - Social Service  
COR - Corporate  
COM - Communities  
CEX - Chief Executives