

<b>SUBJECT:</b>	<b>Strategic Risk Assessment</b>
<b>MEETING:</b>	<b>Audit Committee</b>
<b>DATE:</b>	<b>30<sup>th</sup> July 2020</b>
<b>DIVISIONS/WARDS AFFECTED:</b>	<b>All</b>

**1. PURPOSE:**

- 1.1 To provide members with an overview of the current strategic risks facing the authority. This is an additional report to audit committee to provide the committee with the updated strategic risk assessment, which includes the impact of the coronavirus pandemic on strategic risks facing the Council.
- 1.2 To fulfil Audit Committee's role in providing assurance of the adequacy of the Council's risk management framework, as an important part of the Council's corporate governance arrangements.

**2. RECOMMENDATIONS:**

- 2.1 That members use the risk assessment to consider the effectiveness of the authority's risk management arrangements and the extent to which the strategic risks facing the authority are appropriately captured.
- 2.2 That members scrutinise, on an on-going basis, the risk assessment and responsibility holders to ensure that risk is being appropriately managed.

**3. KEY ISSUES:**

3.1 Audit Committee has a specific role in providing independent assurance of the adequacy of the Council's risk management framework. Audit committee also have a role in assessing the authority's corporate governance arrangements, of which risk management is an important part. An integral part of the Council's risk management arrangement, which is reported to Audit Committee to inform this role, is the Whole Authority Strategic Risk Register. The Strategic Risk Assessment ensures that:

- Strategic risks are identified and monitored by the authority
- Risk controls are appropriate and proportionate
- Senior managers and elected members systematically review the strategic risks facing the authority.

3.2 The strategic risk assessment is one part of the Council's risk management arrangements. Risk is managed through a variety of processes, for example, through teams' service plans, through Emergency Management Plans and business continuity arrangements, specific project and programme management arrangements, health and safety procedures and insurance arrangements.

**Coronavirus (COVID-19) pandemic**

3.3 The Coronavirus (COVID-19) pandemic has posed a significant and unprecedented challenge to how the Council continues to provide a range of vital services. The Council has continued to rise to the challenge by adapting, innovating and establishing new ways of delivering services that support residents and businesses, assists community activity and supports staff well-being. These include rapidly setting up remote working arrangements, making more services available digitally, co-ordinating a significant volunteering effort,

phoning thousands of shielded people and continuing to collect household waste and recycling from all properties. The Council continues to operate in a dynamic environment, managing and mitigating, as far as possible, a variety of risks to service delivery and the well-being of our staff and residents.

- 3.4 To deliver and coordinate the Council's immediate response to the coronavirus pandemic, it enacted its Emergency Management Plan and business continuity arrangements, working across Council services, along with external partners such as the emergency services, neighbouring local authorities and Welsh Government. As part of these arrangements, the Council established an Emergency Response Team (ERT), which was guided by an established risk register that identified a range of risks owned across a variety of council services specifically related to the COVID-19 response. This identified and put in place risk controls that were appropriate and proportionate, supported by effective operational activity to ensure, as far as possible, risk reduction/risk management. A report on these arrangements was presented to the Council's Cabinet on 6th May 2020, with a further update provided to Cabinet on 29th July 2020.
- 3.5 As the Council has progressed through its immediate response phase the Council's ERT was formally stood down and the Council's Strategic Leadership Team (SLT) took on the ongoing responsibility to oversee the ongoing response. A COVID-19 Coordinating Group has also been established, the Group meets on a weekly basis. The role of this group is to maintain oversight of the ongoing emergency response and ensure, from an emergency planning perspective, there is oversight and co-ordinated communication flowing between external and internal response structures. Service provision has begun to resume and the Council is transitioning out of the first wave to focus on supporting the re-building of community and business confidence, while recognising that coronavirus remains an active threat. Risks that remain continue to be managed in line with the Council's established risk management policy and specific arrangements set out in point 3.6. Should circumstances, evidence and guidance change emergency response arrangements can be re-implemented at any time if required.
- 3.6 Specific arrangements have also been established and operate as part of the Council's response, parts of which manage on-going risks recognising the continuing uncertainty and fast changing environment the Council is operating in. These include:
- Following the ERT being stood down COVID-19 related risks are being assessed by the COVID-19 Coordinating Group and reported into, considered and acted upon by the Strategic Leadership Team (SLT) where required. Alongside this, SLT also undertakes an ongoing review of the Whole Authority Strategic Risk Assessment.
  - The Coronavirus 'Transition' Strategy sets the Council's plans to re-build community confidence. Activity being undertaken to deliver these strategic aims will further identify action that is being undertaken to manage and mitigate, as far as possible, related risks.
  - Continuing links with external responding partner organisations via the Gwent Strategic Co-ordinating group (SCG). The SCG are responsible for setting the strategic objectives and coordination of the partner agency response to COVID-19.
  - Working with partner organisations as part of the Gwent COVID-19 Recovery Co-ordinating Group (RCG) to take a strategic overview of, and give direction to, recovery work in line with agreed priorities and timescales.

- 3.7 Arrangements are continually under review to evolve and adapt to changing circumstances, the latest evidence, learning gathered and changes to legislation and guidance. The risks identified are regularly reviewed as part of these arrangements and updated based on the latest evidence available.

### **Whole authority Strategic Risk Assessment**

- 3.8 The Strategic Risk Assessment, latest full version attached in appendix 2, has continued to be updated based on the latest evidence, through the council's response to the Coronavirus pandemic. This is in line with the Council's strategic risk management policy; a summary of this is provided in Appendix 3. This helps ensure strategic risks are identified and assessed robustly, risk controls are put in place that are appropriate and proportionate, and risks are supported by effective activity to ensure, as far as possible, risk reduction/risk management.
- 3.9 Due to its purpose, the strategic risk assessment is a detailed document; appendix 1 provides the committee with an overview of the strategic risks on the register. There have been a number of amendments and additions to the register to ensure it accurately manages the current strategic risks facing the Council. The more significant changes, since the register was last presented to audit committee, include the addition of four new risks:
- The spread of the coronavirus (COVID-19) outbreak will impact on staff and residents health and cause delays or reductions in the Council's service delivery
  - Care Homes could be hit by an outbreak of COVID-19, affecting some of our most vulnerable residents.
  - The coronavirus pandemic could have a considerable economic impact resulting in business closures and job losses, significantly impacting on the economy in Monmouthshire and financial situation of some residents
  - The coronavirus and lockdown measures could have a disproportionately negative impact on the well-being of some sections of our communities, resulting in increased poverty and inequality

No risks have been removed from the register. Updates have been made, where required, to the existing risks, including to the reason why the risk has been identified, the assessed risk level, mitigating actions being undertaken and the progress on these. Some of the more significant changes include updating relevant risks due to the impact of the coronavirus pandemic, the impact of the flooding in the County in the winter and the outcome of the Estyn Inspection in February 2020.

- 3.10 The risk assessment only covers high and medium level strategic risks. Lower level risks, or operational risks, are not registered unless they are projected to escalate within the three years covered. These are managed and monitored through other arrangements, particularly those identified in points 3.2 and 3.6.
- 3.11 The strategic risk assessment should continue to focus on medium term risks to service delivery. The risk assessment is a living document and will evolve as new information comes to light. Therefore Audit Committee should take into account that this is the latest position up to the point the agenda was circulated. The Council continues to operate in an uncertain and fast changing environment; the strategic risk register will regularly evolve and adapt to identify, assess, manage and mitigate, as far as possible, a variety of risks to council service delivery and the well-being of our staff and residents.

- 3.12 In line with the Well-being of Future Generations Act, identification and mitigation of longer-term risks that will impact on future generations at community level, but will have a lesser impact on the medium term delivery of council services, is an area for continued development. Through working with the Public Service Board, we are developing our understanding of future risks and opportunities and how we respond to them in Monmouthshire. This will inform the strategic risk register as relevant.
- 3.13 As the Council transitions to the next phase of its response to the pandemic, and begins to support communities and businesses to re-build confidence, the Council has established a revised purpose and set of strategic aims that guide its work. Delivery will continue to be monitored and will need to be flexible in timescale and content as circumstances and guidance changes. The activity being undertaken to deliver these strategic aims will further identify action that is being undertaken to manage and mitigate, as far as possible, related risks.

**4. REASONS:**

- 4.1 To provide timely, relevant information on strategic risks as part of the performance management framework for ensuring the authority is well run and able to contribute to achieving the Council's purpose.

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## Appendix 1 – Whole Authority Strategic Risk Assessment Overview - July 2020

Ref	Risk	Risk Level – Pre mitigation	Risk Level – Post mitigation
1	Potential Risk that: The authority does not remain relevant and viable for future generations due to not having a sustainable delivery model.	2020/21 – Medium	2020/21 – Low
		2021/22 – Medium	2021/22 – Low
		2022/23 – Medium	2022/23 – Low
2	Potential Risk that: Without appropriate and effective governance infrastructure, the Council may not deliver its objectives.	2020/21 – Medium	2020/21 – Low
		2021/22 – Medium	2021/22 – Low
		2022/23 – Medium	2022/23 – Low
3	Potential Risk that: The Council and partners do not make sufficient progress in delivering through regional and partnership working.	2020/21 – Medium	2020/21 – Medium
		2021/22 – Medium	2021/22 – Low
		2022/23 – Medium	2022/23 – Low
4a	Potential Risk that: Some services may become financially unsustainable in the short to medium term due to increasing demand and continuing financial pressures	2020/21 – High	2020/21 – High
		2021/22 – High	2021/22 – Medium
		2022/23 – High	2022/23 – Medium
4b	Potential Risk that: The authority is unable to deliver its political priorities or maintain key infrastructure and meet other identified pressures due to insufficient capital funding availability.	2020/21 – High	2020/21 – Medium
		2021/22 – High	2021/22 – Medium
		2022/23 – High	2022/23 – Medium
5	Potential Risk that: Reduced organisational capacity, including skills and knowledge, recruitment and retention issues, and reduced staff wellbeing, will impact on our ability to deliver organisational aims and objectives	2020/21 – Medium	2020/21 – Medium
		2021/22 – Medium	2021/22 – Medium
		2022/23 – Medium	2022/23 – Low
6	Potential Risk of: Significant harm to vulnerable children or adults due to failure of arrangements or factors outside the Council’s control	2020/21 – High	2020/21 – Medium
		2021/22 – Medium	2021/22 – Medium
		2022/23 – Medium	2022/23 – Medium
7	Potential Risk to: The robust delivery of the Council’s corporate parenting responsibility and services related to safeguarding vulnerable children as a result of an increase in demand and complexity in cases in Children’s services.	2020/21 – Medium	2020/21 – Medium
		2021/22 – Medium	2021/22 – Medium
		2022/23 – Medium	2022/23 – Medium
8	Potential Risk of: Failing to meet the needs of learners, including vulnerable learners, and failing to promote pupil well-being within Monmouthshire’s schools, which may result in children and young people not achieving their full potential.	2020/21 – High	2020/21 – High
		2021/22 – High	2021/22 – Medium
		2022/23 – Medium	2022/23 – Medium

Ref	Risk	Risk Level – Pre mitigation	Risk Level – Post mitigation
	Failing to adapt to changes in the new curriculum and examination requirements		
9	Potential Risk of: Loss or corruption of data due to cyber-attack or data mismanagement which will compromise the delivery of essential council services.	2020/21 – Medium 2021/22 – Medium 2022/23 – Medium	2020/21 – Medium 2021/22 – Medium 2022/23 – Medium
10a	Potential Risk of: A lack of appropriate infrastructure, including affordable housing, in the County to meet future needs arising due to the County's changing demography and weak economic base, external changes such as removal of the Severn Bridge tolls, and as a result of the growth of the County as set out in the emerging new Local Development Plan.	2020/21 – Medium 2021/22 – High 2022/23 – High	2020/21 – Medium 2021/22 – High 2022/23 – Low
10b	Potential Risk that: Insufficient broadband infrastructure and a lack of digital skills in the county have the potential to lead to social and economic disadvantages	2020/21 – Medium 2021/22 – Medium 2022/23 – Medium	2020/21 – Medium 2021/22 – Medium 2022/23 – Low
11	Potential Risk of: Political, legislative and financial uncertainty for council services and local businesses as a result of the UK leaving the European Union	2020/21 – High 2021/22 – High 2022/23 – Medium	2020/21 – High 2021/22 – High 2022/23 – Medium
12	Potential risk that: The authority cannot deliver its services due to potential internal/external factors resulting in service disruption due to lack of Business Continuity planning.	2020/21 – Medium 2021/22 – Medium 2022/23 – Medium	2020/21 – Medium 2021/22 – Medium 2022/23 – Medium
13	Potential risk to: Communities and public service delivery in Monmouthshire due to Global climate changes could impact on the future social, economic, environmental and cultural well-being in the County	2020/21 – High 2021/22 – High 2022/23 – High	2020/21 – High 2021/22 – High 2022/23 – High
14	Potential risk that: Declining recycling rates will prevent achievement of the Welsh Government target of 70% recycling rates throughout Wales.	2020/21 – Medium 2021/22 – Medium 2022/23 – Medium	2020/21 – Medium 2021/22 – Low 2022/23 – Low
15. New	Potential risk that: The spread of the Coronavirus (COVID-19) outbreak will impact on staff and residents health and cause delays or reductions in the Council's service delivery	2020/21 – High 2021/22 – High 2022/23 – High	2020/21 – High 2021/22 – Medium 2022/23 – Medium
16. New	Potential risks that: Care Homes could be hit by an outbreak of Covid-19, affecting some of our most vulnerable residents.	2020/21 – High 2021/22 – High 2022/23 – High	2020/21 – High 2021/22 – Medium 2022/23 – Medium

