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| SUBJECT: | Strategic Risk Assessment |
| MEETING: | Audit Committee |
| DATE: | 25th March 2021 |
| DIVISIONS/WARDS AFFECTED: | All |

1. PURPOSE:

- 1.1 To provide members with an overview of the current strategic risks facing the authority. This includes the impact of the coronavirus pandemic on strategic risks.
- 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 arrangements, 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 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 ways of delivering services that support residents and businesses, assists community activity and supports staff well-being. The Council continues to operate in a dynamic environment and has controls in place to manage and mitigate, as far as possible, a variety of risks to service delivery and the well-being of our staff and residents.

- 3.4 As the Council has progressed through its immediate response phase, it enacted its Emergency Management Plan and business continuity arrangements. In Spring 2020, the Council's Emergency Response Team (ERT) was formally stood down and the Council's Strategic Leadership Team (SLT) took on the responsibility of overseeing the ongoing response. A report on these arrangements was presented to Cabinet on 6th May 2020, with a further update provided on 29th July 2020.
- 3.5 As part of this, a COVID-19 Coordinating Group was established and continues to operate, meeting on a weekly basis. The role of this group is to maintain oversight of the ongoing emergency response and to ensure, from an emergency planning perspective, there is oversight and co-ordinated communication flowing between external and internal response structures. 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:
- Assessing COVID-19 related risks via the COVID-19 Coordinating Group and reporting into SLT for consideration and action, where required. Alongside this, SLT also undertakes an ongoing review of the Whole Authority Strategic Risk Assessment.
 - Establishing the 'Winter Strategy', which sets the Council's plans to continue its work with the citizens and communities of Monmouthshire to reduce the spread of COVID-19, continue to support and protect vulnerable people, and give attention to rebuilding a local economy that reduces inequalities within and between communities. Activity 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 ongoing activity during 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 to ensure it accurately manages the current strategic risks facing the Council, including the removal of two risks. The more significant changes, since the register was last presented to audit committee, are:

- Financial updates, in relation to the budget for 2021/22, the MTFP, funding associated with the pandemic, and the potential impact on services into the future
- Updates on service delivery and safeguarding arrangements for vulnerable children and adults during the pandemic
- Education updates in light of changes and risks associated with the pandemic
- Updated assessment of risk as a result of the United Kingdom leaving the European Union
- The review of the Social Justice Strategy and associated action plans
- Amendments to the majority of COVID-19 related activity, which is identified within numerous risks, in line with changing government guidelines, legislation, local circumstances and evidence-bases
- Removal of the risk of declining recycling rates affecting our ability to achieve the Welsh Government target of 70% recycling rates throughout Wales. This risk still needs to be managed at a service level
- Removal of the 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.

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.

3.10 The risk assessment only covers high and medium level strategic risks. Lower level 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. The strategic risk assessment should continue to focus on medium term risks to service delivery.

3.11 Following presentation to Audit Committee, the risk assessment will be presented to Cabinet for sign-off. As the risk assessment is a live document, it 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. The up-to-date register is accessible on the Council's intranet so members are able to utilise it at any point in the year to re-prioritise their work plan as appropriate.

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 The Council has continued to clearly set its purpose and strategic aims that guide its work through the coronavirus pandemic as the Council continues to evolve and adapt to changing circumstances. The current aims are set in the Council's 'Winter Strategy', also referred to as the 'plan on a page'. Delivery continues to be monitored and will need to be flexible in timescale and content as circumstances and guidance changes. Further iterations of the plan on a page are scheduled to guide activity in the months ahead. 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: Monmouthshire County Council Whole Authority Strategic Risk Assessment: Summary – March 2021

| Ref | Potential Risk | Risk Level – Pre mitigation | Risk Level – Post mitigation |
|-----|---|--|--|
| 1 | The authority does not remain relevant and viable for future generations due to not having a sustainable delivery model | 2020/21 – Low 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium | 2020/21 – Low 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium |
| 2 | Without appropriate and effective governance infrastructure, the Council may not deliver its objectives | 2020/21 – Medium 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium | 2020/21 – Low 2021/22 – Low 2022/23 – Low 2023/24 – Low |
| 3 | The Council and partners do not make sufficient progress in delivering through new regional and collaborative structures | 2020/21 – Low 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium | 2020/21 – Low 2021/22 – Medium 2022/23 – Low 2023/24 – Low |
| 4a | Some services may become financially unsustainable in the short to medium term due to increasing demand and continuing financial pressures | 2020/21 – High 2021/22 – High 2022/23 – High 2023/24 – High | 2020/21 – Low 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium |
| 4b | 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 2021/22 – High 2022/23 – High 2023/24 – High | 2020/21 – Medium 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium |
| 5 | Reduced staff well-being due to a range of factors will impact on the delivery of council services | 2020/21 – Medium 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium | 2020/21 – Medium 2021/22 – Medium 2022/23 – Low 2023/24 – Low |
| 6 | Significant harm to vulnerable children or adults due to a failure of safeguarding arrangements or factors outside the Council's control | 2020/21 – High 2021/22 – High 2022/23 – Medium 2023/24 – Medium | 2020/21 – Medium 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium |
| 7 | The robust delivery of the Council's corporate parenting responsibility and services related to vulnerable children as a result of an increase in demand and complexity in cases | 2020/21 – Medium 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium | 2020/21 – Medium 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium |
| 8 | The robust delivery of the Council's care responsibilities and services related to vulnerable adults as a result of an increase in demand, complexity in cases, and additional risks through coronavirus affecting some of our most vulnerable residents | 2020/21 – High 2021/22 – High 2022/23 – High 2023/24 – High | 2020/21 – High 2021/22 – High 2022/23 – Medium 2023/24 – Medium |
| 9 | 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. Failing to adapt to changes in the new curriculum and examination requirements | 2020/21 – High 2021/22 – High 2022/23 – Medium 2023/24 – Medium | 2020/21 – High 2021/22 – High 2022/23 – Medium 2023/24 – Medium |
| 10 | 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 2023/24 – Medium | 2020/21 – Medium 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium |
| 11a | Delays to the adoption and implementation of the Replacement Local Development Plan, due to the impact of the pandemic, environmental considerations (i.e. phosphates) and other external influences, could result in a lack of appropriate infrastructure (including affordable housing) to meet the future needs of the county | 2020/21 – Medium 2021/22 – High 2022/23 – High 2023/24 – High | 2020/21 – Medium 2021/22 – High 2022/23 – High 2023/24 – High |

| Ref | Potential Risk | Risk Level – Pre mitigation | Risk Level – Post mitigation |
|-----|--|--|--|
| 11b | 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 2023/24 – Medium | 2020/21 – Medium 2021/22 – Medium 2022/23 – Low 2023/24 – Low |
| 12 | 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 – Medium 2022/23 – Medium 2023/24 – Medium | 2020/21 – High 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium |
| 13 | The scale and complexity of the challenge could result in the authority failing to deliver on its policy commitment to reduce carbon emissions resulting in social, economic and environmental harm to current and future Monmouthshire residents and businesses | 2020/21 – High 2021/22 – High 2022/23 – High 2023/24 – High | 2020/21 – High 2021/22 – High 2022/23 – High 2023/24 – High |
| 14 | The spread of Coronavirus (COVID-19), and the emergence of variants of concern, 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 2023/24 – High | 2020/21 – High 2021/22 – High 2022/23 – Medium 2023/24 – Medium |
| 15 | The coronavirus pandemic will have a considerable economic impact resulting in business closures and job losses | 2020/21 – High 2021/22 – High 2022/23 – High 2023/24 – High | 2020/21 – Medium 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium |
| 16 | The coronavirus pandemic 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 2023/24 – High | 2020/21 – Medium 2021/22 – Medium 2022/23 – Medium 2023/24 – Medium |

Appendix 2: Monmouthshire County Council Whole Authority Strategic Risk Assessment – March 2021