Ref	Risk	Risk Level – Pre mitigation	Risk Level – Post mitigation
<b>17.</b> <b>New</b>	Potential risk that: The coronavirus pandemic could have a considerable economic impact resulting in business closures and job losses, significantly impacting on the economy in Monmouthshire and financial situation of some Monmouthshire residents	2020/21 – High  2021/22 – High  2022/23 – High	2020/21 – Medium  2021/22 – Medium  2022/23 – Medium
<b>18.</b> <b>New</b>	Potential risk that: The coronavirus and lockdown measures could have a disproportionately negative impact on the well-being of some sections of our communities, resulting in increased poverty and inequality	2020/21 – High  2021/22 – High  2022/23 – High	2020/21 – Medium  2021/22 – Medium  2022/23 – Medium

**Appendix 2: Monmouthshire County Council Whole Authority Strategic Risk Assessment – July 2020**

	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective	
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level			
1.	Potential Risk that:  The authority does not remain relevant and viable for future generations due to not having a sustainable delivery model.	<p>The introduction of the Well-being of Future Generations Act requires us to plan on a decadal and generational basis and our current models do not extend to this timeframe.</p> <p>The Corporate plan sets out a clear purpose and aims for an ambitious five-year programme, with many areas focused on the longer-term future of the county and which addresses many complex challenges. The council's key delivery strategies to enable this have been revised.</p> <p>We have lessened our focus on some of the priorities in the Corporate Plan to re-direct capacity towards our Coronavirus emergency response effort. To provide clarity and ensure accountability through this time Cabinet has set a COVID-19 purpose and set of strategic aims</p> <p>The Coronavirus pandemic is likely to impact on economic, social, environmental and cultural well-being of the County. There is a need to continue to understand the impact and adapt/develop plans accordingly.</p> <p>One of the Council's strategic aims is to ensure the Council remains financially sustainable. Covid-19 has heightened the existing financial challenges placed on the Council. Uncertainty remains as to whether Welsh Government funding and flexibilities will be sufficient to mitigate the additional costs and significant shortfall in income the Council is suffering.</p> <p>Since entering 2020 the Council has faced significant and unprecedented challenges from flooding and the COVID-19 pandemic and resulting lockdown restrictions. Each of these</p>	2020/21	Possible	Major	Medium	Implement and track progress of the revised key delivery strategies: Digital Strategy, People Strategy and Asset Management Strategy.	Chief Officer Resources Timescales as per strategies	The council's key delivery strategies to enable the delivery of the Corporate Plan have been revised. The revised strategies continue to be implemented and activity has been embedded in the relevant service business plans.	2020/21	Unlikely	Major	Low	Paul Matthews & Cllr Peter Fox	Select Committee: All  Objectives: All	
			2021/22	Possible	Major	Medium			2021/22	Unlikely	Major	Low				
			2022/23	Possible	Major	Medium	Revise strategies where necessary based on learning and impact from the Coronavirus response		2022/23	Unlikely	Major	Low				
							Continue to monitor progress with delivery of the Corporate Plan and keep under review in consideration of the impact and learning of the coronavirus pandemic on the Council and county.	Senior Leadership Team, ongoing	A mid-term review of the commitments in the Corporate Plan has been completed, approved and published in March 2020.							
							Review the aspirations in the Corporate Plan as we face up to a new financial reality and the response needed to changing issues of well-being in the county.		To provide clarity and ensure accountability through our response to the coronavirus pandemic, a set of strategic aims were set by Cabinet in May. These were updated in July. We have lessened our focus on some of the priorities in the Corporate Plan to re-direct capacity towards dealing with COVID-19							
							Strengthen medium to long term strategic financial planning as part of the Medium Term Financial Plan and adapt to reflect the impact of the coronavirus pandemic.	Chief Officer Resources, March 2021	The Council's medium term financial planning has been severely disrupted by the impact of the Coronavirus pandemic on the Council's finances. Council received a position statement on 16 <sup>th</sup> July							
									The Council was already facing financial challenges. The pandemic has accentuated the challenge. Understanding the current financial circumstances and challenges resulting from the COVID-19 pandemic will in turn lead the Council to need to plan and plot a revised course to ensure it remains financially sustainable into the future.							
									A budget recovery plan together with further budget savings proposals is being developed and that will be considered by Cabinet in September							

	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
		draws significantly on the Council's resources, both in terms capacity and finances and places an unprecedented strain on the Council. Council received a report on 16 <sup>th</sup> June which highlighted that In the extent of the financial challenge, is in a range between a £3 million and £10.4m over-spend for 2020/21." Further detail was then provided to Cabinet on 29 <sup>th</sup> July as part of the month 2 forecast outturn report.					Apply and update learning from work on future trends and plan for how they might impact at a local level in Monmouthshire.	Head of Policy and Governance Ongoing	before being recommended to Council in October for approval. This will subsequently inform the budget setting process for 2021/22 and the medium-term financial plan.  The learning from work on future trends undertaken with the Public Service Board will need to continue to be applied in strategic planning and evidence continue to be updated to ensure trends that could impact on the local level are considered.  Working with the Public Service Board we are developing our understanding of future risks and opportunities and how we respond to them in Monmouthshire.						
2.	Potential Risk that:  Without appropriate and effective governance infrastructure, the Council may not deliver its objectives.	Good governance is a fundamental part of local authority working; arrangements are multifaceted and need to be subject to continuing review to ensure they are effective.  The Well-being of Future Generations Act sets longer-term goals we need to work towards, and the ways of working we need to adopt. To implement this will require changes to the way we work.  New joint arrangements require robust governance arrangements to be established.  Monmouthshire County Council recognises the important and valuable contribution made by volunteers in enhancing service delivery. There is a need to continue to formalise arrangements for the role of volunteers in service delivery and set out the terms governing their engagement and ongoing relationship with the Council.  There has been a significant volunteer response to Covid-19 pandemic, work will be required to continue to support an increased volunteer network and ensure	2020/21	Possible	Substantial	Medium	Update the Councils' constitution to ensure it reflects recent changes in legislation and governance.	Monitoring Officer  December 2020	In December 2017, Council adopted changes to the council's constitution.  A thorough review is currently being undertaken to ensure it reflects the latest legislation and council's governance structures. This was due to be presented to Council in May 2020, activity has been delayed in light of the Coronavirus response with efforts focused on implementing legislation related to the coronavirus pandemic	2020/21	Unlikely	Substantial	Low	Matthew Gatehouse and Matthew Phillips & Cllr Paul Jordan	Select Committees: Audit Committee  Objectives: All
			2021/22	Possible	Substantial	Medium				2021/22	Unlikely	Substantial	Low		
			2022/23	Possible	Substantial	Medium				2022/23	Unlikely	Substantial	Low		
							Submit evidence in response to the Local Government & Elections (Wales) Bill  Work with the Democratic Services Committee to respond to areas in the Bill which require changes to MCC processes	Head of Policy and Governance,  February 2021	A consultation response has been submitted to the Committee scrutinising the Bill.  The potential financial cost of changes to the council chamber to reflect the impact of boundary changes and updates to equipment to sustain live streaming have been recognised in the capital budget.  A new post of Policy and Scrutiny Officer has been appointed, which will help create the capacity to increase participation in local democracy.						
							Manage our actions in response to Estyn, CIW and WAO via existing mechanisms	Senior Leadership Team, timetable as per action plans	The Council has arrangements in place to respond to regulatory reports and where necessary, these are reported to the relevant committees.						

Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
		Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
	<p>longer term arrangements are in place.</p> <p>The Local Government and Elections Bill was published in November 2019. The Bill is a significant and substantial piece of legislation and includes provision related to democracy, regional working, structures, governance and performance.</p> <p>Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020 came into force in April 2020 in response to the impact of the pandemic, the limitations of the lockdown and existing legal requirements applicable to local authorities. They aim to overcome those limitations to allow democratic processes and decision making to continue.</p> <p>During the Covid-19 pandemic, there have been significant changes to the way in which the Council operates. Governance mechanisms have been developed and established digitally, these will need to continue to be reviewed to identify ways of working that have improved efficiency, and identify where these can be developed going forward.</p> <p>The latest Audit Wales Annual Improvement Report (AIR) concludes, “Based on, and limited to, the work carried out by the Wales Audit Office and relevant regulators, the Auditor General believes that the Council is likely to comply with the requirements of the Local Government Measure (2009) during 2019-20.” There remains proposals for improvement from Wales Audit Office relating to the Councils’ governance and scrutiny arrangements that are still being addressed.</p>					<p>Deliver the implementation plan for the volunteering policy (adopted in December 2017) in all service/business areas and continued implementation of the Volunteer toolkit.</p> <p>Continue to assess the volunteer response during the Covid-19 pandemic and identify learning that should be adopted and developed to support volunteers</p>	<p>HR Manager &amp; Communities and Partnership Development Team</p> <p>Timescale as implementation plan</p>	<p>Monmouthshire, A County That Serves (ACTS) volunteering programme is helping to highlight and support volunteering opportunities available within the county. A volunteering toolkit and network are in place and Leading Volunteering training is delivered to staff that support volunteers.</p> <p>A Volunteer Kinetic digital management system is in place. Service area champions have also been introduced to ensure that all current and new volunteers are recruited through the appropriate channels. In June 2019, the first Volunteering Conference was held to put volunteering at the forefront of council planning for the future.</p> <p>The COVID-19 pandemic has seen a tremendous response in relation to the mobilisation of volunteering and community groups. We established the Community Support Structure to assist people needing support being coordinated with the offers of support. Work will be required to continue to support an increased volunteer network and longer term arrangements will need to be considered to ensure we can support our community volunteering network to provide long-term benefit to our communities.</p>						
						<p>Adapt arrangements to apply Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020</p>	<p>Head of Law/Monitoring Officer, Head of Policy and Governance</p> <p>September 2020</p>	<p>Arrangements have been adapted to apply the Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020. All decision-making and committee meetings have been stood back up.</p> <p>Committees are being held remotely via the Microsoft Teams app and the system is proving successful.</p> <p>Work will continue to gather learning from the new ways of working adopted during the COVID-19 pandemic and to identify efficiencies</p>						

	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
								and improvements to arrangements that need to be retained or built on.							
3.	Potential Risk that:  The Council and partners do not make sufficient progress in delivering through regional and partnership working.	The Future Generations Act puts a well-being duty on specified public bodies to act jointly via Public Service Boards (PSB) to improve the economic, social, environmental and cultural well-being of their area. The PSB well-being plan has been established; the activity that will contribute to the delivery of the plan has been allocated to lead organisations. Progress is overseen by Programme Board and scrutinised by the Public Services Select Committee  The Coronavirus pandemic is likely to impact on economic, social, environmental and cultural well-being of the County. There is a need to continue to work with partners to understand the impact and adapt/develop partnership working accordingly  The Council is already part of regional and partnership-working arrangements in a variety of services; some of these require further development, for example, Joint Scrutiny of the Cardiff Capital Region is in its infancy.	2020/21  2021/22  2022/23	Possible  Possible  Possible	Substantial  Substantial  Substantial	Medium  Medium  Medium	To deliver the Public Service Board Well-being plan, implement a delivery framework and ensure scrutiny via the Public Services Select Committee.  Work with partners to understand the impact of the coronavirus pandemic and adapt/develop partnership working accordingly.	Head of Policy & Governance and Community & Partnership Development Manager September 2020	The Public Service Board has published its first annual report for 2018/19, which sets out the progress made so far by the PSB to deliver the objectives set out in the well-being plan, with a particular focus on the six steps prioritised by the PSB. Supported by the Council's Community and Partnership team, the PSB is developing a detailed action plan and performance management arrangements that capture the activity to deliver each step and link to the activity of the wider partnership groups that support delivery.  Regional working with other PSB's in Gwent on some of the common well-being issues identified in well-being plans continues to be progressed. Opportunities and options to further strengthen partnership working between Gwent PSB's are being explored.  A change in title and terms of reference has been agreed for the Public Service Board Select Committee. The newly entitled Public Services Select Committee will allow for wider scrutiny of public service provision and, where powers allow, will provide greater accountability of services delivered in collaboration or by external partners.	2020/21  2021/22  2022/23	Possible  Unlikely  Unlikely	Substantial  Substantial  Substantial	Medium  Low  Low	Matthew Gatehouse, Cllr Peter Fox & Cllr Paul Jordan	Select Committees: Audit Committee  Public Services Select Committee  Objectives: All
							Submit evidence in response to the Local Government & Elections (Wales) Bill.  Work with Welsh Government on the development of Corporate Joint Committees	Head of Policy and Governance,  December 2020	A consultation Response has been submitted to the Committee scrutinising the Bill.  Officers continue to engage with Welsh Government on the development of the Corporate Joint Committees which will provide the structure for collaborative working in the areas prescribed within s79(3) of The Bill						
4a.	Potential Risk that:  Some services may become financially unsustainable in	After several years of taking significant resource out of the budget the means of achieving	2020/21	Likely	Major	High	Ensure that services deliver within budget, deliver savings targets and continue to identify, review and challenge pressures.	Chief Officer Resources March 2021	The revenue outturn for 2019/20 showed an overall net surplus on the revenue account of £1.8m. This surplus has arisen due to the	2020/21	Likely	Major	High	Peter Davies and Cllr Phil Murphy	Select Committee: All

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		Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
the short to medium term due to increasing demand and continuing financial pressures	further savings is increasingly more challenging.	2021/22	Likely	Major	High			application of two one off items which mitigate a net deficit on services of £3.76m. The surplus was generated through the Council maximising flexible use of capital receipts and to enable the Council Fund to be supplemented by £1.8m to assist with the 2020/21 budget challenges, and that have increased as a result of the COVID-19 pandemic.	2021/22	Possible	Major	Medium		Objectives: All
	Budget assumptions modelled in September 2019 indicated a gap of £5.39 million in 2020/21 rising to a gap of £21.07 million over the medium term.	2022/23	Likely	Major	High			However this position should not distract from the underlying financial challenges that have to be addressed. Specific pressures remain in particular in additional learning needs, social care generally and children’s services specifically, passenger transport, waste, car parking and Monlife activities.	2022/23	Possible	Major	Medium		
	Further work will be undertaken to develop the MTFP and that will include an ongoing assessment of pressures, risks and modelling assumptions													
	Funding from Welsh Government has reduced in recent years. The Welsh Government settlement increase for Monmouthshire in 2020/21 is the lowest of any Council in Wales at 3%. Welsh Government funding is not adequate to meet the significant financial pressures the council faces													
	Pressures on the budget have been increasing in terms of demographic growth, demand on services and expectations, and pay and pension increases. Specific areas with pressures include additional learning needs, social care generally and children’s services specifically, passenger transport, waste, car parking and Monlife activities.													
	The Council finalised its draft accounts for 19/20 with useable capital receipts of only £3.2m, a Council Fund balance of £8.5m and useable earmarked reserves of £6.4m (of which there is planned use that will reduce earmarked reserves to £5.4m at the end of 2020/21).					Produce a budget recovery plan for 2020/21, together with a proposed set of budget savings proposal	Chief Officer Resources October 2020	The budget proposals for 2020/21 saw a continuation of our preparedness to challenge all services to sustain themselves rather than to see the closure of services that matter to citizens and consider supporting commitments set out in the Corporate Plan.						
	Along with the rest of the organisation, schools are facing a challenging financial settlement. School balances have been declining over a number of years and for the year end 2018-19, balances were in a collective deficit. 15 schools							The Council was already facing financial challenges. The pandemic has accentuated the challenge due to services and existing capacity being redirected and redeployed to ensure the Council met its core purpose of protecting life. This has seen additional unbudgeted costs being incurred.						

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	<p>started 2019/20 financial year in deficit compared to 17 schools finishing the year in deficit.</p> <p>This position is a concern to the Local Authority, if the deficit balances for schools continue to increase this could, over time, have an impact on the overall reserves for MCC.</p> <p>The Council was already facing financial challenges. The pandemic has accentuated the challenge and followed shortly after the flood response and recovery resulting from Storms Ciara and Dennis in February 2020</p> <p>Financial Forecasts are being prepared on assumptions that are uncertain. The forecasts will be supplemented by sensitivity analysis and risk assessments. In order to highlight the extent of the financial challenge, the range is anywhere between a £3 million and £10.4m over-spend for 2020/21</p> <p>One of the Council's strategic aims is to ensure the Council remains financially sustainable. Covid-19 has heightened the existing financial challenges placed on the Council. Uncertainty remains as to whether Welsh Government funding and flexibilities will be sufficient to mitigate the additional costs and significant shortfall in income the Council is suffering.</p>						<p>Many income generating services have had to stop in order to comply with UK and Welsh Government guidance. The income loss and shortfall is significant and ongoing. There is delay in the implementation of some budget savings proposals for 2020/21 as a result of people directed elsewhere to respond to the pandemic.</p> <p>A report will be considered by Cabinet at its meeting on the 29th July that will provide a 'point in time' assessment and forecast for 2020/21. Forecasts are being prepared on assumptions that are uncertain. The forecasts will be supplemented by sensitivity analysis and risk assessments. In order to highlight the extent of the financial challenge, the range is between a £3 million and £10.4m over-spend for 2020/21. Cabinet is working on the basis that Welsh Government need to fully fund the COVID-19 related costs and income losses, leaving the budget recovery plan to be initially focused on a £3.5m forecast deficit.</p> <p>Beyond Welsh Government funding, an assessment is being undertaken of reserve balances and available capital receipts. This will require a review of the Council's existing reserve strategy and regard will not only need to be given to the current year situation, but also to the medium and long term. Reserve balances are finite and act as only a limited buffer to fund one-off costs.</p> <p>Cabinet has asked officers to bring forward a budget recovery plan together with a proposed set of budget savings proposals. Draft proposals will be taken through select committees for scrutiny in September before being considered by Council in October.</p> <p>A S114 notice can be issued if spending is likely to exceed resource levels, but</p>							

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							<p>this is a last resort and is not considered necessary at this time.</p> <p>Implement the process for reclaiming coronavirus costs via agreed avenues, and identify alternative grant funding offers available via Welsh Government.</p> <p>Chief Officer Resources Ongoing</p> <p>The coronavirus pandemic has resulted in an increase in costs in maintaining services, in addition to the increasing demands from Central and Welsh Government to deliver new services and provide additional grants. This has resulted in a steep increase in our financial expenditure.</p> <p>Forecasts and information to reclaim costs continue to be provided both on a monthly and ad hoc basis as required to Welsh government.</p> <p>There is uncertainty regarding the amount of compensatory Welsh Government funding the Council will receive as a result of the pandemic. Announcements by both Welsh Government and UK Government have been made and have confirmed levels of commitment to support local authorities. There is a lack of clarity as to when Welsh local authorities will have certainty around the level of funding to be received.</p> <p>Council is unlikely to have all of its costs and pressure met by Welsh Government. The significance of the shortfall that needs to be managed in year therefore needs to be determined, and whether Welsh local authorities are able to obtain any flexibilities to spread the burden over more than one financial year.</p>								
							<p>In light of the Coronavirus Pandemic, review the MTFP and budget assumptions with a view to assessing medium term implications. Strengthen medium to long term strategic financial planning as part of the Medium term financial plan and adapt to reflect the impact of the coronavirus pandemic.</p> <p>Chief Officer Resources, March 2021</p> <p>The Council's medium term financial planning has been severely disrupted by the impact of the Coronavirus pandemic on the Council's finances.</p> <p>The Council was already facing financial challenges. The pandemic has accentuated the challenge. Understanding the current financial circumstances and challenges resulting from the COVID-19 pandemic will in turn lead the Council to need to plan and plot a revised course to ensure it</p>								

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							remains financially sustainable into the future.							
						Develop and implement a commercial strategy aligned to the Corporate Plan	Chief Officer Resources Timescales as per strategy	<p>A budget recovery plan and set of proposed further budget savings is being developed for consideration by Cabinet ahead of onward recommendation to Council for approval. This will subsequently inform the budget setting process for 2021/22 and the medium-term financial plan.</p> <p>As part of the delivery of the Corporate Plan a Commercial Strategy has been developed. The strategy seeks to enhance income generation, develop an approach to commercialising assets and create a commercial culture and ethos. The strategy has a short-, medium- and long-term view and aims to provide a framework, with defined objectives, for new commercial projects and for the delivery of future commercial activity.</p> <p>Our commercial income is currently forecast close to budget, although we anticipate this being put under further strain as the year progresses. As with all investments this is being actively monitored with discussions ongoing with tenants.</p> <p>The Council is continuing to assess its commercial risk appetite and exposure and the Investment Committee will be receiving regular updates on investment performance and mitigating action being taken.</p>						
						Implement the new procurement strategy with a view to identifying long term and short term benefits and savings to the Council and the County	Head of Enterprise and Community Animation Timescales as per strategy	A new Procurement strategy was approved in July 2018. In order to deliver the aspirations set out within the procurement strategy, the Council has commissioned an independent company to undertake a health check of the procurement function. The primary purpose is to establish whether there are any opportunities to reduce our external costs, as well as to examine our current level of capacity to deliver against stretching						

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								<p>targets identified within the procurement strategy. The results of this piece of work are due later in the year.</p> <p>Continue to work closely with schools to ensure their financial plans are as robust as possible to minimise any impact whilst continuing to improve standards for our young people. Including, considering the offer of providing loans to schools.</p>	Finance Manager – Children & Young People Ongoing	<p>15 schools started 2019/20 financial year in deficit compared to 17 schools finishing the year in deficit. The deficit position remains particularly acute and increasing for the 4 secondary schools.</p> <p>Schools have been reminded of the recovery plan process and the requirement to agree any deficit with the Chief Officer so that the appropriate challenge can be put in place. The majority of schools have submitted a budget plan for the current financial year and monitoring of schools budget continues.</p> <p>Cabinet approved the plans to provide a loan to schools which will allow schools to plan a recovery over a longer period of time. The loan will be up to a maximum of 10 years and limited to 10% of their funding. A number of schools have shown an interest of taking out this loan and the local authority continues to work with schools to put this in place.</p> <p>In light of the COVID-19 pandemic the impact on school finances and budgets are being reviewed for 2020-21 and this will be reported back to Cabinet as part of the month 5 budget monitoring report.</p>						
<b>4b.</b>	<p>Potential Risk that:</p> <p>The authority is unable to deliver its political priorities or maintain key infrastructure and meet other identified pressures due to insufficient capital funding availability.</p>	<p>Underlying the Capital Strategy is the recognition that the financial resources available to meet Council priorities are constrained by a significant reduction in financial resources.</p> <p>The core capital programme has been constrained in recent years in order to enable the Band A new schools programme to be funded which are coming to a successful conclusion. Officers are working through options in relation to a</p>	2020/21	Likely	Major	High	Regularly review assumptions as part of the capital MTFP taking account of any new information that is relevant and the consequential impact on the revenue MTFP.	Deputy Head of Finance Ongoing	<p>The Capital Strategy, presented to cabinet in December 2018, sets out the council's approach to capital investment over a longer timeframe than is traditional in the 4 year medium term financial plan. It provides a framework through which our resources, and those matched with key partners, are allocated to help meet strategic priorities.</p> <p>Underlying the Capital Strategy is the recognition that the financial resources available to meet Council priorities are constrained by a</p>	2020/21	Possible	Major	Medium	Deb Hill- Howells, Peter Davies & Cllr Phil Murphy	<p>Select Committees: Economy and Development &amp; Strong Communities</p> <p>Objectives: All</p>	
		2021/22	Likely	Major	High						2021/22	Possible	Major			Medium
		2022/23	Likely	Major	High						2022/23	Possible	Major			Medium

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	<p>future Welsh Government Band B programme.</p> <p>There remain a considerable number of pressures that sit outside of any potential to fund them within the Capital MTFP and this has significant risk associated with it. These include property and highways infrastructure, DDA work, Public rights of way etc.</p> <p>In addition to this there are various schemes/proposals (e.g. Monlife, tranche C Future schools, climate emergency response, any enhanced DFG spending etc.) that could also have a capital consequence, but in advance of quantifying those or having Member consideration of these items, they are also excluded from current capital MTFP.</p> <p>In the event of emergency pressures, resources will have to be diverted.</p> <p>Projects, such as the CCR City Deal, require significant capital investment to realise the outcomes</p> <p>There can be significant slippage in gaining capital receipts. There is a risk associated with relying on the need to utilise capital receipts in the same year that they come into the Council and the potential for this to have significant revenue pressures should receipts be delayed and temporary borrowing be required.</p> <p>The Council finalised its draft accounts for 19/20 with useable capital receipts of only £3.2m, a Council Fund balance of £8.5m and useable earmarked reserves of £6.4m (of which there is planned use that will reduce earmarked reserves to £5.4m at the end of 2020/21).</p> <p>The recent severe flooding has had a significant impact on aspects of the</p>						<p>significant reduction in financial resources.</p> <p>The strategy better reconciles resourcing with affordability and will increasingly form the Council's capital budget deliberations going forward.</p> <p>The draft outline proposed capital budget for 2020/21 and the indicative capital budgets for the three years 2021/22 to 2023/24 was presented in to Cabinet in December 2020. Future schools and other identified schemes that need to be accommodated in the capital MTFP are being developed.</p> <p>There will still remain a considerable number of pressures that sit outside of any potential to fund them within the Capital MTFP, and this has significant risk associated with it. These pressures are undergoing further review and risks are being assessed to determine whether there needs to be any further capital budget provision afforded to mitigate any significant risks requiring more immediate action. The results of this review will be reflected in the final capital budget proposals submitted to Cabinet in February 2020.</p> <p>Following the Coronavirus pandemic an assessment is also being undertaken of reserve balances and available capital receipts. Clearly this will require a review of the Council's existing reserve strategy and regard will not only need to be given to the current year situation but also to the medium and long term. Reserve balances are finite and act as only a limited buffer to fund one-off costs.</p> <p>The budget recovery plan being developed will extend to the Council's capital programme and where the Council has programmed commitments that draw on the Council's resources (prudential borrowing, capital receipts and reserves).</p>							

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		<p>Council's highways, bridge and footpath infrastructure. It is unclear as to the level of additional funding Welsh Government will make available to the recovery effort and future necessary investment in flood defences.</p> <p>The Covid-19 pandemic is likely to have a future impact on the availability of capital resources as both Welsh Government and the Council redirects funding to support the financial sustainability of the Council.</p>					<p>Further refinement of priority assessments in the property and infrastructure budgets to ensure all pressures have been considered and ranked.</p> <p>Head of Commercial and Integrated Landlord Services &amp; Head of Placemaking, Housing, Highways and Flood</p> <p>Ongoing</p>	<p>A programme of property condition surveys are currently being undertaken by external consultants, these will be used to inform prioritisation of capital maintenance spend. A programme of Health and safety surveys is currently being commissioned.</p> <p>Independent condition assessments of key highways infrastructure are completed as required depending on condition. These inform prioritisation of available capital budget.</p>							
							<p>Deliver the Asset Management Plan to manage the Council's land and property portfolio</p> <p>Head of Commercial and Integrated Landlord Services</p> <p>Timescales as per plan</p>	<p>The Asset Management strategy is being implemented and actions from the plan have been integrated into the relevant business plans for ongoing monitoring and progress reporting.</p>							
							<p>To help sustain Council Services and enhance the asset base by investing in commercial property assets in order to increase the net rental income stream for the Council in line with the asset investment policy</p> <p>Head of Commercial and Integrated Landlord Services</p> <p>Ongoing – see Asset Management strategy</p>	<p>The council has acquired two commercial investments to generate income to support Council services. Any further investments will be considered by the Investment Committee.</p> <p>Our commercial income is currently forecast close to budget, although we anticipate this being put under further strain as the year progresses. As with all investments this is being actively monitored with discussions ongoing with tenants.</p> <p>The Council is continuing to assess its commercial risk appetite and exposure and the Investment Committee will be receiving regular updates on investment performance and mitigating action being taken.</p>							
<b>5. Revised</b>	<p>Potential Risk that:</p> <p>Reduced organisational capacity, including skills and knowledge, recruitment and retention issues, and reduced staff wellbeing, will impact on our ability to</p>	<p>Our people are central to the success of our council and county. To maximise the opportunities to deliver our objectives we need to develop knowledge and skills that are not always widespread within our sector.</p>	<p>2020/21</p> <p>2021/22</p> <p>2022/23</p>	<p>Likely</p> <p>Possible</p> <p>Possible</p>	<p>Substantial</p> <p>Substantial</p> <p>Substantial</p>	<p>Medium</p> <p>Medium</p> <p>Medium</p>	<p>To implement a revised people and organisational development strategy following development of the Corporate Plan and the workforce planning arrangements required to deliver.</p>	<p>Head of People Services</p> <p>Timescales as per strategy</p>	<p>The People strategy continues to be implemented and activity has been embedded in the relevant service business plans.</p> <p>The People Strategy will be reconsidered informed by the learning from recent leadership development</p>	<p>2020/21</p> <p>2021/22</p> <p>2022/23</p>	<p>Possible</p> <p>Possible</p> <p>Possible</p>	<p>Substantial</p> <p>Substantial</p> <p>Moderate</p>	<p>Medium</p> <p>Medium</p> <p>Low</p>	<p>Tracey Harry &amp; Cllr Phil Murphy</p>	<p>Select Committee: Strong Communities</p> <p>Objectives: All</p>