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|--|---|------------|---|------------------------------|------------------|---------|---|---------------------|--------|------------|
| Ref & Status | 1 | Risk | Potential Risk that: The authority does not remain relevant and viable for future generations due to not having a sustainable delivery model | | | | | | | |
| Risk Owner and cabinet Member responsible | | | Paul Matthews & Cllr Peter Fox | | Select Committee | All | | Strategic objective | All | |
| Reason why Identified | | | | | | | | | | |
| 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. | | | | | | | | | | |
| 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. 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 have continued to set a revised purpose and set of strategic aims. | | | | | | | | | | |
| 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. | | | | | | | | | | |
| Since the start of 2020, the Council has faced significant and unprecedented challenges from flooding, and the COVID-19 pandemic and resulting lockdown restrictions. Each of these draws significantly on the Council’s resources, both in terms of capacity and finances, and places an unprecedented strain on the Council. The long-term financial costs of dealing with the pandemic will place a financial strain on public finances for many years, which is likely to result in significant pressures on public finances in the medium to long-term | | | | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | | | | |
| Year | | Likelihood | Impact | Risk Level | | Year | | Likelihood | Impact | Risk Level |
| 2020/21 | | Unlikely | Major | Low | | 2020/21 | | Unlikely | Major | Low |
| 2021/22 | | Possible | Major | Medium | | 2021/22 | | Possible | Major | Medium |
| 2022/23 | | Possible | Major | Medium | | 2022/23 | | Possible | Major | Medium |
| 2023/24 | | Possible | Major | Medium | | 2023/24 | | Possible | Major | Medium |
| Mitigating Actions | | | | | | | | | | |
| Mitigating Action | | | Responsibility Holder | | Timescale | | Mitigation action progress | | | |
| 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. 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. | | | Senior Leadership Team | | Ongoing | | The Corporate Plan Annual Report was published in October 2020. To provide clarity and ensure accountability through our response to the coronavirus pandemic, a set of strategic aims were set by Cabinet in May 2020. These were updated in July, and again in November. We have lessened our focus on some of the priorities in the Corporate Plan to re-direct capacity towards dealing with COVID-19. The current strategic aims contained within the ‘Winter Strategy’ set out the Council’s priorities until March 2021. After this, the aims will be reviewed based on the latest circumstances, evidence and guidance to set the direction for Council services through the next phase. | | | |
| 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 on public finances. | | | 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. Following public consultation and scrutiny, the final budget proposals for the 2021/22 budget were presented to Cabinet In March 2021. Welsh Government has provided a significant level of funding through its COVID Hardship Fund to meet additional costs and income losses as a result of the pandemic. It is hoped, and the budget assumption remains, that Welsh Government continues its funding of COVID pressures, in the form of increased costs and income losses, through 2020/21 and 2021/22. The medium term prognosis is still of concern; there are no indicative settlement figures published, which significantly impedes and impacts on forward planning of budgets over the medium term. There is still a need to think differently about the even greater challenges of the medium term; this work and associated | | | |

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| | | | engagement will continue. Ongoing financial challenges remain dynamic; further work will be undertaken to develop the MTFP, which will include an ongoing assessment of pressures, risks and modelling assumptions. |
| Apply and update learning from work on future trends and plan for how they might impact at a local level in Monmouthshire, and explore relationships with partners who can assist in the delivery of the council's objectives. | Head of Policy and Governance | Ongoing | 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 continuing to develop our understanding of future risks and opportunities and how we respond to them in Monmouthshire. |
| Implement and track progress of the revised key delivery strategies: Digital Strategy, People Strategy and Asset Management Strategy. Revise strategies where necessary based on learning and impact from the Coronavirus response | 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. Some activity will be impacted by the coronavirus pandemic and activity in the strategies will need to be reconsidered in light of the Coronavirus response |

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| Ref & Status | 2 | Risk | Potential Risk that: Without appropriate and effective governance infrastructure, the Council may not deliver its objectives | | | | |
| Risk Owner and cabinet Member responsible | | Matthew Gatehouse and Matthew Phillips & Cllr Paul Jordan | Select Committee | Audit Committee | Strategic objective | All | |
| Reason why Identified | | | | | | | |
| 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. | | | | | | | |
| We recognise 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 longer term arrangements are in place. | | | | | | | |
| The Local Government and Elections (Wales) Act was passed in November 2020. The Act includes provision related to democracy, regional working, structures, governance and performance. | | | | | | | |
| The Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020 came into force in April 2020 in response to the impact of the pandemic, the limitations of lockdown and existing legal requirements applicable to local authorities. They aim to overcome those limitations to allow democratic processes and decision making to continue. | | | | | | | |
| During the pandemic, there have been significant changes to the way in which the Council operates. Governance mechanisms have been developed and established digitally; these need to continually reviewed to identify ways of working that have improved efficiency, and to identify where these can be developed going forward. | | | | | | | |
| The latest Audit Wales Annual Audit Summary 2020 includes, ‘The Auditor General certified that the Council has met its legal duties for improvement planning and reporting, and believes that it is likely to meet the requirements of the Local Government (Wales) Measure 2009 during 2020-21.’ There remains proposals for improvement from Audit Wales relating to the Councils’ governance and scrutiny arrangements that are still being addressed. | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Possible | Substantial | Medium | 2020/21 | Unlikely | Substantial | Low |
| 2021/22 | Possible | Substantial | Medium | 2021/22 | Unlikely | Substantial | Low |
| 2022/23 | Possible | Substantial | Medium | 2022/23 | Unlikely | Substantial | Low |
| 2023/24 | Possible | Substantial | Medium | 2023/24 | Unlikely | Substantial | Low |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| Update the Councils’ constitution to ensure it reflects recent changes in legislation and governance. | | Monitoring Officer | March 2021 | A thorough review of the constitution has been undertaken to ensure it reflects the latest legislation and council’s governance structures. This was discussed at Democratic Services Committee in January, and is due to be presented to Council in March 2021 for debate and decision. | | | |

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| Prepare for the implementation of the Local Government & Elections (Wales) Bill Work with relevant committees to respond to areas in the Bill which require changes to MCC processes | Head of Policy and Governance, | March 2021 | Work is underway to prepare for and implement the requirements of the Bill and to respond to consultations on various aspects of it, including the Welsh Government Corporate Joint Committee Regulations and draft performance and governance guidance. 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. |
| Manage our actions in response to any Estyn, CIW and Audit Wales recommendations 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. |
| Deliver the implementation plan for the volunteering policy in all service/business areas and continued implementation of the Volunteer toolkit. Continue to assess the volunteer response during the Covid-19 pandemic and identify learning that should be adopted and developed to support volunteers | 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. A Volunteer Kinetic digital management system is in place, containing live volunteer safe recruitment information and activity, which is reported on a quarterly basis. Service area champions have also been introduced to ensure that all current and new volunteers are recruited through the appropriate channels. At the start of the pandemic, volunteer activity was suspended to assist community groups that mobilised in response to the pandemic with safeguarding arrangements. The Community Support Structure was established to assist people needing support being coordinated with the offers of support. The council ensured that community groups and volunteers were provided with the correct advice and support to ensure they were safe and appropriate. This included using the council's infrastructure to provide a safe recruitment function for voluntary groups, which has now been passed to Bridges and GAVO to ensure sustainability. Safeguarding training has also been delivered to volunteers through the Be. Community Leadership Programme. |
| Adapt arrangements to apply Local Authorities (Coronavirus) (Meetings) (Wales) Regulations 2020 | Head of Law/ Monitoring Officer, Head of Policy and Governance | April 2021 | Arrangements have been adapted to apply regulations, which run until April 2021. Work continues to review the learning from the new arrangements. Some changes will remain or be built on where they are working well. |
| Ensure robust application of pre-decision scrutiny to minimise the risk of legal challenge on decisions made by the authority. | Head of Law/ Monitoring Officer, Head of Policy and Governance | June 2021 | Local and national developments continue to be monitored, and work is ongoing to develop closer adherence to, and monitoring of, Equality Impact Assessments and Future Generations evaluations. |

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| Ref & Status | 3 | Risk | Potential Risk that: The Council and partners do not make sufficient progress in delivering through new regional and collaborative structures | | | | |
| Risk Owner and cabinet Member responsible | | Matthew Gatehouse, Cllr Peter Fox & Cllr Paul Jordan | Select Committee | Audit Committee Public Services Select Committee | Strategic objective | All | |
| Reason why Identified | | | | | | | |
| 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 Monmouthshire 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. Planning has commenced for moving to a regional Gwent PSB. There are associated risks, including a loss of local accountability and reduced focus on projects, which are Monmouthshire specific that need to be mitigated. | | | | | | | |
| 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. New Corporate Joint Committees arrangements are being implemented as part of the Local Government & Elections (Wales) Bill. | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Unlikely | Substantial | Low | 2020/21 | Unlikely | Substantial | Low |
| 2021/22 | Possible | Substantial | Medium | 2021/22 | Possible | Substantial | Medium |

| 2022/23 | Possible | Substantial | Medium | 2022/23 | Unlikely | Substantial | Low |
|---|----------|---|----------------|---|----------|-------------|-----|
| 2023/24 | Possible | Substantial | Medium | 2023/24 | Unlikely | Substantial | Low |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| 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 | April 2021 | The Public Service Board has published its annual report for 2019/20, outlining the progress made so far to deliver the objectives set out in the well-being plan. The PSB is reviewing the steps it is prioritising in its well-being plan to take account of progress and evidence on well-being in the county. 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. 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, including arrangements delivered through Corporate Joint Committees. | | | |
| To develop arrangements for moving to a Gwent-wide Public Service Board. | | Head of Policy & Governance | September 2021 | Leaders of public services in Gwent have agreed to commence the planning for moving to a regional Gwent PSB. Options and arrangements to implement this are being developed. A regional approach offers opportunities to strengthen collaboration while generating economies of scale. It will offer opportunities to align the focus of work to improve well-being in the region, reduce duplication of activity, align strategic priorities and enable much closer collaboration over assessment and planning processes. There are associated risks, including a loss of local accountability and a lessened reduced focus on projects that are Monmouthshire specific. To mitigate, this a review and refresh of local partnerships arrangements is being developed. | | | |
| Work with Welsh Government and the Cardiff Capital Region on the transition arrangements for services that will form part of the Corporate Joint Committee. | | Head of Policy and Governance | December 2021 | In December 2020, Council agreed a response to be submitted to the Welsh Government Corporate Joint Committee Regulations consultation. An officer group has been formed to ensure transition arrangements are in place for services that will form part of the CJC and those that will be operated concurrently in line with the Establishment Regulations. | | | |

| Ref & Status | 4a | Risk | Potential Risk that: Some services may become financially unsustainable in the short to medium term due to increasing demand and continuing financial pressures | | | | |
|--|------------|-----------------------------------|--|------------------------------|---------------------|--------|------------|
| Risk Owner and cabinet Member responsible | | Peter Davies and Cllr Phil Murphy | Select Committee | All | Strategic objective | All | |
| Reason why Identified | | | | | | | |
| <p>After several years of taking significant resource out of the budget, the means of achieving further savings is increasingly more challenging. The Council is due to receive a 3.9% increase in its core funding from Welsh Government in 2021/22, marginally above of the 3.8% average for Wales. This goes some way to giving some additional flexibility to respond to the pressure on Council finances, however the Council's funding remains the lowest per head of population of any council in Wales. Pressures on the budget remain and continue to increase 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.</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). Budget assumptions modelled in October 2020 indicated a gap of £5.3 million in 2021/22, culminating in a need to deliver a mixture of cost efficiencies and savings totalling £22.5m in aggregate by the end of the 4-year MTFP period.</p> <p>Along with the rest of the organisation, schools are facing a challenging financial settlement. 17 schools started 2020/21 financial year in deficit. If the deficit balances for schools continues to increase, this could, over time, have an impact on the overall reserves for MCC.</p> <p>Over the past year, the Council has faced significant and unprecedented challenges, notably the flood response and recovery in February 2020, and the COVID-19 pandemic and lockdown restrictions implemented since March 2020, with uncertainty continuing. These have accentuated the financial challenge facing the council and financial forecasts are being prepared on assumptions that are uncertain.</p> | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |

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|--|--------|------------------------------|------------------|--|----------|-------|--------|
| 2020/21 | Likely | Major | High | 2020/21 | Unlikely | Major | Low |
| 2021/22 | Likely | Major | High | 2021/22 | Possible | Major | Medium |
| 2022/23 | Likely | Major | High | 2022/23 | Possible | Major | Medium |
| 2023/24 | Likely | Major | High | 2023/24 | Possible | Major | Medium |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| Ensure that services deliver within budget, deliver savings targets and continue to identify, review and challenge pressures. | | Chief Officer Resources | March 2021 | <p>The net revenue forecast non-COVID surplus at month 9 for 2020/21 is £142k, this represents an improvement of £660k since month 7. This has largely resulted from the action taken during the financial year in curtailing non-essential expenditure and through cost reductions recognising the significant and continued financial pressure on the Authority as a result of the pandemic.</p> <p>The total net revenue forecast outturn for 2020/21 at month 9 exhibits an over spend of £5.15m (presented on a prudent worst case scenario basis). Welsh Government COVID-19 support funding is expected to cover the majority of this although it remains unclear as to how far that will extend, though levels of confidence have increased significantly given Welsh Government commitments throughout the year.</p> <p>The immediate focus for the Council whilst it awaits confirmation of full compensating funding from Welsh Government is to manage the significant in year service pressures it is facing, notably within the areas of Waste, Passenger Transport, Additional Learning Needs and Children's Services. To date, this has been managed through cost reduction and in taking immediate steps to curtail non-essential expenditure alongside approving the capitalisation of an additional £675k of identified eligible expenditure to be funded from capital receipts under the flexible use of capital receipts directive.</p> <p>The in-year over spend, whilst being managed via a recovery plan, sees significant service pressures carried through into 21/22. The challenges of significantly reduced resources over several years, and the pandemic response, makes the budget challenge even more acute. The draft proposals in total bring forward savings of £3.682m.</p> | | | |
| Produce a proposed set of budget proposals for 2021/22 | | Chief Officer Resources | March 2021 | <p>Cabinet received a report on the MTFP and budget process at their meeting of 21st October 2020. The assumptions and modelling at that time led to a gap of £5.29 million in 2021/22 rising to a gap of £22.52 million over the medium term. Despite the above average provisional settlement from Welsh Government, this only enables some of the pressures needing to be accommodated in the budget proposals to be offset. Furthermore, a significant question mark still arises over the pressures that will arise for pay awards.</p> <p>Following consideration and approval by Cabinet in January 2021, budget proposals were consulted upon which looked to accommodate £10.07m of pressures by way of savings proposals of £3.682m and a one-off contribution from the Council's general reserves of £748k. Work continued to review and revise existing and new savings and pressures in the light of further engagement and scrutiny. The revised savings and pressures proposal as part of 2021/22 budget were approved by cabinet in March 2021. The consequence of the adjustments results in the originally proposed one-off contribution from general reserves of £748,000 now no longer being required.</p> <p>Welsh Government have also confirmed that funding of COVID pressures, in the form of increased costs and income losses, will be separately announced in the coming weeks. The budget assumption for next year remains that Welsh Government will fund such COVID pressures. Clearly, any resultant shortfall will be identified through in year budget monitoring with budget recovery action being taken as required.</p> | | | |
| Implement the process for reclaiming coronavirus costs via agreed avenues, and identify alternative grant funding offers available via Welsh Government. | | Chief Officer Resources | Ongoing | <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 now greater certainty regarding the amount of compensatory Welsh Government funding available as a result of the pandemic. The Council continues to monitor and receive updates from Welsh Government</p> | | | |

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| | | | <p>and is engaged in ongoing discussions with WLGA and WG on the sufficiency of funding to meet COVID related pressures on local authorities in the current financial year.</p> <p>Following the provisional Welsh Government settlement for 2021/22 there are a number of significant grants where the Authority remains unclear as to the amount to be received and resultant terms and conditions attached. Further clarity is being sought as part of the final settlement process.</p> |
| 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 | <p>The Council's medium term financial planning has been severely disrupted by the impact of the Coronavirus pandemic on the Council's finances. Cabinet received a report on the MTFP and budget process at their meeting of 21st October 2020. The report outlined the assumptions that were being used in the construction of the budget for 2021/22 and the MTFP. The assumptions and modelling at that time led to a gap of £5.29 million in 2021/22 rising to a gap of £22.52 million over the medium term.</p> <p>Welsh Government has provided a significant level of funding through its COVID Hardship Fund to meet additional costs and income losses as a result of the pandemic. It is hoped, and the budget assumption remains, that Welsh Government continues its funding of COVID pressures, in the form of increased costs and income losses, through 2020/21 and 2021/22.</p> <p>The medium term prognosis is still of concern; there are no indicative settlement figures published, which significantly impedes and impacts on forward planning of budgets over the medium term. There is still a need to think differently about the even greater challenges of the medium term; this work and associated engagement will continue. Ongoing financial challenges remain dynamic; further work will be undertaken to develop the MTFP, which will include an ongoing assessment of pressures, risks and modelling assumptions.</p> <p>As part of its MTFP budget strategy the Council is continuing to make use of Welsh Government guidance and that allows local authorities in Wales to fund one-off revenue costs associated with service reform from useable capital receipts held. The Council is proposing to draw £1.7m from capital receipts as part of the budget proposals for 2021/22 and has modelled a similar level of contribution for 2022/23. Whilst the Council will have sufficient capital receipts to maintain this short-term, the Council will need to move towards a more sustainable budget strategy over the medium and once the current unprecedented circumstances have passed.</p> <p>It is inevitable that the Council will face significant financial challenges during the recovery phase of the pandemic as demands on services change in light of a severely altered socio-economic landscape. Alongside this, there will continue to be risks associated with Welsh Government support funding being reduced or stopped. It is therefore important that any resulting surplus on the revenue budget is provisionally earmarked to strengthen the Council's limited reserve and useable capital receipt balances to meet those future financial challenges.</p> |
| Develop and implement a commercial strategy aligned to the Corporate Plan | Chief Officer Resources | Timescales as per strategy | <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>Commercial income achieved its budget for 2019/20. At Month 9 2020/21, Investment Properties is forecasting a combined overspend of £836k. The forecast rental income from commercial investments has reduced further as the pandemic continues to have a huge impact on the leisure & retail industry. Losses to date have been covered by the WG Covid support fund and we anticipate this will continue through to year end so that the overspend should not have an adverse impact on the revenue outturn position. 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> |