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deliver organisational aims and objectives	<p>Sickness levels were an average of 11.32 days per FTE employee for 2019/20. The People strategy identifies that tools and guidance to manage and prevent sickness are not always used effectively.</p> <p>Potential detrimental impact on staff well-being from a range of factors linked to the coronavirus pandemic and delivering the Council's response. The impact on staff wellbeing will need to continue to be monitored to determine implications and to ensure staff are supported.</p> <p>The number of employees has reduced in recent years. A range of services have identified risks to their capacity for service delivery. Continuing challenges and pressures can contribute to a loss of knowledge/skills and experience.</p> <p>Some services have identified challenges with recruitment and retention in certain sectors including care support workers, home carers and engineering. Staff turnover has increased slightly in 2019/20, from 8.73% to 9.43%.</p>						<p>sessions, wider organisational learning and input.</p> <p>The update of the strategy will now need to consider the learning from the council's Coronavirus response.</p>							
		Embed workforce planning into team management processes to ensure the right skills, expertise and knowledge are available for future changes	HR lead & Training Lead	Ongoing	<p>A Recruitment and Selection policy has been developed, which prompts managers to think about apprenticeships, forward thinking and future planning, 3 to 5 years ahead.</p> <p>The Leaders Induction includes information for managers on knowing their people, understanding performance and identifying future plans.</p> <p>Work on developing the payroll and HR system has continued, and the contract for a new payroll system has been signed. Plans are on course to migrate to Microsoft Azure in November 2020.</p>									
		Embed the attendance and wellbeing policy.	Head of People Services	Ongoing	<p>The revised attendance and wellbeing policy will be reviewed as a recent internal audit identified a lack of compliance in some areas. The average number of working days lost to sickness absence per employee in 2019/20 was 11.32 days, above the Councils targeted rate of 10.5.</p> <p>Training is ongoing; there has been greater focus on the use of Department Management Teams to challenge where work is not being undertaken to promote accountability.</p> <p>It is hoped that new payroll and HR system will help by enabling prompts, e.g. absence is recorded so prompts are provided throughout the duration of the absence to ensure all steps of the process are adhered to.</p> <p>The Go To Group is proving to be successful amongst staff; feedback has identified that employees appreciate the informal nature of the group. It is being promoted at Induction and Leadership sessions. In addition to this,</p>									

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							<p>a Counselling service is available for employees to access via HR or management referral.</p> <p>A self-referral system is also available via DWP. This is an external source of support, but is being advertised to all.</p>							
					Develop the support mechanisms in the short to medium term to address the potential impacts on staff wellbeing as a result of the Covid-19 crisis.	Head of People Services  September 2020	<p>The Health and Welfare Group was established to address issues across the workforce. The weekly Digital 'cwtch' continues, along with the weekly Manager's Q&amp;A session.</p> <p>The SupportAll portal has been launched, which allows staff to access information from any device, including mobiles, on a range of subjects, such as testing, protecting homeworkers and bereavement.</p> <p>ICT accounts have been set up for 670 non-connected workers in order to allow them access to all staff information. The Digital Team are also contacting all staff to check contact details are correct and to encourage the use of all the available digital options.</p>							
					Continue to increase understanding and maximise completion of the check-in, check-out staff appraisal process and use feedback to plan and identify training needs	HR lead  Ongoing	<p>All managers have been instructed to input the completed CICO numbers into their quarterly business plan updates, and this is being monitored.</p> <p>Information has been provided via service business plan update guidance to support managers to utilise the plans to record rates of completed CICOs. Further advice continues to be provided to managers. A further QA process was planned by HR colleagues, upon completion of the Q4 (outturn) service plans, to validate and confirm the robustness and accuracy of information provided. This has been delayed during the Coronavirus response.</p>							
					Continue with perpetual recruitment and advertising for Social Care staff and implement the We Care campaign.	Transformation Lead Social Care & Health & Chief Officer Social Care & Health	The council continues to raise the profile of care work as part of a national programme called "We Care", which aims to recruit 20,000 care workers across Wales by 2030. A coordinated approach has been used							

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								September 2020	to ensure people are attracted to consider this valuable role. Recruiting staff into Social Care has many elements; each is being reviewed and developed in order to ensure systems, processes and policies align with council ethos and culture. Specific Social Care attraction, selection and retention approaches are key to establishing a sustainable workforce in order to support residents now and into the future.  Through the Coronavirus pandemic, the workforce has been monitored frequently and a Whole Authority approach to redeployment and recruitment across Monmouthshire was adopted to ensure continued service delivery. Specific recruitment campaigns are now continuing for social care roles, with particular focus on arrangements for care at home and residential services.						
<b>6. Revisited</b>	Potential risk of:  Significant harm to vulnerable children or adults due to failure of arrangements or factors outside the Council's control	Improved outcomes for vulnerable people can only be achieved and sustained when people and organisations work together to design and deliver more integrated services around people's needs.  While there are many steps the council and partners can take to mitigate the risk, significant harm can also occur due to factors that are outside our control meaning that there will always be a level of risk.  The upward trend in demand within both children's and adult's services puts services under pressure.  The COVID-19 pandemic has put families under increased strain and increases risks to vulnerable individuals at the same time as decreasing the visibility of children and adults at risk. A number of potential risks have been identified due to the Coronavirus pandemic that will need to be managed and	2020/21  2021/22  2022/23	Likely  Possible  Possible	Major  Major  Major	High  Medium  Medium	Continually monitor and evaluate process and practice and review accountability for safeguarding and implement actions identified, particularly better use of information.	Safeguarding & quality assurance service manager Ongoing	Progress against the council's safeguarding priorities is evaluated annually, last completed for 2018/19, and the priorities reflect the cornerstones for keeping people safe in Monmouthshire set out in Corporate Safeguarding Policy. Embedding and sustaining the highest standards of safeguarding is a continuous endeavour.  The Annual Safeguarding Report will be prepared for Year end 2019 and presented to Scrutiny / Council. The report will reflect the 'as is' position in respect of safeguarding activity during the COVID-19 outbreak. Data collection and collation regarding safeguarding performance information will continue in order to support this. This evaluation report forms an integral part of the improvement of safeguarding practice across the Council, and drives the work of the Whole Authority Safeguarding Group.  A safeguarding 'self-assessment' is undertaken every other year on a	2020/21  2021/22  2022/23	Possible  Possible  Possible	Major  Major  Major	Medium  Medium  Medium	Will Mclean & Julie Boothroyd. Cllr Penny Jones & Cllr Richard John	Select Committees: CYP & Adults  Objective: The best possible start in life  Lifelong well-being

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	<p>monitored as far as possible. Potential risks include:</p> <ul style="list-style-type: none"> <li>- Child welfare concerns could not be recognised or referred in to Children Services</li> <li>- Adult harm could not be seen/reported</li> <li>- Harmful behaviours, abuse and neglect, including domestic abuse, can remain hidden as a result of the lock-down</li> </ul> <p>There has been a significant volunteer response to Covid-19 pandemic, work will be required to continue to support an increased volunteer network and ensure longer term arrangements are in place including support on their safeguarding responsibilities.</p> <p>Internal audit have issued a reasonable level of assurance in an organisational report on volunteering, issued in November 2019.</p> <p>In February 2020, a Wales Audit Office follow up review on Whole Authority children’s safeguarding concluded “The Council has responded positively to our [2018] report and recognises the progress it has made against the proposals for improvement and what more it needs to do to fully address them.”</p> <p>There has been a significant increase in adult safeguarding concerns being referred to the Adult safeguarding team, and an increased Safeguarding function with the demands of the Gwent Adult Safeguarding Board, and Corporate Safeguarding. This has impacted the timescales in which the safeguarding process can be completed.</p>						<p>directorate basis via the Safeguarding Assessment Framework for Evaluation (SAFE). The key development this year, has seen directorates sharing the outcomes of their SAFEs through a work-shop approach, using real case studies from their service areas to demonstrate safeguarding in action.</p> <p>Through the pandemic, key functions of the Whole Authority Safeguarding Group (WASG) will continue, particularly around the completion and collation of the ‘SAFES’. Feedback around directorate ‘SAFES’ into the WASG will resume as soon as practical.</p>							
						Drive the strategic agenda and the associated programme of activities for safeguarding through the Whole Authority Safeguarding Group (WASG).	Chief Officer, Social Care, Health & Safeguarding Ongoing	<p>The Whole Authority Safeguarding Group (WASG) meets 6-weekly, chaired by the Statutory Director (Chief Officer) and minutes are retained. Every directorate is represented. The WASG continues to provide leadership, direction, oversight, support and challenge to strengthen safeguarding activity in the Council.</p> <p>Through the pandemic, key functions of the WASG will continue, particularly around the completion and collation of the ‘SAFES’. Feedback around directorate ‘SAFES’ into the WASG will resume as soon as practical. WASG has met virtually during the pandemic.</p> <p>A COVID-19 Safeguarding Position Statement was presented to Cabinet in June 2020.</p>						
						Ensure that robust systems are in place within the authority to respond to any concerns regarding child protection and protection of adults at risk.	Chief Officer, Social Care, Health & Safeguarding Ongoing	<p>There is a comprehensive range of mechanisms across children and adult services that allow for a robust approach to quality assurance.</p> <p>The continued upward trend in demand within both children’s and adult’s services puts services under pressure.</p> <p>The implementation of the Wales Safeguarding Procedures is being progressed.</p>						

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							<p>Through the Coronavirus pandemic Safeguarding remains an essential part of our delivery supporting adults and children in Monmouthshire. The process for receiving and responding to referrals has not changed. This includes referrals regarding allegations or concerns against adults who work with children and adults at risk. Arrangements have been adjusted, where required, different solutions have been needed to deal with situations during the pandemic.</p> <p>The volume, type and source of referrals continue to be monitored.</p>							
					As a statutory partner of the regional safeguarding boards, continue to work with other statutory partners to ensure that there are effective multi-agency safeguarding arrangements and that they are working well and share learning and development in safeguarding. Implement the recommendations and learning from any Domestic Homicide review, adult practice review or child practice review that is undertaken under the safeguarding board.	Chief Officer, Social Care, Health & Safeguarding Ongoing	<p>There continues to be full representation at all levels of the work of the regional safeguarding board and VAWDSV board. There is strong engagement in regional approaches to Multi-Agency Sexual Exploitation meeting (MASE) Child Sex Exploitation (CSE), Violence Against Women Domestic Abuse and Sexual Violence (VAWDASV) and Contest (PREVENT anti radicalisation).</p> <p>There continues to be a strong Monmouthshire engagement with regional safeguarding boards and involvement in the Strategic and Operational Safeguarding groups.</p> <p>Through the Coronavirus pandemic, where concerns are identified protective services have had to change the way that they respond and provide services this includes social care, health, education, probation and the police as well as other partner and voluntary agencies.</p>							
					Deliver the implementation plan for volunteering policy (adopted in December 2017) in all service/business areas and continued implementation of the Volunteer toolkit and organisation wide use of Volunteer Kinetic - Volunteer management system	HR Manager & Communities and Partnership Development Team Timescale as implementation plan	Monmouthshire, A County That Serves (ACTS) volunteering programme is helping to highlight and support volunteering opportunities available within the county. A volunteering toolkit and network are in place and Leading Volunteering training is delivered to staff that support volunteers.							