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| | | | The commercial risk appetite has recently been adjusted in light of the current pandemic and uncertainties in the investment and property markets at this time. |
| 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 | <p>A new Procurement strategy was approved in July 2018. In order to deliver the aspirations set out within the strategy, an external review of the Strategic Procurement Service has been undertaken and a report has been received.</p> <p>The review confirmed the Council's own recognition that it had limited capacity to influence behaviours relating to its £100m third party annual spend, particularly in determining how spends supported the delivery of the Council's priorities. Committee Members are being asked to consider a proposal to collaborate with Cardiff Council, for mutual benefit, in the discharge and provision of procurement services.</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.</p> <p>Consider the offer of providing loans to schools.</p> | Finance Manager – Children & Young People | Ongoing | <p>Locally managed school budgets carried a collective net deficit balance of £435k at the beginning of the current financial year. The latest month 9 outturn statement indicates that school balances are forecast to decline further taking the overall forecast deficit to £166,000. All schools who are in a deficit position have, or are in process of , agreeing recovery plans and the number of schools in deficit is forecast to reduce from 17 at the beginning of this financial year to 12. These recovery plans will be confirmed with both the Local Education Authority and each school's Governing Body. Once finalised, the schools with significant deficits will be monitored by the Cabinet member for Children and Young People and Resources on a termly basis.</p> <p>Cabinet approved plans to provide loans to schools that will allow them to plan 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 in taking out this loan; the loan document is being finalised with Legal and will be agreed with those school before the year end.</p> |

| Ref & Status | 4b | Risk | 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 | | | | |
|---|------------|--------|---|------------------------------|--|---------------------|------------|
| Risk Owner and cabinet Member responsible | | | Deb Hill- Howells, Peter Davies & Cllr Phil Murphy | Select Committee | Economy and Development & Strong Communities | Strategic objective | All |
| Reason why Identified | | | | | | | |
| 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. The core capital programme has been constrained in recent years in order to enable the Band A new schools programme to be funded, which have successfully concluded. Officers are working through options in relation to a future Welsh Government Band B programme. | | | | | | | |
| There remain a considerable number of pressures that sit outside 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, and Public rights of way. 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. In the event of emergency pressures, resources will have to be diverted. Projects, such as the CCR City Deal, require significant capital investment to realise the outcomes. | | | | | | | |
| There can be significant slippage in gaining capital receipts. Future investment in capital schemes, is in part dependent on future success of achieving capital receipts and there are risks attached to some receipts materialising. 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. 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). | | | | | | | |
| The recent severe flooding has had a significant impact on aspects of the 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. 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. | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Likely | Major | High | 2020/21 | Possible | Major | Medium |
| 2021/22 | Likely | Major | High | 2021/22 | Possible | Major | Medium |
| 2022/23 | Likely | Major | High | 2022/23 | Possible | Major | Medium |
| 2023/24 | Likely | Major | High | 2023/24 | Possible | Major | Medium |

| Mitigating Actions | | | |
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| Mitigating Action | Responsibility Holder | Timescale | Mitigation action progress |
| 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. | Chief Officer Resources | Ongoing | <p>The last capital budget strategy was approved by Council in September 2019. In preparing the draft capital budget proposals for 2021/22, and the subsequent three years of the capital MTFP, regard has been given to the underlying principles of the strategy that remain fit for purpose. An updated capital strategy for 2021/22 was considered by Council, alongside the treasury strategy, at its meeting in March 2021.</p> <p>A report was presented to Cabinet in January 2021 to set out draft capital budget proposals for financial year 2021/22, and the indicative capital budgets for the three years 2022/23 to 2024/25. Final proposals, along with proposed changes following consultation, were presented to Cabinet in March 2021.</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 inform the capital MTFP and will identify pressures that will need to be accommodated and funded in future financial years.</p> <p>Using Welsh Government guidance on the flexible use of capital receipts, Cabinet approved the use of £1.7m of capital receipts to fund revenue costs associated with service reform, and to support the draft revenue budget proposals for 2021/22.</p> |
| Continue to monitor the capital Budget | Chief Officer Resources | Ongoing | <p>The outbreak of the COVID-19 pandemic has caused significant disruption to the progress of budgeted capital schemes, with forecast slippage at Month 9 2020/21 totalling £40.45m (£37.50m at month 7). The Covid-19 impact is affecting both internally and externally managed projects, with disruption to external supply chains, increased contract risk and potential inflationary cost pressures sitting alongside internal resourcing pressures.</p> <p>Forecasted capital receipts balances held at the end of 2020/21 are lower than forecasted in the 2020/24 MTFP. Ignoring timing differences in the realisation of capital receipts, this is largely attributable to the use of unbudgeted receipts under the capitalisation direction in 2019/20 and 2020/21 and budgeted use for 2021/22 and 2022/23. If this trend of utilisation is maintained in the medium term, this will result in reduced balances being available to support further capital investment.</p> |
| Further refinement of priority assessments in the property and infrastructure budgets to ensure all pressures have been considered and ranked. | Head of Commercial and Integrated Landlord Services & Head of Placemaking, Housing, Highways and Flood | Ongoing | <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>A review of the pressures and associated risks has been undertaken as part of the 2021/22 capital budget process. This has concluded that further feasibility studies and technical assessments will be undertaken on specific infrastructure assets during 20/21, funded from existing highways infrastructure capital budgets. The results of these studies and assessments will inform the capital MTFP and pressures that will need to be accommodated and funded therein in future financial years.</p> |
| Deliver the Asset Management Plan to manage the Council's land and property portfolio | Head of Commercial and Integrated Landlord Services | Timescales as per plan | 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. |
| 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 | Head of Commercial and Integrated Landlord Services | Ongoing – see Asset Management strategy | The council has acquired two commercial investments to generate income to support Council services. Any further investments will be considered by the Investment Committee. |

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| | | | <p>Commercial income achieved its budget for 2019/20. At Month 9 2020/21, Investment Properties is forecasting a combined overspend of £836k. The forecast rental income from commercial investments has reduced further as the pandemic continues to have a huge impact on the leisure and retail industry. Losses to date have been covered by the WG Covid support fund and we anticipate this will continue through to year end so that the overspend should not have an adverse impact on the revenue outturn position. 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. The commercial risk appetite has recently been adjusted in light of the current pandemic and uncertainties in the investment and property markets at this time.</p> |
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| Ref & Status | 5 | Risk | Potential Risk that: Reduced staff well-being due to a range of factors will impact on the delivery of council services | | | | |
| Risk Owner and cabinet Member responsible | | Tracey Harry & Cllr Phil Murphy | | Select Committee | Strong Communities | Strategic objective | All |
| Reason why Identified | | | | | | | |
| <p>Our people are central to the success of our council and the county. Reductions to the council budget over recent years has seen staff numbers fall, which has inevitably intensified workloads in some areas. The council’s response to the pandemic, alongside emergencies such as widespread flooding, risks putting unprecedented pressure on staff, and there is a risk of burnout. Similarly, the impact on staff wellbeing must be carefully considered, as staff face increased workloads, altered home lives, and the ongoing pressures associated with the pandemic.</p> <p>Some services have identified challenges with recruitment in certain sectors, which is being managed locally. Staff turnover increased slightly during 2019/20, from 8.73% to 9.43%. The data on turnover is updated quarterly and as of December 2020, the council’s turnover rate was 1.62% for 2020/21. Sickness levels were an average of 11.32 days per FTE employee for 2019/20. Early indications of sickness level figures for 2020/21 suggest this has reduced, with a figure up to February 2021 of 7.83 days per FTE employee. Furthermore, the People strategy has identified that tools and guidance to manage and prevent sickness are not always used effectively.</p> <p>There is potential for a detrimental impact on staff well-being from a range of factors linked to the coronavirus pandemic and delivering the Council’s response, and this will need continuous monitoring to determine implications and to ensure staff are supported.</p> | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Likely | Substantial | Medium | 2020/21 | Possible | Substantial | Medium |
| 2021/22 | Possible | Substantial | Medium | 2021/22 | Possible | Substantial | Medium |
| 2022/23 | Possible | Substantial | Medium | 2022/23 | Possible | Moderate | Low |
| 2023/24 | Possible | Substantial | Medium | 2023/24 | Possible | Moderate | Low |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| Implement a revised people and organisational development strategy following development of the Corporate Plan and the workforce planning arrangements required to deliver. | | Head of People Services | Timescales as per strategy | The People strategy continues to be implemented and activity has been embedded in the relevant service business plans. The Strategy will be reconsidered, informed by the learning from leadership development sessions, wider organisational learning and input. The update will now need to consider the learning from the council’s Coronavirus response. | | | |
| 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 | A Recruitment and Selection policy has been developed, which prompts managers to think about apprenticeships, forward thinking and future planning, three to five years ahead. The People Service HUB holds workforce planning guidance, and workforce planning support and challenge is provided at Directorate Management Teams (DMT). The Leaders Induction includes information for managers on knowing their people, understanding performance and identifying future plans. Work on developing the payroll and HR system has continued, and the contract for a new payroll system has been signed. | | | |
| Embed the attendance and wellbeing policy. | | Head of People Services | Ongoing | HR is providing ongoing training and support to colleagues via a structured HR Business partnering model and has planned online delivery of attendance management training. Quarterly reporting to DMTs enables | | | |

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."

| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
|-----------------------------|------------|--------|------------|------------------------------|------------|--------|------------|
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Likely | Major | High | 2020/21 | Possible | Major | Medium |
| 2021/22 | Likely | Major | High | 2021/22 | Possible | Major | Medium |
| 2022/23 | Possible | Major | Medium | 2022/23 | Possible | Major | Medium |
| 2023/24 | Possible | Major | Medium | 2023/24 | Possible | Major | Medium |

| Mitigating Actions | | | |
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| Mitigating Action | Responsibility Holder | Timescale | Mitigation action progress |
| Continually monitor and evaluate safeguarding processes and practice, and ensure good accountability for safeguarding. Ensure that where actions are identified from self-evaluation processes that these are implemented. | Safeguarding & quality assurance service manager | Ongoing | <p>Progress against the council's safeguarding priorities is evaluated annually and the priorities reflect the cornerstones for keeping people safe in Monmouthshire, as set out in the Corporate Safeguarding Policy.</p> <p>The Annual Safeguarding Evaluation Report was presented to Council in January 2021 and is based on activity and information from April 2019 to March 2020, just prior to the COVID-19 outbreak. Where relevant, the report adopts an 'as is' position and provides information regarding the ways in which the COVID-19 pandemic has affected safeguarding activity. 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.</p> <p>A safeguarding 'self-assessment' is undertaken every other year on a directorate basis via the Safeguarding Assessment Framework for Evaluation (SAFE). The key development 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. There was some interruption to this process because of COVID-19. The next self-assessment process will commence in April 2021.</p> <p>Through the pandemic, key functions of the Whole Authority Safeguarding Group (WASG) 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>WASG has met virtually during the pandemic. Through the pandemic, key functions of the WASG have continued, including Safeguarding response and risk assessment during COVID-19 pandemic. Feedback around directorate 'SAFES' into the WASG will resume in April 2021.</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>The continued upward trend in demand within both children's and adult's services puts services under pressure.</p> <p>Children's services remain committed to promoting good practice around children protection and safeguarding through the current development programme Building Best Practice (2019 - 2022). Family support services across all tiers of need and vulnerability have been significantly increased and there is a good level of stability within the workforce and leadership.</p> <p>There has been a significant increase in adult safeguarding concerns being referred to the Adult safeguarding team, which has impacted the timescales in which the safeguarding process can be completed.</p> |