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						Continue to assess the volunteer response during the Covid-19 pandemic and identify learning that should be adopted and developed to support volunteers		<p>A Volunteer Kinetic digital management system is in place. This means we have a live central record of volunteer safe recruitment information and activity. The system is structured so dependent on the role the proportionate amount of safe recruitment checks are carried out and logged on the volunteers' profile, also training is logged on the system for example Safeguarding Level 1. This data is checked and reported on a quarterly basis. We have resource to support the implementation and training for our colleagues using the system.</p> <p>Service area champions have also been introduced to ensure that all current and new volunteers are recruited through the appropriate channels. In June 2019, the first Volunteering Conference was held to put volunteering at the forefront of council planning for the future.</p> <p>The COVID-19 pandemic has seen a tremendous response in relation to the mobilisation of volunteering and community groups. We established the Community Support Structure to assist people needing support being coordinated with the offers of support. The Council has worked with over 80 volunteer coordinators across more than 60 local groups with over 650 volunteers undertaking activities from delivering meals, dog walking to providing a friendly call. Some of these groups have developed quickly. Through the Enterprise Directorate the Council is making every effort to ensure that these groups, and individual volunteers, some of which have mobilised very rapidly, have the correct advice, support and guidance regarding their safeguarding responsibilities.</p> <p>Work will be required to continue to support an increased volunteer network and longer term</p>						

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							<p>arrangements will need be considered to ensure we can support our community volunteering network to provide long-term benefit to our communities.</p> <p>To implement the Action Plan established in response to the Audit Wales led review of children’s safeguarding.</p> <p>Chief Officer, Social Care, Health &amp; Safeguarding Timescale as in action plan</p> <p>Audit Wales conducted a follow up ‘light touch’ inspection that concluded the Council has responded positively to our report and recognises the progress it has made against the proposals for improvement and what more it needs to do to fully address them.</p> <p>Our evaluation of progress shows progress has been made in addressing a number of proposals. There remains further work to fully address some of the proposals including central recording and monitoring employee data regarding safeguarding training and rolling out across further service areas the matrix for self-assessment of Minimum Standards for Safeguarding Across Commissioned Services.</p>							
						Identify and implement proposals to address capacity issues specifically for adult protection	<p>Chief Officer, Social Care, Health &amp; Safeguarding</p> <p>December 2020</p> <p>A Review of Adult Safeguarding team performance and structure has demonstrated the significant increase in safeguarding concerns being referred to the department and an increased Safeguarding function with the demands of the Gwent Adult Safeguarding Board, and Corporate Safeguarding. This has impacted the timescales in which the safeguarding process can be completed and has led to recommendations in relation to structure, capacity and workload in order to meet current demand and prepare for the Wales Adult Safeguarding Procedures to be launched in November 2019.</p> <p>As part of the 2020/21 budget a pressure of £153k was identified with a supporting evidence base and business case to support the proposals related to the review of Adult Safeguarding Service, and the Wider Safeguarding Business Administration.</p>							
						Regularly assess the impacts as coronavirus restrictions change	<p>Chief Officer, Social Care,</p> <p>Through the Coronavirus pandemic Safeguarding remains an essential part</p>							

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							and social distancing continues across Adult services and children’s services.	Health & Safeguarding Ongoing	of our delivery supporting adults and children in Monmouthshire. The process for receiving and responding to referrals has not changed.  Front-door for children’s and adult’s safeguarding services remain fully operational: - Referrals continue to be made and responded to; - Referrals have not significantly reduced in number; - Safeguarding is integrated into community hubs; - The Wales Safeguarding Procedures App has been loaded onto desktops across the workforce,  The Corporate Safeguarding Policy has been updated to reflect the COVID-19 response and has been presented to Cabinet.  A virtual method of delivering Safeguarding Level 1 has been developed and is being implemented.  The volume, type and source of referrals continue to be monitored for any changes as coronavirus restrictions ease.						
7.	The potential risk to:  The robust delivery of the Council’s corporate parenting responsibility and services related to safeguarding vulnerable children as a result of an increase in demand and complexity in cases in Children’s services.	The number of children on the child protection register increased substantially in 2018/19 from 73 to 116 at March 2019. At the end of March 2020 112 children were on the child protection register, although this is a slight decrease this is still significantly more than recent years.  The number of looked after children has increased significantly from 173 at the end of 2018/19 to 219 at the end of March 2020 continuing the upward trend in recent years.  The 2019/20 net budget for Children Services is £11.9m, over half of which relates to looked after	2020/21  2021/22  2022/23	Possible  Possible  Possible	Major  Major  Major	Medium  Medium  Medium	Continue to review and evaluate performance of Early Help and Family Support service.  Continue to review and embedded MyST, a Multi-disciplinary Intensive Therapeutic Fostering Service and assess impact on placement activity with children with complex needs.  Continue to implement the fostering strategy on the recruitment, retention and skills development of in house fostering.	Head of Children’s services  March 2021	There has been a real focus in the last year in Children’s Services to implement a co-ordinated approach to early intervention and prevention. Early help and support services are developing well. The service has continued to respond to the demand pressure, expanding and developing services particularly through the family support offer so that the right help is provided at the right level of intensity. Early evaluation of our family support services indicates clear and positive outcomes for families (for example our Achieving Change team is currently working with 50 plus children on the ‘edge of care’ to enable them to remain living safely with their parents).	2020/21  2021/22  2022/23	Possible  Possible  Possible	Major  Major  Major	Medium  Medium  Medium	Julie Boothroyd & Cllr Penny Jones	Select Committee: Children & Young people  Objective: The best possible start in life

Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
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	<p>children, in particular, placements for looked after children. At outturn 2019/20 Children's Services are forecasting a £3.280M overspend, with a significant increase in demand with Looked After Children. With the increased demand comes added pressures on other services such as legal and transport provision, contact and staffing, with extended reliance on agency staffing as a consequence.</p> <p>A number of potential risks have been identified due to the Coronavirus pandemic that will need to be managed and monitored as far as possible:</p> <ul style="list-style-type: none"> <li>- Operational changes in the way that services are delivered as a result of COVID-19 with a reduction in 'direct' (physical) contact.</li> <li>-Possible increase in referrals and impact of any delays in operations affecting capacity issues</li> <li>-A possible increase in court based casework when lockdown ends.</li> <li>-Increase in some spend areas to support certain areas of risk</li> <li>-Possible disruption to Foster placements and/or carer recruitment.</li> <li>-Possible refusal and potential shrinking of carer pool. Due to 'virtual' meetings, there is likely to be a slowing up of applicants, this will have a knock on effect on our fostering population</li> </ul>						<p>We have collaborated with Blaenau Gwent and implemented the MYST service, a Multi-disciplinary Intensive Therapeutic Fostering Service for Looked After Children and Young People, which will help to support children with complex needs within a foster care setting.</p> <p>Monmouthshire is aiming to attract more foster carers to offer placements to looked after children. Active campaigns are being run to increase the rates of in house foster carers, including the 20 for 20 reasons to foster. The increasing number of looked after children means that demand remains high and therefore recruitment campaigns are continuing. Further fostering campaigns have now recommenced during the coronavirus pandemic.</p> <p>The impact of the coronavirus pandemic on the possible disruption to Foster placements and/or carer recruitment continues to be monitored.</p>							
						Implement next phase of children's services development programme focused on achieving the best outcomes for children and families.	Head of Children's services April 2021	Children Services have completed a 3 year improvement programme (2016-2019) which concentrated on, securing stability in the workforce, developing a delivery model of practice, commissioning and service critical issues, the service is now moving onto a further 2 year programme (2019-2021). The focus will be on practice development and will shape the way we work with families over the next number of years. The importance of relationships and how we work with families to support their strengths, manage risks and achieve good enough outcomes will be key indicators of success.						

Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
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						<p>Regularly assess the impacts as coronavirus restrictions change and social distancing continues across children's services.</p>	<p>Chief Officer, Social Care, Health &amp; Safeguarding &amp; Head of Children's Services Ongoing</p>	<p>Child services are priority services and remain fully operational.</p> <p>The process for receiving and responding to safeguarding referrals has not changed.</p> <p>Risk assessments will be undertaken where any direct working / home visiting is required to follow up on child protection concerns, or to provide interim safeguards as part of a care and support plan. Some direct work may be undertaken virtually or using social distancing methods</p> <p>The impact of the lock-down has meant that harmful behaviours, abuse and neglect can remain hidden. The potential risk that Child welfare concerns are not recognised or referred in to Children Services continues to be monitored.</p>						
						<p>Review and monitor the Looked after Children population rises in line with Welsh Government expectations</p>	<p>Head of Children's services As per plan provided to WG.</p>	<p>The number of looked after children has increased significantly from 173 at the end of 2018/19 to 219 at the end of March 2020 continuing the upward trend in recent years.</p> <p>Whilst we develop interventions to address early identification, and manage appropriately pre- and post-statutory intervention with families, the growing numbers mean that services are under pressure. Work is underway to maximise the opportunities to reduce the current trends, Welsh Government recently carried out a Looked after Children's review across Wales. As part of this we have submitted plans to reduce the numbers of children being looked after. This relies heavily on all parts of the system being geared to support the plans for reduction.</p> <p>Over the next year as well as continuing to embed preventative services, the family support offer has been expanded to ensure that children are equally supported to leave care safely.</p>						

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8. revised	<p>Potential Risk of:</p> <p>Failing to meet the needs of learners, including vulnerable learners, and failing to promote pupil well-being within Monmouthshire's schools, which may result in children and young people not achieving their full potential.</p> <p>Failing to adapt to changes in the new curriculum and examination requirements.</p>	<p>Meeting the needs of vulnerable learners remains a priority. The gap in attainment between those not eligible and those eligible for Free School Meals (FSM) remains a concern.</p> <p>There is variation in standards across schools, with some schools judged by Estyn to be only adequate or unsatisfactory, and some schools remain in amber support categories.</p> <p>Poor leadership, management, capacity and performance has been identified in some schools.</p> <p>There are challenges in meeting the demand for Welsh Medium education provision in the future.</p> <p>There is an increasing demand for additional support for children with additional learning needs.</p> <p>The Monmouthshire PSB well-being plan recognises the importance of greater support for the well-being of children and young people. Students' responses to the 2017/18 School Health Research Network Student Health and Wellbeing Survey shows there are areas where students' well-being can be further supported.</p> <p>A number of potential risks have been identified due to the Coronavirus pandemic that will need to be managed and mitigated as far as possible:</p> <ul style="list-style-type: none"> <li>- Children who require additional support or are vulnerable are not able to access support in a known and supportive environment.</li> <li>- The ability of all our learners to keep learning and developing</li> <li>- Planning for learners' transition back into school and onto the next phase of their learning when the time comes.</li> </ul>	2020/21	Likely	Major	High	<p>Ensure the commissioned arrangements with the Education Achievement Service (EAS) address the authority's concerns in challenging and supporting schools</p>	EAS & MCC Ongoing	<p>EAS continue to provide ongoing challenge, monitoring and evaluation work in schools with a continued focus on vulnerable learners.</p> <p>From our agreed work with the EAS, we will:</p> <ul style="list-style-type: none"> <li>• Strengthen leadership and teaching and learning capacity in identified schools to ensure that all pupils make appropriate progress from their starting points.</li> <li>• Improve the outcomes for all vulnerable learners, particularly those eFSM, at the secondary stages (key stages 3 and 4) and at the higher levels.</li> <li>• Reduce variance in outcomes between schools and departments particularly at key stage 4.</li> <li>• Work with all stakeholders to develop effective mechanisms to help reduce the amount of exclusions.</li> </ul>	2020/21	Likely	Major	High	Will Mclean & Cllr Richard John	<p>Select Committees: CYP</p> <p>Objective: The best possible start in life</p>
			2021/22	Likely	Major	High				2021/22	Possible	Major	Medium		
							<p>Continue to work closely with our primary schools to ensure that they are maximising the learning opportunities provided by the EAS and the professional learning offer around the development of the new curriculum.</p> <p>Work closely with our secondary schools to ensure they meet the needs of a full range of learners.</p>	EAS & MCC Ongoing	<p>MCC and EAS to continue to work with schools in ensuring that they are preparing for the new curriculum and meeting the needs of students. EAS continue to monitor where schools progress and where they may need additional support.</p> <p>EPS and Healthy schools will provide advice and support to practitioners to support the well-being of children and young people impacted by COVID -19</p> <p>Schools will prioritise the wellbeing of all pupils as a pre-requisite for effective learning. This will include the development of a flexible approach to curriculum delivery, suitable for use in a range of contexts, and additional support to close the gap, recover and raise standards for priority groups.</p> <p>Schools will assess pupils on return in September to identify the support needed for pupils to continue to make meaningful progress.</p>						

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	<p>- Physical and mental health and well-being impact of all our learners could be a continuing risk factor</p> <p>Estyn's report into Local Government Education Services in Monmouthshire County Council was published in April 2020. The report concluded that the authority's education service does not give cause for significant concern. There are four recommendations for development:</p> <ul style="list-style-type: none"> <li>- Improve outcomes for pupils eligible for free school meals</li> <li>Further strengthen the focus on increasing the number of pupils achieving excellent standards</li> <li>- Articulate a clear strategy for SEN provision</li> <li>- Strengthen the use of information gathered through self-evaluation to better inform improvement planning</li> </ul>						<p>In 2020 and 2021, qualification awards data will not be used to report on attainment outcomes at Local Authority or school level. In response, secondary schools will review their approach to learning, including the number of qualifications that are reasonable for each learner to take.</p>							
						Continue to improve the quality of self-evaluation in the CYP directorate.	Chief Officer Children & Young People Ongoing	<p>The Chief Officer Report for Children and Young People was presented to Council in June 2020. The report informed Council of the progress that the education system made in the previous twelve months since the last report. This is an ongoing annual report.</p> <p>Estyn Local Authority Link Inspection visits continue and the authority was inspected in February 2020. The report concluded that the authority's education service does not give cause for significant concern. There are four recommendations for development including strengthening the use of information gathered through self-evaluation to better inform improvement planning</p>						
						Develop and implement plans to address the recommendations in Estyn's report into Local Government Education Services	EAS & MCC Ongoing	<p>These recommendations are clear and align to the authority's own self-evaluation. They will be the key focus of activity through the next period and will be captured and reflected in the service improvement plans and the Chief Officer's report. There is much work ongoing in these areas but it is recognised that this needs to be sharper and needs to better articulate the impact changes are expected to have. Colleagues in the directorate and in the EAS are developing further detail required by these plans.</p>						
						Deliver the Welsh Education Strategic Plan in collaboration with neighbouring authorities	Head of Achievement and Attainment Timescales as per WESP	<p>The Welsh in Education Strategic Plan (WESP) was developed in consultation with Welsh Government and the Monmouthshire Welsh Medium Education Forum and was subject to further consultation with stakeholders.</p> <p>The WESP has been approved by Welsh Government and an Action Plan is in place and progress will be</p>						

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							monitored by Local Authority and Welsh Medium Forum.							
						Ensure that the Additional Learning Needs review delivers sustainable, adequate and appropriate support to pupils with Additional Learning Needs	Head of Achievement and Attainment September 2020	<p>The statutory consultation process on a proposed new model for the delivery of ALN and Inclusion Services was completed. In December 2018, Cabinet agreed to the implementation of a number of regulated alternations from 29th April 2019. These included changes to the type and capacity of provision to Special Need Resource Bases in specified schools.</p> <p>From September 2019, the extended ‘in-reach’ services by the Pupil Referral Unit has provided significant additional resource to challenging behaviour in schools, supporting vulnerable learners and forms a key part of the graduated response to behaviour in our schools.</p> <p>In January 2020, a report was presented to Cabinet to conclude the statutory process relating to the proposed closure of Mounton House Special School. Members agreed to the closure of Mounton House with effect from 31st August 2020.</p>						
						Work with PSB partners, through the Children & Young People Strategic Partnership, to deliver the steps in the PSB well-being plan related to focusing on children & young people’s well-being and supporting their mental health and emotional wellbeing.	Chief Officer Children & Young People Timescales as in developing PSB delivery plan	<p>The Monmouthshire Public Service Board has prioritised the step in its well-being plan. The Children and Young People’s Strategic Partnership is being developed to bring key partners together to lead on the delivery plan.</p> <p>The Council continues to work on the Public Service Board well-being plan step on Adverse Childhood Experiences (ACEs). The response to this in Monmouthshire involves an understanding of the impact of ACE’s within our communities, and coordination with a range of partners, to develop a long-term approach to prevention, taking account of the complexity of issues involved.</p>						

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							In response to the Covid-19 pandemic:  Develop the offer for children who require additional support or are vulnerable  Deliver a distance learning offer to learners and continue to establish digital learning technologies and approaches  Plan for learners' transition back into school and onto the next phase of their learning.	EAS & MCC Ongoing	The significant time away from school will have affected the learning trajectory of many learners. This is not likely to be a uniform impact, with disadvantaged pupils likely to be impacted upon more significantly.  A weekly multi-agency Stable Lives and Brighter Futures meeting has been established to discuss and review support and provision for vulnerable pupils. This will ensure that identified pupils are regularly monitored, and provision is flexible to meet needs.  Schools were successfully reopened on 29 June 2020, offering a reduced timetable as part of Check in, Catch up and prepare for all pupils who wished to attend. This programme ran for three weeks, when schools closed for the summer holidays.  Following an announcement by the Welsh Education minister, plans are now underway to prepare for the full reopening of all Monmouthshire schools by 14th September.						
<b>9. revised</b>	Potential risk of:  Loss or corruption of data due to cyber-attack or data mismanagement which will compromise the delivery of essential council services.	There are a number of high profile cases across both public and private organisations where cyber-attacks and data breaches have compromised service delivery and financial loss. This can also affect safeguarding of our vulnerable people in communities.  Aside from physical security, there is evidence that cyber security risks are introduced via a workforce that is unaware of information management, information governance and cyber security through their personal actions.  There is a risk of cyber security being compromised through a lack of	2020/21  2021/22  2022/23	Possible  Possible  Possible	Major  Major  Major	Medium  Medium  Medium	Undertake a structured and comprehensive training programme for all staff on cyber security, information management and GDPR. Incorporate specific cyber-crime training into the Data Protection Training	Cyber security service  Ongoing	The Digital Programme Office has appointed a Digital Trainer to produce focussed e-learning modules and targeted team training. Cyber security training sessions are being delivered via face to face and e-learning sessions. This training was intended to be mandatory from April 2020 but this has been delayed due to the Coronavirus response.  The network of Digital Champions is regularly being upskilled in cyber threat awareness through regular Digi champion's workshops and meetings. Cyber security training has been incorporated into induction and specific cyber security awareness raising has been held through a 'cyber security awareness week'.	2020/21  2021/22  2022/23	Possible  Possible  Possible	Major  Major  Major	Medium  Medium  Medium	Sian Hayward & Tracey Harry. Cllr Phil Murphy	Select Committee: Economy and Development  Objective: All

Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
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	<p>structured governance arrangements and planning.</p> <p>There is evidence that incomplete, inaccurate and unstructured digital data will inhibit accurate data analysis, compromise decision making and ultimately compromise service delivery, service efficiency and budget management.</p> <p>The Covid-19 pandemic has increased the reliance on and use of digital technology and communication. Infrastructure has been set up and practice changed rapidly. This will need to be closely monitored to ensure robust systems are in place to protect data and to ensure all staff and systems are equipped to manage this.</p>					<p>Continuous monitoring of cyber threat and mitigation by the security team and the DPO identifying technical solutions to potential risk areas.</p> <p>Implement the Information Strategy to safeguard the integrity and security of our data while taking-steps towards becoming a data-led organisation.</p> <p>Introduce a comprehensive digital EDRMS into the authority ensuring data is categorized, tagged, and stored with appropriate retention guidelines applied.</p> <p>Develop a rigorous approach to data governance policies, ensuring that our data is structured and clean in order to aid BI, RPI and AI.</p>	<p>Digital Projects Team</p> <p>Ongoing</p> <p>Information Governance Group</p> <p>Ongoing</p> <p>Head of Digital</p> <p>December 2020</p> <p>Head of Digital</p> <p>Ongoing</p>	<p>A cyber security service shared between Gwent Police, TCBC and MCC has been commissioned, which acts as an audit function of our technical arrangements, as well as providing training and advice on data security issues. This service also deals with MCC's PSN and the SRS ISO accreditation; PSN accreditation has now been achieved.</p> <p>This service has operated throughout the covid-19 pandemic and has not dropped its focus on cyber security. A separate operational risk register has been opened during Covid to mitigate against Covid-related threats. This is monitored by the security service on a monthly basis.</p> <p>The Information Strategy was reviewed and updated in October 2017 to cover the 3 inter-related strands of – Digital Information, Information Governance and Legislation &amp; Data use, Open Data and Business Intelligence. The strategy continues to be implemented with oversight from the Information Governance group.</p> <p>The strategy will be reviewed in August 2020.</p> <p>An officer has been appointed to manage the MS suite of products, starting with SharePoint online. Implementation started in January 2020 with a programme to transfer all data and information off unmanaged network drives onto a managed and structured EDRMS that's available 24/7 to authorised personnel. There is now a structured rollout plan agreed by SLT and in conjunction with the rollout of Teams functionality</p> <p>Detailed guidance on systems administrators' roles and responsibilities has been issued, including information regarding the need for business continuity plans and a requirement to develop and upgrade systems as soon as notified.</p>						

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							Make use of the security features within O365 licencing to protect mobile devices and information sharing		Licencing arrangements have incorporated Multi Factor Authentication for mobile devices.  New licencing being introduced in December 2020 will incorporate a seamless mobile device management solution. Licencing will also bring in enhanced security for file sharing and working with new secure communications technology via 'Teams'.						
<b>10a. revised</b>	<p>Potential Risk of:</p> <p>A lack of appropriate infrastructure, including affordable housing, in the County to meet future needs arising due to the County's changing demography and weak economic base, external changes such as removal of the Severn Bridge tolls, and as a result of the growth of the County as set out in the emerging Replacement Local Development Plan (RLDP).</p> <p><i>ICT infrastructure is also important to meet future needs and this has been identified as a specific related risk below (risk 10b)</i></p>	<p>Several key LDP policy indicator targets and monitoring outcomes relating to housing provision are not currently being achieved, including new dwelling completions and affordable dwelling completions.</p> <p>There is a need to consider the Council's future vision and the extent to which the current LDP and RLDP aligns with that, and the impact on wider infrastructure planning, such as transport, which could affect future economic, social, environmental and cultural well-being.</p> <p>The impact of the Covid-19 pandemic may cause a delay in progress of the Local Development Plan, both internally and where external factors impact upon it. The current LDP runs until 31st December 2021; in legislative provision, this is referred to as the 'drop dead date'. Liaison is being undertaken with Welsh Government on the drop dead date in light of the delays that COVID-19 has put on the preparation of Replacement LDPs. If the drop dead date remains in place, there is a significant risk that the County will not be able to adequately support sustainable forms of development that could benefit the prosperity of the County, and it could potentially result in undesirable forms of development achieving planning consent.</p>	2020/21	Possible	Major	Medium	Prepare a replacement LDP to address the county's issues/challenges, including in relation to the provision of housing (market and affordable) and employment opportunities, and to facilitate the identification and allocation of additional housing land and appropriate employment land, with associated infrastructure.	Head of Placemaking, Housing, Highways and Flood	<p>Welsh Government agreed a revised Delivery Agreement for the RLDP on 6<sup>th</sup> March 2020. However, the Delivery Agreement now needs further revision to reflect the delays incurred as a result of the current pandemic.</p> <p>Work on the RLDP has commenced, and has reached the Preferred Strategy stage of the Plan process, with public consultation and engagement on the Preferred Strategy, along with the second call for candidate sites, having commenced on 9th March 2020. As a result of the circumstances surrounding COVID-19, the decision was taken on 17th March 2020 to postpone the RLDP Preferred Strategy engagement events until further notice and to keep open, with an extended deadline, both the Preferred Strategy consultation period and the second call for candidate sites.</p> <p>The Minister for Housing and Local Government issued a letter on 7th July 2020 requesting that all local planning authorities undertake an assessment of the RLDP evidence base, strategy and policies to assess the consequences the current pandemic before progressing with plan preparation.</p> <p>A review of the RLDP issues, vision and objectives, in light of COVID-19, was undertaken and endorsed by Cabinet on 17th June 2020, and demonstrated that the plan's strategic direction of travel remained relevant. However, in</p>	2020/21	Possible	Major	Medium	Mark Hand and Cllr Bob Greenland	<p>Select Committee: Economy and Development</p> <p>Objective: Thriving and well-connected county</p>
			2021/22	Likely	Major	High		Head of Planning		2021/22	Likely	Major	High		
			2022/23	Likely	Major	High		Ongoing		2022/23	Unlikely	Substantial	Low		

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								<p>accordance with the Minister for Housing and Local Government letter, the Council intends to undertake a further assessment to determine whether the evidence base remains relevant and appropriate to address the County's issues, or whether any amendments/updates are required.</p> <p>Candidate site submissions will not be accepted whilst this review is underway. The Revised Delivery Agreement will set out an updated timetable for future key stages of plan preparation, including the revised commencement date for the Preferred Strategy consultation and closing date for the second call for candidate sites.</p> <p>Liaison is being undertaken with Welsh Government/Minister for Housing and Local Government on reviewing and removing the 'drop dead date' in light of the delays that COVID-19 has put on the preparation of Replacement LDPs. RLDP adoption is likely to be end of 2022, which could mean that council is without a local planning policy framework for approximately 12 months if the 'drop dead' legislation remains in place.</p>							
10b. revised	Potential Risk that:  Insufficient broadband infrastructure and a lack of digital skills in the county have the potential to lead to social and economic disadvantages	Although the majority of premises now have access to superfast broadband, there are pockets of digital deprivation with around 13% of premises still without sufficient broadband provision. Monmouthshire residents have high demand for broadband services, however, a significant skills issue exists in the County with approximately 20% adults in Monmouthshire not using the internet.  The Covid-19 pandemic has seen a wide scale increase in the use of digital technology. In areas where broadband infrastructure is insufficient or for people who do not have digital skills this may amplify	2020/21	Likely	Substantial	Medium	Continue to collaborate with the Superfast Business Wales team to support their ICT Exploitation programme.	Head of Enterprise & Community Animation  Ongoing	The Council continues to be one of the three local authorities represented on the Superfast ICT Exploitation Panel.	2020/21	Likely	Substantial	Medium	Cath Fallon & Cllr Sara Jones	Select Committee: Economy and Development  Objectives: Thriving and well-connected county
			2021/22	Likely	Substantial	Medium				2021/22	Likely	Substantial	Medium		
			2022/23	Likely	Substantial	Medium	Enable the rollout and exploitation of high-speed broadband across the County for both businesses and communities.	Head of Enterprise & Community Animation  Ongoing	The Council has continued to work with Welsh Government to support access to Superfast Cymru and is one of the rural local authorities represented on the newly formed Wales Digital Infrastructure Group. Welsh Government have targeted 1580 premises under Superfast Cymru 2 for Monmouthshire, all to be fibre to the premise.  Promotion of the Access Broadband Cymru scheme for areas outside the superfast Cymru roll out area	2022/23	Possible	Moderate	Low		

Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
		Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
	<p>the potential social and economic impact of the pandemic.</p> <p>The pandemic has amplified the need for Good quality digital infrastructure and connectivity, including for the Council with many of the Council's services moving to an on-line digital platform</p> <p>Due to the pandemic and the preceding flooding that took place in November 2019 and February 2020, digital infrastructure works have been slow to move forward in the county and the digital deprivation rate still stands at 12.5%.</p> <p>Monmouthshire still has 8,000 premises in the county with poor broadband.</p>					<p>Benefit from the learning associated with the programme to trial the use of 5G technology.</p>	<p>Rural Programmes Manager, Ongoing</p>	<p>continues, in addition to the BDUK operated gigabit voucher scheme.</p> <p>Delivery of the second Rural Community Development Fund broadband deployment project was completed March 2020 with an additional 550 premises having access to the new network.</p> <p>Monmouthshire was one of three locations benefitting from the learning associated with a £2m DCMS fund programme to trial the use of 5G technology acting as a testbed to bring world-class digital infrastructure to Monmouthshire. The project provided one village, Llanddewi Rhydderch, with gigabit speeds.</p> <p>On 20th February 2020, the Council received notice of the approval of CoCoRE, a 5G testbed in South East Wales to connect rural communities across Monmouthshire and semi-urban communities in Blaenau Gwent, subsequently a report was presented to Cabinet on the 4th March 2020. As a partner, the Council will be involved in developing test cases for the use of 5G in:</p> <ul style="list-style-type: none"> <li>Tourism: Scalable AR Experience for a Sensitive Site and Preservation &amp; Safety specifically at Raglan Castle; and</li> <li>Diverse Rural Economy: Farms Security &amp; Safety and Farmer Mental Wellbeing &amp; Isolation</li> </ul>						
						<p>Implement the digital infrastructure action plan.</p>	<p>Head of Enterprise &amp; Community Development</p> <p>Timescales as per action plan</p>	<p>Cabinet approved the Digital Infrastructure Action Plan in September 2019. The plan identifies opportunities to address the issue of 13% of premises not having next generation access to broadband.</p> <p>An update on activity following approval of the Digital Infrastructure Action Plan is being presented to cabinet in July 2020.</p> <p>Due to the pandemic and the preceding flooding that took place in November 2019 and February 2020,</p>						