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| | | | <p>CIW undertook a focussed inspection of adult safeguarding in February 2020. This recognised that the service had been reviewed and that a new structure was being implemented creating some additional capacity.</p> <p>In January 2021 the All Age Integrated Safeguarding hub was implemented to support multi-agency working in responding to safeguarding concerns.</p> <p>Through the Coronavirus pandemic, safeguarding has remained an essential part of our delivery supporting adults and children. The process for receiving and responding to referrals has not changed. Arrangements have been adjusted, and where required, different solutions have been identified to deal with situations.</p> |
| <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.</p> <p>Share learning and development in safeguarding.</p> <p>Implement the recommendations and learning from any Domestic Homicide review, adult practice review or child practice review that is undertaken under the safeguarding board.</p> | 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>Last year saw the Development of the Monmouthshire Exploitation Group (MEG), with representation from the Safeguarding Unit, Public Protection, Partnerships, Police, Gwent Missing Children's Team, Education and community-based teams. This group has overseen the development of a Monmouthshire Protocol for responding to Modern Day Slavery and Exploitation. It has been on hold through the pandemic, and there are plans in place now for a re-launch.</p> |
| <p>Deliver the implementation plan for the volunteering policy (adopted in December 2017) in all service/business areas and continue to implement the Volunteer toolkit and organisation wide use of Volunteer Kinetic - Volunteer management system.</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> | HR Manager & Communities and Partnership Development Team | Timescale as implementation plan | <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. A Volunteer Kinetic digital management system is in place, containing live volunteer safe recruitment information and activity, which is reported on a quarterly basis. Service area champions have also been introduced to ensure that all current and new volunteers are recruited through the appropriate channels.</p> <p>At the start of the pandemic, volunteer activity was suspended to assist community groups that mobilised in response to the pandemic with safeguarding arrangements. The Community Support Structure was established to assist people needing support being coordinated with the offers of support. The council ensured that community groups and volunteers were provided with the correct advice and support to ensure they were safe and appropriate. This included using the council's infrastructure to provide a safe recruitment function for voluntary groups, which has now been passed to Bridges and GAVO to ensure sustainability. Safeguarding training has also been delivered to volunteers through the Be. Community Leadership Programme</p> <p>The Council's role as an 'enabler' and 'influencer' of safeguarding standards within volunteer groups and organisations has developed significantly over the months of the pandemic. Work will be required to continue to support an increased volunteer network and longer term arrangements will need be considered to ensure we can support our community volunteering network to provide long-term benefit to our communities and to support safe volunteer workforce practices.</p> |
| To implement the Action Plan established in response to the Audit Wales led review of children's safeguarding. | Chief Officer, Social Care, Health & Safeguarding | Timescale as in action plan | <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 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 of employee data regarding safeguarding training, and rolling out of the matrix for self-assessment of Minimum Standards for Safeguarding Across Commissioned Services.</p> |

| - There is a national shortage of specialist fostering and residential placements for children with complex needs. | | | | | | | |
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| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Possible | Major | Medium | 2020/21 | Possible | Major | Medium |
| 2021/22 | Possible | Major | Medium | 2021/22 | Possible | Major | Medium |
| 2022/23 | Possible | Major | Medium | 2022/23 | Possible | Major | Medium |
| 2023/24 | Possible | Major | Medium | 2023/24 | Possible | Major | Medium |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| Continue to review and evaluate performance of Early Help and Family Support service. | | Head of Children’s services | March 2022 | There has been a real focus in Children’s Services to implement a co-ordinated approach to early intervention and prevention. 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 and feedback of our family support services indicates clear and positive outcomes for families. | | | |
| Continue to implement the fostering strategy on the recruitment, retention and skills development of in house fostering. | | | | | | | |
| Continue to review and embed MyST, a Multi-disciplinary Intensive Therapeutic Fostering Service and assess impact on placement activity with children with complex needs. | | | | 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. | | | |
| | | | | Monmouthshire is aiming to attract more foster carers to offer placements to look 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. | | | |
| | | | | The impact of the coronavirus pandemic on the possible disruption to Foster placements and/or carer recruitment continues to be monitored. | | | |
| 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 2022 | Children’s Services have completed a 3 year improvement programme (2016-2019), which concentrated on securing stability in the workforce, and developing a delivery model of practice, commissioning and service critical issues. The service is now moving onto a further 2 year programme (2019-2021), now extending to 2022. 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. | | | |
| Regularly assess the impacts as coronavirus restrictions change and social distancing continues across children’s services. | | Chief Officer, Social Care, Health & Safeguarding & Head of Children’s Services | Ongoing | Child services are priority services and remain fully operational. The process for receiving and responding to safeguarding referrals has not changed. During the pandemic Children’s Services had to adapt quickly to deliver services differently. Further information was provided to Children & Young People scrutiny committee in October 2020. | | | |
| | | | | Early help and support services continued to provide services via digital solutions. A parenting advice and support line was established within two days of lockdown, and between March and September, 154 calls were received. | | | |
| | | | | Risk assessments are 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. Staff absence and loss of staff due to the impact of COVID19 is a risk that has been and continues to be monitored, with a focus on staff welfare and protection through things like access to PPE and testing. | | | |
| | | | | 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 | | | |

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| | | | be monitored. Further analysis of the impact of COVID-19 on families and communities is needed to ensure that services are in place to respond to increased risk and vulnerability. |
| Review and monitor the Looked after Children population rises in line with Welsh Government expectations | Head of Children's services | As per plan provided to WG | <p>The number of looked after children 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. At the end of December 2020 218 children were looked after. This is still significantly more children looked after than in recent years and pressure remains on services.</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 aimed at reducing 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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| Ref & Status | 8 | Risk | Potential Risk to: The robust delivery of the Council’s care responsibilities and services related to vulnerable adults as a result of an increase in demand, complexity in cases, and additional risks through coronavirus affects the well-being of some of our most vulnerable residents | | | | |
| Risk Owner and cabinet Member responsible | | Julie Boothroyd & Cllr Penny Jones | | Select Committee | Adults Select | Strategic objective | Lifelong wellbeing |
| Reason why Identified | | | | | | | |
| Referrals to Adult’s Services have increased over recent years, and services are facing increased pressure as a result. Difficulties in recruiting to care posts has exacerbated the pressure | | | | | | | |
| The care at home /domiciliary care sector is under considerable pressure; Monmouthshire has specific challenges due to rurality and demographics. A number of providers have left the market, which has created some critical pressure points. The fragility of the social care sector and the availability of care remains a key risk, Covid has added a further risk to what was already a difficult area. | | | | | | | |
| Evidence has shown that older age and certain underlying health conditions, as well as other factors, are associated with greater risk and impact of COVID-19. Care homes have particularly been affected by Covid-19 with many homes suffering outbreaks. Patients being discharged from hospital and new residents admitted from the community could increase the risk of the virus entering the home. The care home sector is under strain and working hard to minimise transmission in order to keep residents safe, whilst some are experiencing financial challenges threatening longer term sustainability. | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Almost certain | Major | High | 2020/21 | Likely | Major | High |
| 2021/22 | Likely | Major | High | 2021/22 | Likely | Major | High |
| 2022/23 | Likely | Major | High | 2022/23 | Possible | Major | Medium |
| 2023/24 | Likely | Major | High | 2022/23 | Possible | Major | Medium |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| Monitor requests for Domiciliary Care to ensure demand is being met and delays are minimised | | Chief Officer, Social Care & Health | April 2021 | Care at home services and reablement services are under pressure, with delays and increases in demand. These pressures and delays have increased during the winter and the second wave of the pandemic, with absenteeism and loss of staff due to the impact of COVID19 adding to existing pressures. These have continued to be managed as far as possible and the situation of services has improved in recent weeks but still remains a risk. All referrals are triaged at point of referral to ensure that those in most need are prioritised for assessment and intervention. Despite the availability of short term funding streams e.g. Winter monies, Discharge to Recover – there has not been available workforce (Social Work / Therapies) through agency or any other means to manage the capacity gaps. | | | |
| Implement work to create sustainability in care at home services | | Chief Officer, Social Care & Health | Ongoing | A key risk that remains is the fragility of the social care sector and the availability of care; Covid has added a further risk to what was already a difficult area. | | | |

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| | | | <p>The Council remains committed to developing a more sustainable care at home sector for the future. Work is ongoing with providers across Monmouthshire to implement the 'Turning the world upside down' approach. Progress has been paused during the current year, as a consequence of the impact and response to the pandemic, and to also assist in the in-year budget recovery plan. The implementation strategy is being reviewed during 2021/22 with a view to revised proposals being given future consideration.</p> <p>The vision of being able to have a more sustainable sector where we are able to meet ongoing demand, whilst meeting people's outcomes, has been very central to work through the pandemic.</p> <p>Covid 19 has had some positive impact on our ability to recruit, with more people seeking employment and the positive portrayal of social care. A central team has been developed to manage the high volume of work associated with the recruiting processes, and this approach is being considered as an option for a more whole sector wide approach. Despite this, it remains high risk with chronic deficiencies in some key areas.</p> |
| Strengthen and implement community testing arrangements and support the Covid-19 vaccine roll out with ABUHB, to help mitigate the risk of an outbreak of Covid-19 in care homes | Chief Officer, Social Care & Health | Ongoing | <p>Prior to hospital discharge and admission to a Care Home, tests will be carried out to prevent the spread of Covid-19. Arrangements have been enhanced for this.</p> <p>In December 2020 Welsh Government issued new guidance so that people with a negative Covid test, or a low positive test, may be discharged to home or a social care setting, providing other criteria are met such as 14 days having elapsed since the last positive test.</p> <p>The Gwent Standard Operating Procedure requires that anyone being discharged from hospital to a care home must have had a Covid-19 test with a negative result within 48 hours prior to discharge; a fourteen day isolation period will then be required.</p> <p>Homes with outbreaks are being supported in collaboration with Public Health Wales, Aneurin Bevan University Health Board and Environmental Health. Following an outbreak homes will need to remain closed to admissions/transfers for a period. Welsh Government guidance allows, based on local circumstances, to declare outbreaks over after 20 days have elapsed since the last positive test or manifestation of symptoms. This modification of the previous 28-day requirement will be subject to a confirmatory round of negative or low positivity tests at the 14 day point. Two rounds of whole home testing are undertaken which need to be negative before incident is closed after 20 days.</p> <p>Residents in a care home for older adults and staff working in care homes for older adults, along with front line health and social care workers are in the top priority groups for the COVID-19 vaccine roll out. Working with ABUHB all residents and staff of care homes for older people have been offered vaccinations. The vaccine has been offered to all front line social care workers in the Council. Work is now underway to ensure all younger adult care homes are offered the vaccination.</p> <p>The Welsh Government has rolled out Lateral Flow Device (LFD) testing of staff in care homes on a twice weekly basis to support the weekly PCR testing and identify asymptomatic Covid positive staff. A further programme of LFD testing for care at home staff is being rolled out and administered by the Council.</p> |
| Ensure that stocks of Personal Protective Equipment (PPE) continue to be available to providers as needed, and that the system of distribution remains in a manner that is proportionate to that need. | Chief Officer, Social Care & Health | Ongoing | <p>At the outset of the pandemic, the provision of PPE was a source of real anxiety for care home providers. There was a lack of clarity about the equipment required and it became very difficult to source. When supplies became available via Welsh Government, a weekly PPE ordering and delivery system was introduced. The system has worked well and feedback suggests that it has offered the necessary equipment required.</p> |
| Keep in place the system of active and prompt support regarding infection control in care homes | Chief Officer, Social Care & Health & Head of Public Protection | Ongoing | <p>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.</p> |

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| | | | This relationship and advice has been particularly important with the more specific and more intensive work undertaken with care homes with outbreaks of coronavirus. |
| Ensure the long term sustainability of social care providers | Chief Officer, Social Care & Health & Head of Public Protection | Ongoing | <p>It is vital that social care providers are able to provide care and support during and after the period of the pandemic and as such the council has a role in ensuring their financial sustainability and that they have access to sufficient resources, e.g. staffing.</p> <p>From the outset of the pandemic, a message of support that the Council would assist if they are experiencing any financial difficulty was given. The Welsh Government made a Hardship Fund available and enabled social care providers to make claims via the Council for any additional costs as a result of Covid19. The Council has supported providers through the claims process and has provided specific financial support to providers particularly affected by coronavirus. Confirmation is awaited from Welsh Government if the scheme will be extended past the 31st March 2021.</p> <p>Work continues to offer a suite of financial support options to ensure the financial sustainability of the sector, and the council is being proactive in making such offers where sustainability is considered an issue.</p> |

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| Ref & Status | 9 | Risk | Potential Risk that: 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. Failing to adapt to changes in the new curriculum and examination requirements | | | | |
| Risk Owner and cabinet Member responsible | | Will Mclean & Cllr Richard John | | Select Committee | CYP | Strategic objective | The best possible start in life |
| Reason why Identified | | | | | | | |
| Meeting the needs of vulnerable learners remains a priority but the gap in attainment between those not eligible and those eligible for Free School Meals (FSM) remains a concern. 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. Poor leadership, management, capacity and performance has been identified in some schools. There is an increasing demand for support for children with additional learning needs. The Monmouthshire PSB well-being plan recognises the importance of greater support for the well-being of children and young people, and there are areas where students’ well-being can be further supported. | | | | | | | |
| There are challenges in meeting the demand for Welsh Medium education provision in the future. | | | | | | | |
| 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: - Children who require additional support or are vulnerable are not able to access support in a known and supportive environment. - The ability of all our learners to keep learning and developing - Learners’ transition back into school and onto the next phase of their learning - Physical and mental health and well-being impact of learners could be a continuing risk factor | | | | | | | |
| 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: - Improve outcomes for pupils eligible for free school meals - Further strengthen the focus on increasing the number of pupils achieving excellent standards - Articulate a clear strategy for SEN provision - Strengthen the use of information gathered through self-evaluation to better inform improvement planning | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Likely | Major | High | 2020/21 | Likely | Major | High |
| 2021/22 | Likely | Major | High | 2021/22 | Likely | Major | High |
| 2022/23 | Possible | Major | Medium | 2022/23 | Possible | Major | Medium |
| 2023/24 | Possible | Major | Medium | 2023/24 | Possible | Major | Medium |
| Mitigating Actions | | | | | | | |
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| Ensure the commissioned arrangements with the Education Achievement Service (EAS) address the authority's concerns in challenging and supporting schools | 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>EAS have published their draft business plan for 2021/22. All schools will continue to be provided with a bespoke support package that compliments the priorities identified within their own School Development Plans (SDPs) in line with the levels of support they require. There is a degree of flexibility within the deployment model to allow for in-year changes in circumstances and to allow for changes in light of the pandemic.</p> <p>Monmouthshire's strategic priorities for 2020/21 aligned well with the recommendations from the Estyn inspection in April 2020. The year that followed has been unprecedented and in managing our response to the global pandemic, previous improvement priorities have taken a step back with a keen focus on the operational and tactical steps required to safely operate schools and provide blended learning. Through the authority's key strategic aims (articulate throughout the year) the service can be responsive to emerging needs in a rapidly changing environment. Whilst the current uncertainty remains, work continues to progress addressing our Estyn recommendations, and prioritising emerging need.</p> |
| <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 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>Schools are prioritising the wellbeing of all pupils as a pre-requisite for effective learning. This includes the development of a flexible approach to curriculum delivery, suitable for use in a range of contexts, and additional support to close the gap, to recover and to raise standards for priority groups. 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>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> |
| Ensure learners are well prepared for the assessment processes that replace GCSE, AS level or A level examinations in 2021 | EAS & MCC Ongoing | August 2021 | An announcement was made by the Minister for Education in Wales that there will be no GCSE, AS and A Level examinations in Summer 2021. In January 2021, it was announced that learners undertaking GCSE, AS and A levels approved by Qualifications Wales will have their 2021 qualifications awarded through a Centre Determined Grade model. Grades will be determined by their school based on an assessment of their work. Schools will be able to use a range of evidence to determine the grades to be awarded and a range of support from internal and external partners will be provided to prepare and facilitate schools through this process. Teaching the core content and aspects of each course remains a focus for learners in exam years. |
| 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 4 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 | 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 in the service business 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. The year that followed the inspection has been unprecedented and in managing the response to the global pandemic, these priorities have taken a step back. Key strategic aims have been adopted that can be responsive to emerging needs in a rapidly |