	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
								<p>digital infrastructure works have been slow to move forward in the county and the digital deprivation rate still stands at 12.5%.</p> <p>Monmouthshire still has 8,000 premises in the county with poor broadband. Of these, 2211 are under review, which include the Superfast Cymru 1581 target FTTP premises and the two RCDF grant projects. 5855 premises are still considered as ‘no potential suppliers available’.</p> <p>Whilst progress to date has been slow, future planned activity will start to reduce the County’s digital deprivation rates.</p>							
11.	<p>Potential Risk of:</p> <p>Political, legislative and financial uncertainty for council services and local businesses as a result of the UK leaving the European Union</p>	<p>The Withdrawal Agreement Bill has been enacted taking the United Kingdom out of the European Union on 31<sup>st</sup> January, the UK is in a transition period after leaving the EU until 31 December 2020. During this time, the future UK-EU relationship will be negotiated and agreed. While these negotiations continue there remains uncertainty on future arrangements.</p> <p>The UK Government has stated that the transition period for the negotiation of the future UK-EU relationship will not be impacted by the Covid-19 pandemic, this will need to be monitored.</p> <p>The areas where there are potential risks for the council include:</p> <ul style="list-style-type: none"> <li>- Disruption to the Council’s supply chain (in particular Food Supply)</li> <li>- Threat to EU funded projects/lack of clarity over future funding streams;</li> <li>- Financial implications on budgets due to increased costs in relation to supply chain</li> </ul>	2020/21	Almost Certain	substantial	High	Continue to further develop understanding and coordinate preparations through the Council Brexit working group	<p>Chief Officer Enterprise and Head of Enterprise and Community Animation</p> <p>Ongoing</p>	<p>Many of the negotiations on Britain leaving the EU are outside of the council’s control, given this and remaining uncertainty the post mitigation risk levels have not been assessed to change.</p> <p>A council Brexit working group has been established which is being led by the Chief Officer for Enterprise. The group consists of a range of services most likely to be affected, including Environmental health, social care and People services. A specific Brexit risk register has been established. The group will continue to monitor any impacts and the transition.</p> <p>A Brexit getting ready webpage providing information for residents and businesses has been established, information has also been shared on social media.</p> <p>Service level planning has continued and business continuity mitigation strategies for services to consider/implement developed.</p> <p>Close working with and support from the WLGA has continued</p>	2020/21	Almost Certain	substantial	High	Senior Leadership Team & Cabinet	<p>Select Committee: Economy and Development &amp; Strong Communities</p> <p>Objectives: All</p>
			2021/22	Almost Certain	substantial	High				2021/22	Almost Certain	substantial	High		
			2022/23	Likely	substantial	Medium				2022/23	Likely	substantial	Medium		

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			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
		<p>directly attributed to Brexit and continued austerity measures</p> <ul style="list-style-type: none"> <li>- Potential rise in social conflict and hostility - social cohesion</li> <li>- Medication / medical needs could be disrupted</li> <li>- Impact on construction projects including 21st Century Schools projects due to availability of skilled trade and supplies</li> <li>- Impact on the agricultural sector and wider rural economy which could have further consequences upon the Animal Welfare and Public Protection service</li> </ul>					<p>Continue to refine and update the Medium Term Financial Planning model and assumptions for future service budgets.</p>	<p>Chief Officer Resources</p> <p>Ongoing</p>	<p>The Council has an established Medium Term financial plan to model financial assumptions and scenarios for planning future service budgets, which will continue to be updated.</p> <p>The coronavirus pandemic has accentuated the financial challenges the council was already facing. Understanding the current financial circumstances and challenges resulting from the COVID-19 pandemic will in turn lead the Council to need to plan and plot a revised course to ensure it remains financially sustainable into the future.</p>						
							<p>Continued liaison and work with partners such as Welsh Government, WLGA and treasury advisers to understand and plan for any implications for the Council.</p>	<p>Senior Leadership Team</p> <p>Ongoing</p>	<p>The Council has established working relationships with key partners, such as the Welsh Government, the WLGA and treasury advisers to work with in understanding and planning for any potential risk to Council services. We are engaged with partners on the Gwent Local Resilience Forum Risk Group.</p> <p>£46k was awarded to LA's to assist in undertaking the necessary planning, co-ordination and preparation for COVID-19 and ongoing EU transition and negotiations.</p> <p>Welsh Government funded Community Cohesion grant has also been used to appoint a Community Cohesion Officer until 2021/22. The purpose of the role is to identify and support EU citizens living and working in Monmouthshire and to help them apply for settled status, understand their rights and also to mitigate and report any incidences of hate crime or community tension.</p>						
12.	<p>Potential risk that:</p> <p>The authority cannot deliver its services due to potential internal/external factors resulting in service disruption due to lack of Business Continuity planning.</p>	<p>Due to a variety of threats/hazards, unforeseen circumstances can lead to service disruption issues resulting in loss of ICT, Staff, work premises, third party contractors/suppliers and equipment/specific resources.</p> <p>There is a lack of evidence of the council's Service Business Continuity</p>	2020/21	Possible	Major	Medium	<p>Development of MCC Service Area BCM Plans which present options for alternative service delivery – regardless of the reason / cause of disruption.</p>	<p>Emergency Planning Manager &amp; Heads of Service</p>	<p>Emergency Planning has developed a list of priority services, which is reviewed every two years. BCM Plan frameworks have been developed for Service Managers to follow and to assist in developing specific service BCM Plans. More awareness sessions have been completed, particularly in light of Brexit. Despite this, Internal</p>	2020/21	Possible	Major	Medium	<p>Peter Davies &amp; Cllr Phil Murphy</p>	<p>Select Committee: Economy and Development &amp; Strong Communities</p> <p>Objectives: All</p>
			2021/22	Possible	Major	Medium				2021/22	Possible	Major	Medium		
			2022/23	Possible	Major	Medium	<p>The Emergency Planning Service, based on Business Impact Criteria, produce a Register of</p>	<p>Ongoing</p>		2022/23	Possible	Major	Medium		

	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
		<p>Management (BCM) Plans illustrating how such threats/hazards can be mitigated robustly</p> <p>The Covid-19 pandemic has seen many areas of the council adopting their Business Continuity strategies as part of the Council’s response; the learning from the response will need to be reviewed in light of the pandemic to determine where improvements can be made.</p>					Priority Services identified as P1, P2, P3 and P4. The focus in the next 12 months will be P1 services; year 2 will be P2 services and year 3 P3 & P4 services.		<p>Audit have reviewed business continuity preparedness and a draft report indicates that service managers still need to develop their business continuity plans.</p> <p>The forecasted risk level will not be reduced until service BCM plans are validated/exercised, which is longer than the three-year strategic risk assessment.</p> <p>There has been considerable focus on the Business Continuity strategies and alternative methods of service delivery since the beginning of the Covid-19 pandemic. Limited work has been undertaken to update business continuity plans and, in areas where these were deemed to be lacking, strategies and dynamic changes to service delivery have been implemented as a matter of urgency.</p>						
13.	Potential risk to:  Communities and public service delivery in Monmouthshire due to Global climate changes could impact on the future social, economic, environmental and cultural well-being in the County	<p>Tackling climate change and moving to a low carbon economy is one of the biggest challenges facing our society. Rising temperatures bring increased risks to our communities and are causing long-term and potentially irreversible damage to our planet’s eco-systems, with significant local impacts such as flooding and loss of species.</p> <p>If we are to stand a chance of slowing the rise in the Earth’s temperature we need to act now. Earlier this year, councillors in Monmouthshire were unanimous in declaring a climate emergency. The council will strive to reduce its own emissions and work with communities and local businesses to help them reduce their emissions. This will require engagement, community involvement and commitments from third parties.</p> <p>When considering climate change, it is important to consider both how Monmouthshire is contributing to climate change, but also how</p>	2020/21	Almost certain	Major	High	Deliver the Monmouthshire County Council Climate Emergency Strategy	Head of Policy and Governance  Timescales as per strategy	<p>In October 2019, Council received the report to set out Monmouthshire’s strategy and action plan to respond to the Climate Emergency declared by Council in May 2019. The strategy describes the objectives and actions in place to reduce the council’s carbon emissions.</p> <p>Council approved the ten objectives within the plan, which cover the areas of activity that the council will need to focus on to achieve its goal of reducing carbon emissions to net zero by 2030.</p> <p>Council endorsed the action plan, agreeing that this will be an evolving document as new technologies develop and other opportunities arise.</p> <p>A member-led Climate Emergency working group, chaired by the cabinet member with representatives from all political groups, relevant officers and members of the community, has been established to take responsibility for ensuring the action plan continues to progress. The working group met for the first time in January and has used</p>	2020/21	Almost certain	Major	High	Senior Leadership Team & Cllr Jane Pratt	<p>Select Committee: Strong Communities</p> <p>Objectives: Maximise the potential of the natural and built environment</p>
			2021/22	Almost certain	Major	High				2021/22	Almost certain	Major	High		
			2022/23	Almost certain	Major	High				2022/23	Almost certain	Major	High		

Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
		Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
	resilient is the county to the likely impacts of climate change. Flooding along with other extreme weather, can cause significant impacts on infrastructure, homes and businesses along with disruption to business, community life and public services, particularly critical public services people rely on such as care services.						<p>technology to continue meetings during the Coronavirus lockdown. There is clear progress against 53 of the 68 actions.</p> <p>It is clear that COVID-19 has caused some delays to progressing some of our Climate Emergency aspirations, and created some uncertainty over funding. The pandemic is likely to impact on economic, social, environmental and cultural well-being of the County. There is a need to continue to understand the impact and adapt/develop the strategy accordingly. For example, we have seen changes to the way we work, the amount we travel, how we manage greenspaces and promote active travel.</p> <p>There is also a growing recognition nationally and internationally of the need to build climate change into a green recovery.</p>							
					Prepare and adapt for the impact of climate change.	Senior Leadership Team  Ongoing	<p>There are lots of things that the council is doing to make sure that we are prepared for the impacts of climate change. In recent years, council services have thought about what the potential risks to their services are, in order to start thinking about how to adapt to these risks. The Local Development Plan has a key role to play in making sure that our communities are sustainable and resilient to the impacts of climate change.</p> <p>Much of the work to co-ordinate emergency responses is organised through the Gwent Local Resilience Forum (LRF). We will continue to work with partners on the LRF to make sure that we are prepared for severe weather events.</p> <p>Severe flooding in winter 2020 has caused considerable damage to homes and networks in certain areas of the county. Work is continuing to repair this damage, although some of these</p>							

	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
								efforts have been hindered by the Covid-19 pandemic. The impact of the floods continues to be reviewed and any potential mitigations identified.							
14.	Potential risk that:  Declining recycling rates will prevent achievement of the Welsh Government target of 70% recycling rates throughout Wales.	<p>Monmouthshire’s recycling rate peaked in 2016 at 67% and there has been a slow but steady decline in performance since then. The recycling rate for 2018/19 was 63.37%, and the provisional recycling rate for 2019/20 is 65.56%, above the national target of 64%. Performance needs to improve in this area to ensure recycling rates increase going forward.</p> <p>Monmouthshire tries to ensure that focus is given to reducing waste production wherever possible, with campaigns to reduce food waste and single use plastics, and use of returnable milk bottles. However, these campaigns can have a negative impact on recycling rates. It is likely that public awareness of climate change will continue to see a reduction in the available material for recycling.</p> <p>Reduced expenditure at national and local government level on promotional campaigns that enforce and support positive recycling behaviour, coupled with increased scepticism and negative media coverage of recycling, impacts on public participation in local services.</p> <p>Changes to services and social distancing restrictions due to the Covid-19 pandemic may have an impact on recycling rates for the county. Garden waste collections were suspended, HWRC were initially closed prior to being re-opened on an appointment only basis. There have been some missed collections due to staff shortages. The impact on fly tipping will also need to be monitored both during and following any easing of lockdown.</p>	2020/21	Likely	Moderate	Medium	Deliver the actions identified in the Household Recycling report (part 1: kerbside provision)	Head of Neighbourhood Services	This was presented to Cabinet in December 2019. Waste and recycling service provision must continually evolve to meet challenging targets, volatile markets and increasing costs. This report sets out measures that will be necessary to achieve national recycling targets, minimise budget increases and provide sustainable waste services going forward.	2020/21	Likely	Moderate	Medium	Frances O’Brien & Cllr Jane Pratt	<p>Select Committee: Strong Communities</p> <p>Objectives: Maximise the potential of the natural and built environment</p>
			2021/22	Likely	Moderate	Medium		As per report timescales		2021/22	Possible	Moderate	Low		
			2022/23	Likely	Moderate	Medium				2022/23	Possible	Moderate	Low		
							Deliver the actions identified in the Household Recycling report (part 2: HWRC provision)	Head of Neighbourhood Services	Data will continue to be reviewed to establish the impact of the pandemic on recycling rates, and to determine if any learning can be taken from recent months to improve recycling figures going forward.						
								As per report timescales	This report sets out measures that will be necessary with regard to HWRC provision in order to achieve national recycling targets, minimise budget increases and provide sustainable waste services going forward. HWRC provision must continually evolve to meet challenging targets, volatile markets and increasing costs. Behavioural change interventions that reduce waste and increase recycling at the household waste recycling centres are proven to be effective across Wales. Due to the high tonnage throughput at our sites, compared to other local authorities, these changes will have the potential to deliver a significant positive impact on recycling rates. Rationalising service provision will allow investment in the service and drive up recycling performance.						
									Data will continue to be reviewed to establish the impact of the pandemic on recycling rates, and to determine if any learning can be taken from recent months to improve recycling figures going forward.						