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| | | | changing environment. Whilst the current uncertainty remains, work continues to progress addressing our Estyn recommendations, and prioritising emerging need. |
| 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. Progress will be monitored by the Local Authority and Welsh Medium Forum. The 2020 annual update of progress towards the targets agreed by the Local Authority contained within the WESP 2017-2020 was presented to Children and Young People Select Committee in December 2020. The report concludes during the life of the current WESP, the council has addressed and made progress in many of the priority areas. However, it is recognised that this is not the case for all aspects of the plan and these areas will be prioritised going forward.</p> |
| 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>Following a statutory consultation process on a proposed new model for the delivery of ALN and Inclusion Services, Cabinet agreed to the implementation of a number of regulated alternations from April 2019. These included changes to the type and capacity of provision to Special Need Resource Bases in specified schools. From September 2019, the extended 'in-reach' services by the Pupil Referral Unit has provided significant additional resource to challenging behaviour in schools, to support 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> <p>A draft proposed strategy to develop ALN provision in Monmouthshire was presented to CYP select committee in November 2020. The strategy aims to develop sustainable and resilient ALN provision through four distinct and ambitious work streams.</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 and 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 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> |
| <p>In response to the Covid-19 pandemic:</p> <p>Develop the offer for children who require additional support or are vulnerable</p> <p>Deliver a distance learning offer to learners and continue to establish digital learning technologies and approaches</p> <p>Plan for learners' transition back into school and onto the next phase of their learning.</p> | EAS & MCC | Ongoing | <p>Since Christmas 2020, schools have been operating remote learning for the vast majority of pupils, except vulnerable learners and children of key workers. The Education team has worked closely with Social Services colleagues to determine six categories of learners who are vulnerable. The underlying principle is that anyone who is safer at school than at home should be in school. A weekly multi-agency Stable Lives and Brighter Futures meeting has been established to discuss and review support and provision for vulnerable pupils. This ensures that identified pupils are regularly monitored, and provision is flexible to meet needs.</p> <p>Foundation phase pupils returned to school from 22nd February and further primary aged pupils returned to face-to-face teaching from the 15th March. The local authority continues to engage with Welsh Government to plan and prepare, and are working in liaison with schools.</p> <p>The Education Achievement Service (EAS) continues to provide on-going advice and support to enable schools to develop their bespoke approach to blended learning. The council continues to offer, through the EAS, a significant amount of professional learning for schools so they are fully aware of the latest techniques and approaches. Work is underway to determine how best practice is developed and shared across the region.</p> |

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| | | | <p>The Education team has been working closely with schools and the digital team to understand the requirement for IT equipment amongst learners. Laptops have been ordered and are being distributed</p> <p>A range of support has been provided to schools to assist emotional wellbeing during the pandemic, with a focus on resilience and building the capacity of schools to support the emotional needs of their pupils.</p> |
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| Ref & Status | 10 | Risk | Potential Risk that: Loss or corruption of data due to cyber-attack or data mismanagement, which will compromise the delivery of essential council services | | | | |
| Risk Owner and cabinet Member responsible | | | Sian Hayward & Tracey Harry. Cllr Phil Murphy | Select Committee | Economy and Development | Strategic objective | All |
| Reason why Identified | | | | | | | |
| There have been 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 also a risk of cyber security being compromised through a lack of structured governance arrangements and planning. | | | | | | | |
| 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. | | | | | | | |
| 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. | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Possible | Major | Medium | 2020/21 | Possible | Major | Medium |
| 2021/22 | Possible | Major | Medium | 2021/22 | Possible | Major | Medium |
| 2022/23 | Possible | Major | Medium | 2022/23 | Possible | Major | Medium |
| 2023/24 | Possible | Major | Medium | 2023/24 | Possible | Major | Medium |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| 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 video call, as well as e-learning sessions. Cyber security training is delivered as part of the Corporate Induction, and continuous training is provided through the existing workforce. Training is targeted specifically to high risk areas where confidential data is held and shared. The network of Digital Champions are skilled in cyber threat awareness, and are updated through regular Digital champion’s workshops and meetings. Training attendance and events are monitored by the Information Governance Group. | | | |
| Continuous monitoring of cyber threat and mitigation by the security team and the DPO to identify technical solutions to potential risk areas | | Digital Projects Team | Ongoing | 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, all of which are current and certified The network cyber security risk is continuously monitored, with greater vigilance throughout the covid-19 pandemic. To mitigate the risk of cyber threat, investments have been made in event monitoring and management technology. | | | |

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| | | | An operational risk register is maintained by the Info Security Team, the SRS Security Team and MCC. This register is continuously monitored and updated, and reported to the Information Governance Group |
| Implement the Information Strategy to safeguard the integrity and security of our data while taking steps towards becoming a data-led organisation. | Information Governance Group | Ongoing | The Information Strategy was reviewed and updated in October 2017 to cover the 3 inter-related strands of Digital Information, Information Governance & Legislation, and Data use, Open Data & Business Intelligence. The strategy continues to be implemented with oversight from the Information Governance group. The strategy was due to be reviewed in August 2020 but has been delayed due to the impact of Covid-19. |
| Introduce a comprehensive digital EDRMS into the authority, ensuring data is categorised, tagged, and stored with appropriate retention guidelines applied. | Head of Digital | December 2020 | Implementation started in January 2020 with a programme to transfer all data and information off network drives onto a managed and structured EDRMS that is available 24/7 to authorised personnel. The structured rollout plan has been agreed by SLT and is being rolled out in conjunction with Teams and Teams Telephony functionality. |
| Develop a rigorous approach to data governance policies, ensuring that our data is structured and clean in order to aid BI, RPI and AI. | Head of Digital | Ongoing | 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. |
| Make use of the security features within O365 licencing to protect mobile devices and information sharing | Head of Digital | Ongoing | New licencing has been introduced, which incorporates 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' |

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| Ref & Status | 11a | Risk | Potential Risk that: Delays to the adoption and implementation of the Replacement Local Development Plan, due to the impact of the pandemic, environmental considerations (i.e. phosphates) and other external influences, could result in a lack of appropriate infrastructure (including affordable housing) to meet the future needs of the county. | | | | |
| Risk Owner and cabinet Member responsible | | Mark Hand and Cllr Bob Greenland | | Select Committee | Economy and Development | Strategic objective | Thriving and well-connected county |
| Reason why Identified | | | | | | | |
| 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. | | | | | | | |
| 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. | | | | | | | |
| The impact of the Covid-19 pandemic has caused a delay in progress of the Replacement Local Development Plan (RLDP), both internally and where external factors impact upon it. In addition to this, the Welsh Government published the corrected 2018-based population and household projections in August 2020. This new data has resulted in the need to revisit the Growth and Spatial Options and Preferred Strategy stages of the RLDP process. | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Possible | Major | Medium | 2020/21 | Possible | Major | Medium |
| 2021/22 | Likely | Major | High | 2021/22 | Likely | Major | High |
| 2022/23 | Likely | Major | High | 2022/23 | Likely | Major | High |
| 2023/24 | Likely | Major | High | 2023/24 | Likely | Major | High |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| Prepare an RLDP 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, Highways and Flooding Head of Planning | Ongoing | Work on the RLDP had reached the Preferred Strategy stage, with public consultation on the Preferred Strategy, along with the second call for candidate sites, having commenced in March 2020. As a result of COVID-19, the decision was taken in 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. A review of the RLDP issues, vision and objectives, in light of Covid-19, was undertaken and endorsed by Cabinet in June 2020, and demonstrated that the Plan’s strategic direction of travel remained relevant. | | | |

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| | | | <p>The Minister for Housing and Local Government issued a letter in 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>In accordance with this, the Council undertook a further assessment of the RLDP's Issues, Vision, Objectives and evidence base, and identified a number of key messages that will require ongoing consideration as the RLDP progresses through the Plan preparation process during the Covid-19 pandemic.</p> <p>The current LDP runs until 31st December 2021; in legislative provision, this is referred to as the 'drop dead date'. The risks associated with the LDP expiry date legislation for the Adopted LDP have dissipated following the publication of a letter from the Minister (24th September 2020) which clarified that the provisions in the Planning (Wales) Act 2014 relating to LDP expiry dates do not apply to LDPs adopted prior to that Act coming into force. This means that our current LDP, adopted in February 2014, remains an extant development plan for decision-making purposes until the RLDP is adopted. This clarification does not, however, change the urgent need for the Council to make timely progress on its RLDP and to get the RLDP adopted as soon as realistically possible.</p> <p>The unavoidable delays to Plan preparation, as a consequence of the current pandemic and publication of updated Welsh Government 2018-based population and household projections, has necessitated a further revision to the RLDP Delivery Agreement. This sets out a revised RLDP timetable, including the dates for revisiting the Growth and Spatial Options, Preferred Strategy and second call for candidate sites. This was agreed by Welsh Government in October 2020.</p> |
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| Ref & Status | 11b | Risk | 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 | | | | |
|--|------------|-------------|--|------------------------------|--|----------------------------|------------------------------------|
| Risk Owner and cabinet Member responsible | | | Cath Fallon & Cllr Sara Jones | Select Committee | Economy and Development | Strategic objective | Thriving and well-connected county |
| Reason why Identified | | | | | | | |
| <p>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. Residents have high demand for broadband services, however, a significant skills issue exists in the county with approximately 20% adults not using the internet. The 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 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 services moving to an on-line digital platform. 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. Of these, 2211 are under review, which include the Superfast Cymru 2163 target FTTP premises and the two RCDF grant projects. 5855 premises are still considered as 'no potential suppliers available'.</p> | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Likely | Substantial | Medium | 2020/21 | Likely | Substantial | Medium |
| 2021/22 | Likely | Substantial | Medium | 2021/22 | Likely | Substantial | Medium |
| 2022/23 | Likely | Substantial | Medium | 2022/23 | Possible | Moderate | Low |
| 2023/24 | Likely | Substantial | Medium | 2023/24 | Possible | Moderate | Low |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | | Responsibility Holder | Timescale | Mitigation action progress | | |
| 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. | | |
| 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 2163 premises under Superfast Cymru 2 for Monmouthshire, all to receive fibre to the premises. | | |