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			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
15. New	Potential risk that:  The spread of the Coronavirus (COVID-19) outbreak will impact on staff and residents health and cause delays or reductions in the Council's service delivery	<p>Coronavirus (COVID-19) is a new strain of coronavirus first identified in Wuhan City, China in December 2019.</p> <p>Public Health Wales is working closely with the Welsh Government, and the other UK public health agencies, to carefully monitor the situation and implement a planned response, with measures in place to protect the health of the public.</p> <p>On the 19<sup>th</sup> June the UK's coronavirus alert level was downgraded from level 4 "Transmission is high or rising exponentially" to level 3 "Virus is in general circulation" with the corresponding measures in place being at the gradual relaxation of restrictions.</p> <p>The number of COVID-19 cases and deaths has declined in Wales and Gwent. Welsh Government has continued to ease the lockdown restrictions that have been in place since March. Covid-19 remains an active threat. The risk now concerns any resultant resurgence of COVID-19 cases, whether it be through a local outbreak or a second wave as we move towards the Autumn and flu season where the capacity of the NHS will be reduced.</p> <p>The Coronavirus (COVID-19) pandemic has posed a significant and unprecedented challenge to our way of life and how the Council continues to provide a range of vital services. The need to preserve life and stop the spread of the virus, while continuing to support communities, has meant that a lot of our usual work has been re-purposed or paused.</p> <p>The impact of the coronavirus pandemic could lead to an increase in staff absence due to illness or self-</p>	2020/21	Almost certain	Major	High	Implement the council's strategic response via the Emergency Response Team, in conjunction with the Gwent Strategic Coordinating Group – the multi-agency group that consists of key partner agencies that play a role in mitigating the impacts of the outbreak	Strategic Leadership Team  ongoing	<p>The Council enacted its Emergency Management Plan and business continuity arrangements to deliver and coordinate the response to Covid-19. The plan works across Council services, as well as external partners such as the emergency services, neighbouring local authorities and Welsh Government.</p> <p>The main element of the council's response is via the Emergency Response Team (ERT). The ERT chair was rotated between Strategic Leadership Team members. All directorates and COVID-19 specific sub groups established to support the response are represented on the group. A representative sits on the Strategic Coordinating Group (SCG).</p> <p>As the Council has progressed through its response phase, which is still active and on-going, the responsibility of the Council's Emergency Response Team has now been transferred to the Council's Strategic Leadership Team. The ERT established an independent risk register, while the full ERT is no longer functioning the operational risks on the register continue to be monitored and reviewed. Relevant risks have also been managed through other mechanisms for continued monitoring, including the strategic risk register and business plans.</p> <p>A revised purpose has been established, along with revised strategic aims, which provide direction to all activities specifically related to the Covid-19 pandemic.</p> <p>Regular updates are being provided to all staff via the Hub, with the latest information on the status of the outbreak and ways to contain its spread. This includes guidance for line managers on keeping staff informed.</p>	2020/21	Almost certain	Substantial	High	Strategic Leadership Team & Cabinet	<p>Select Committee: Adults Select</p> <p>Objectives: All</p>
2021/22	Almost certain	Major	High	2021/22	Likely	Substantial				Medium					
2022/23	Almost certain	Major	High	2022/23	Likely	Substantial				Medium					
						Implement, and continue to refine, the Council business continuity plans and strategies	Strategic Leadership Team	Heads of Service are updating plans to prioritise service delivery.							

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	<p>isolation. This could result in a lack of capacity to respond to other major incidents, should they occur, and also cause a shortage in capacity to respond to agreed priority services. The delivery of social care services is essential and achieved through a dedicated service model, which could be impacted by the reduction in staff numbers.</p> <p>This risk could be exacerbated by the implementation of the Test, Trace and Protect protocol if large numbers of staff are required to self-isolate. The protocol has just been implemented and its impact will continue to be monitored.</p> <p>A shortage of Personal Protective Equipment (PPE) supplies could also put the health and wellbeing of front line staff at risk</p>					<p>ongoing</p> <p>Monitoring measures that need to be put in place to keep priority service areas functioning in the county, in particular:</p> <ul style="list-style-type: none"> <li>i. Emergency response</li> <li>ii. Social care particularly in adult services and</li> <li>iii. Operational capacity to maintain essential services.</li> </ul>	<p>ongoing</p> <p>Strategic Leadership Team</p> <p>ongoing</p>	<p>Staff absence rates initially increased but have since begun to reduce. This is being monitored for the impact on priority services.</p> <p>Where necessary, staff have been redeployed to ensure service delivery is maintained at acceptable levels. Redeployment has primarily taken place amongst staff whose primary role has ceased due to service restrictions or closures. Service statuses are being monitored by each directorate and any issues, risks or escalations are being reported.</p> <p>Testing for the virus is now available for all staff and their family members who are symptomatic. We are continuing to implement the robust protocol for testing to facilitate staff to return to work.</p> <p>Test, Trace and Protect protocol has been established. This process will be monitored closely to determine the impacts on staffing levels, due to both redeployment into the scheme, and also should a large number of staff be identified as requiring 14 days self-isolation. Business Continuity strategies continue to be updated to ensure services can continue if staffing levels are significantly affected.</p>						
						<p>Ensure staff working in service areas that require the use of PEE have access and guidance on the correct equipment</p>	<p>Chief Officer, Social Care &amp; Health</p> <p>ongoing</p>	<p>Guidance has been developed and is now available for each department to utilise.</p> <p>Work continues to ensure all our staff, who have the need, can access the right Personal Protective Equipment (PPE)</p>						
						<p>Deliver with partner agencies an effective Test Track and Protect system to identify virus outbreaks quickly and contain them</p>	<p>Head of Public Protection</p> <p>Ongoing</p>	<p>Alongside Gwent partners, the council is contributing to the operation of the COVID-19 Test, Trace and Protect scheme. This aims to trace and contact residents who have been in contact with the virus to provide advice and request they self-isolate to try and minimise the spread of the virus.</p>						



	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
								suggests that it has offered the necessary peace of mind							
							Keep in place the system of active and prompt support to providers regarding infection control	Chief Officer, Social Care & Health & Head of Public Protection  Ongoing	Care homes have been issued with a plethora of guidance relating to various aspects of infection control. To support providers, Environmental Health Officers have built relationships with care homes and have acted as a source of advice on infection control, guidance interpretation, the use of PPE and testing.  This relationship and advice has been particularly important with the more specific and more intensive work undertaken with care homes with outbreaks of coronavirus						
<b>17. New</b>	Potential risk that:  The coronavirus pandemic could have a considerable economic impact resulting in business closures and job losses, significantly impacting on the economy in Monmouthshire and financial situation of some Monmouthshire residents	The relaxation of lockdown measures could result in the removal of financial safeguards such as the furlough scheme and the availability of grants, making it harder for local businesses to survive.  The negative impact this could have on the local economy may result in the loss of local businesses, subsequent local job losses and increased unemployment.  The wider impact this may have on families could result in financial hardship, and related issues such as food poverty and homelessness. The authority will need to monitor this situation closely and consider allocating additional resources to support those most significantly impacted.	2020/21  2021/22  2022/23	Likely  Likely  Likely	Major  Major  Major	High  High  High	Continue to administer grants to businesses efficiently and effectively whilst WG funds are available to do so.  Work with the local business community in re-opening our Town Centres	Head of Enterprise & Community Animation  Ongoing  Head of Enterprise & Community Animation  Ongoing	Support has been provided to local businesses, wherever possible, and specifically through timely payment of COVID-19 grants. The Council has strived to ensure businesses are aware of the support available and continued to provide business advice and support throughout.  Work continues to support the safe re-opening of Monmouthshire's town and village centres, and the businesses that reside within them. Proposals continue to be refined on how we adapt our main town centres to make them safe when retail returns. Considerable consultation has taken place to seek the opinions of our residents and to gather ideas about how Monmouthshire's town and village centres could look in the future to inform this.  On-going consultation continues with the local Chambers of Commerce via the Monmouthshire Business Resilience Forum which meets regularly.	2020/21  2021/22  2022/23	Likely  Likely  Likely	Substantial  Substantial  Substantial	Medium  Medium  Medium	Frances O'Brien & Cllr Bob Greenland	Select Committee: Economy and Development  Objectives: Thriving and well connected county

	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
							Agree a coherent marketing and communications plan with our local business community via the Monmouthshire Business Resilience Forum.	Head of Enterprise & Community Animation  Ongoing	Ongoing communications campaign encouraging businesses to apply for grants.  Promotion of wider Government business and job retention programmes.  'Shop Local, Shop Monmouthshire' delivered to encourage shoppers back into town centres and support local businesses.						
<b>18. New</b>	Potential risk that:  The coronavirus and lockdown measures could have a disproportionately negative impact on the well-being of some sections of our communities, resulting in increased poverty and inequality	There is evidence that the economic impact of the virus disproportionately affects those working in lower-paid sectors, which can exacerbate issues of poverty and inequality. Those on lower incomes are less-likely to have access to technology and outdoor spaces.  There is evidence that the pandemic has a bigger impact on the well-being of those in more deprived communities. Analysis has shown the association between deprivation and the risk of COVID-19.  Evidence has shown age, underlying health conditions and ethnicity, along with other factors, is associated with greater risk and impact of COVID-19.  Lockdown measures have seen businesses close, recreation activities limited, and education mechanisms altered drastically.  There is a risk that those already facing poverty and inequality will face a worsening situation due to increased financial hardship, health deterioration and a decline in educational attainment.	2020/21  2021/22  2022/23	Likely  Likely  Likely	Major  Major  Major	High  High  High	Continue to promote access to benefits, including spreading council tax payments over longer periods  Make technology available to school pupils who do not have access to devices at home;  Undertake data modelling to identify communities at greatest risk and use this to target proactive responses such as commissioning of services	Assistant Head of Finance  Ongoing  Chief Officer Children & Young People  Head of Enterprise & Community Animation and Head of Policy & Governance	Work is ongoing to support households affected by the pandemic. Actions taken to date include: <ul style="list-style-type: none"><li>Helping Benefit claimants make either a new claim or provide a provisional assessment of entitlement through the use of a Freephone number.</li><li>Inviting customers making a claim for Universal Credit to also claim for Council Tax Reduction (CTRS)</li><li>Offering Council Tax payers, who are struggling to pay, the option to defer or reduce payments initially and to spread their payments over 12 months rather than 10 months.</li></ul> As a consequence, the Authority has seen a significant increase in CTRS caseload rising from 5,721 cases on 1 <sup>st</sup> April 2020 to 6,024 by 13 <sup>th</sup> July 2020.  Recovery for unpaid Council Tax has recently started up again, albeit very gently. The first step has been to send a supportive text to 205 customers who have, to date, not engaged with the Council.  We have provided digital technology and connectivity to pupils without access so they could continue to learn, minimising any potential digital 'gap'  Data modelling has commenced, examples of this modelling were shared at a recent members seminar	2020/21  2021/22  2022/23	Possible  Possible  Possible	Substantial  Substantial  Substantial	Medium  Medium  Medium	Frances O'Brien & Cllr Sara Jones	Select Committee: All  Objectives: All

	Risk	Reason why identified	Risk Level (Pre – mitigation)				Mitigating actions	Timescale and responsibility holder	Mitigation action progress	Risk Level (Post – mitigation)				Risk owner & Cabinet member responsible	Select Committee and strategic objective
			Year	Likelihood	Impact	Risk Level				Year	Likelihood	Impact	Risk Level		
							As part of the Council's continued commitment to Social Justice, Review evidence and plan activity related to poverty in Monmouthshire.	Head of Enterprise & Community Animation	Reconfiguration of two posts dedicated to this work as agreed in a motion at Council on 4th June						

### Appendix 3 - Strategic Risk Management Policy – Summary

This sets out the Council’s policy and approach to strategic risk management. A copy of the full policy and guidance is available to staff and members on the council’s intranet the Hub (Finance & Performance Management section – risk assessment)

Risk Management is the process of identifying risks, evaluating their potential consequences and determining the most effective methods of controlling them or responding to them. Strategic risks are those which affect the Council as a whole. Typically these will be key risks which could significantly jeopardise the Council’s ability to achieve it’s objectives, statutory plans and/or provide operational services as planned.

The Council is committed to the effective management of risk. As a large public sector organisation, it is exposed to a wide range of risks and threats in delivering key services to communities. Within the Council the purpose of risk management is to:

- preserve and protect the Council’s assets, reputation and staff
- promote corporate governance and aid good management in controlling and managing risks
- support successful delivery of strategic aims, objectives and outcomes
- improve business performance and better anticipate calculated risks where these are likely in delivering improvements
- avoid unnecessary liabilities, costs and failures

The Council seeks to ensure that risk management is effective from strategic to individual services and employees. Therefore, all employees and councillors are responsible for ensuring there are good levels of internal control and risk management throughout the Council in order that the Council’s specified outcomes are achieved.

The Council uses a ‘traffic light’ system of Red/Amber/Green associated with High/Medium/Low to categorise risk levels. This is determined using the risk matrix below

Impact/Severity	major	Low	Medium	High	High
	substantial	Low	Medium	Medium	High
	moderate	Low	Low	Medium	Medium
	minor	Low	Low	Low	Low
		Unlikely	possible	Likely	Almost certain
		Likelihood			

<b>High risk</b>	The risk is <b>highly likely</b> to occur and the impact will be major. Management action/control evaluation and improvement is required coupled with continued pro-active monitoring
<b>Medium risk</b>	The risk is <b>unlikely</b> to result in a major issue, however, if it did the impact would be <b>significant or serious</b> . This risk is relatively less significant than a High risk however it needs to be closely monitored within timely management action/controls to ensure it does not escalate.
<b>Low risk</b>	The risk is <b>very unlikely</b> to occur and the impact will be <b>minor or moderate</b> at worst. Risk will be managed by seeking control improvements where practical and / or monitoring and reviewing at regular intervals