The risk will continue to be monitored through the first quarter of 2021/22 to determine if there are any impacts on the council, and its services, and the County, as a result of leaving the EU. At this time, a review will take place to determine if the risk level can be adjusted further.

| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
|-----------------------------|----------------|-------------|------------|------------------------------|----------------|-------------|------------|
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Almost Certain | substantial | High | 2020/21 | Almost Certain | substantial | High |
| 2021/22 | Likely | substantial | Medium | 2021/22 | Likely | substantial | Medium |
| 2022/23 | Likely | substantial | Medium | 2022/23 | Likely | substantial | Medium |
| 2023/24 | Likely | substantial | Medium | 2023/24 | Likely | substantial | Medium |

Mitigating Actions

| Mitigating Action | Responsibility Holder | Timescale | Mitigation action progress |
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| Continue to further develop understanding and coordinate preparations through the Council EU Transition working group | Chief Officer Enterprise and Head of Enterprise and Community Animation | Ongoing | <p>Many of the negotiations on Britain leaving the EU have been outside of the council's control; the risk levels have been assessed based on the lasted information on the remaining uncertainty and will continue to be reviewed.</p> <p>A working group continues to meet, 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 risk register has been established and the group will continue to monitor any impacts.</p> <p>An EU Transition webpage providing information for residents and businesses has been established and information has also been shared on social media. Service level planning has continued and business continuity mitigation strategies for services to consider/implement developed. Close working with and support from the WLGA has continued.</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. | Senior Leadership Team | Ongoing | <p>The Council has established working relationships with key partners, such as the Welsh Government, the WLGA and treasury advisers to work on 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>£45k was awarded to LA's for 2021/22 to assist in undertaking the necessary planning, co-ordination and preparation for ongoing EU transition and negotiations. A Welsh Government funded Community Cohesion grant has also been used to appoint a Community Cohesion Officer to identify and support EU citizens living and working in Monmouthshire and to help them through the transition. Funding for 2021/22 has been confirmed.</p> |
| Monitor the ongoing situation regarding fresh food supplies and any effect on the fresh produce supply chain | Chief Officer Enterprise and Head of Enterprise and Community Animation | Ongoing | 52% of fresh produce is imported into the UK. Any delays in customs clearance at ports could lead to food perishing whilst still on shipping containers, and this may also lead to price increases and budgetary pressures. Discussions regarding contingency measures are underway, for example, consideration of alternative menus, increasing the use of local suppliers, etc. and this will be monitored upon the return to school of pupils over the next few months. |

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| Ref & Status | 13 | Risk | Potential Risk that: The scale and complexity of the challenge could result in the authority failing to deliver on its policy commitment to reduce carbon emissions resulting in social, economic and environmental harm to current and future Monmouthshire residents and businesses | | | | |
| Risk Owner and cabinet Member responsible | | | Senior Leadership Team & Cllr Jane Pratt | Select Committee | Strong Communities | Strategic objective | Maximise the potential of the natural and built environment |
| Reason why Identified | | | | | | | |
| 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. | | | | | | | |
| If we are to stand a chance of slowing the rise in the Earth’s temperature, we need to act now. In 2019, councillors 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. | | | | | | | |

| When considering climate change, it is important to consider both how Monmouthshire is contributing to climate change, but also how resilient the county is to the likely impacts of climate change. Flooding, along with other extreme weather, can impact significantly on infrastructure, homes and businesses, along with disruption to community life and public services, particularly critical public services people rely on such as care services. | | | | | | | |
|---|----------------|-------------------------------|----------------------------|--|----------------|--------|------------|
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Almost certain | Major | High | 2020/21 | Almost certain | Major | High |
| 2021/22 | Almost certain | Major | High | 2021/22 | Almost certain | Major | High |
| 2022/23 | Almost certain | Major | High | 2022/23 | Almost certain | Major | High |
| 2023/24 | Almost certain | Major | High | 2023/24 | Almost certain | Major | High |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| Deliver the Monmouthshire County Council Climate Emergency Strategy | | Head of Policy and Governance | Timescales as per strategy | <p>A climate emergency was declared by Council in May 2019, followed by a strategy and action plan in October 2019. The strategy describes the ten objectives in place to reduce the council's carbon emissions to net zero by 2030, and Council agreed that the action plan will be an evolving document as new technologies develop and other opportunities arise.</p> <p>A member-led Climate Emergency working group has been established to take responsibility for ensuring the action plan continues to progress. The working group met for the first time in January 2020, and has used technology to continue meetings during the Coronavirus lockdown. There is already clear progress against 53 of the 68 actions. For example, attracting significant funding to progress circular economy initiatives such as repair cafes and the library of things, along with Active Travel routes; decarbonisation of our pension fund - the proportion of the fund invested in fossil fuel industries has reduced from 9.10% in 2018 to 2.35%, and 21.7% of the fund is now invested in a low carbon tracker. However, some actions are proving more difficult. Some of the EV fleet vehicles that need to be bought or leased, such as refuse and cleaning vehicles, have been tested and do not yet have the range and performance capability to deal with Monmouthshire's geography and topography. Restrictions connecting potential new energy generation to the national grid will limit our ability to develop new solar farms, and restrictions on site capacity at existing depot sites will delay our ability to introduce electric vehicles.</p> <p>It is clear that COVID-19 has caused delays to progressing some Climate Emergency aspirations, and it has created some uncertainty over funding. Furthermore, the pandemic is likely to impact on the economic, social, environmental and cultural well-being of the county, and there is a need to investigate this 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 the way we now integrate active travel.</p> <p>There is also a growing recognition nationally and internationally of the need to build climate change into a green recovery. Work has started on establishing a new strategic Environment Partnership Board, comprising of multi-agency partners who have a role to play in addressing issues in relation to biodiversity, climate change and other environmental matters. It is anticipated that this partnership will have the ability to support the council's Climate Emergency work by complimenting and maximising opportunities to take collective action in relation to carbon reduction, etc.</p> <p>Work to reduce carbon emissions at a regional level continues through the work of Climate Ready Gwent, for example, on electric vehicle charging, hydrogen feasibility and Carbon Literacy training. This work is likely to be strengthened through the proposed development of a Gwent PSB, Wellbeing Assessment and Wellbeing Plan. Further regional collaboration on decarbonisation is also taking place with Cardiff Capital Region partners.</p> | | | |
| Prepare and adapt for the impact of climate change. | | Senior Leadership Team | Ongoing | <p>In recent years, council services have considered what the potential risks to their services are, in order to start thinking about how to adapt to these risks. The Replacement Local Development Plan has a key role to play in making sure our communities are sustainable and resilient to the impacts of climate change. Changes to national planning policy on flooding are still awaited, but officers intend to take a precautionary approach, avoiding all built development on greenfield sites at known flood risk.</p> | | | |

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| | | | <p>WG has produced The National Strategy for Flood and Coastal Erosion Risk Management in Wales, and in response, Monmouthshire will be producing an updated Local Flood Management Plan during 2021/22.</p> <p>Much of the work to coordinate 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 efforts have been hindered by the Covid-19 pandemic. The impact of the floods continues to be reviewed and any potential mitigations identified. Measures to increase proactive maintenance and gully cleansing have been agreed.</p> |
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| Ref & Status | 14 | Risk | Potential Risk that: The spread of Coronavirus (COVID-19), and the emergence of variants of concern, will impact on staff and residents health and cause delays or reductions in the Council’s service delivery | | | | |
| Risk Owner and cabinet Member responsible | | Strategic Leadership Team & Cabinet | | Select Committee | Adult Select | Strategic objective | All |
| Reason why Identified | | | | | | | |
| COVID-19 is a new strain of coronavirus first identified in Wuhan City, China in December 2019. Public Health Wales is working closely with the Welsh Government, and the other UK public health agencies, to carefully monitor the situation and implement the planned response, with measures in place to protect the health of the public. In January 2021, the UK COVID-19 alert level was upgraded to level 5 (the highest level), ‘epidemic is in general circulation; transmission is high or rising exponentially and there is a material risk of healthcare services being overwhelmed’. In February 2021, the UK COVID-19 alert level was lowered to level 4 ‘a COVID-19 epidemic is in general circulation; transmission is high or rising exponentially’ and Welsh Government are monitoring the situation carefully to determine if lockdown measures can be reviewed. | | | | | | | |
| The 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. The impact of the pandemic could lead to an increase in staff absence due to illness or self-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. The Test, Trace and Protect protocol continues to operate, and presents a potential risk if large numbers of staff are required to self-isolate. Its impact will continue to be monitored. | | | | | | | |
| A developing concern is the occurrence of COVID-19 mutations and the impact these will have on vaccination efficacy and case rates. Evidence suggests that the mutations seen so far have resulted in changes to the virus that can increase the ease and rapidity of spread in the community, and impact on the effectiveness of vaccine. | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Almost certain | Major | High | 2020/21 | Almost certain | Substantial | High |
| 2021/22 | Almost certain | Major | High | 2021/22 | Almost Certain | Substantial | High |
| 2022/23 | Almost certain | Major | High | 2022/23 | Likely | Substantial | Medium |
| 2023/24 | Almost certain | Major | High | 2023/24 | Likely | Substantial | Medium |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| 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 | The main element of the council’s response was via the Emergency Response Team (ERT) which was formally stood down in May 2020. The multi-agency structures established to respond continue to meet with an MCC representative sitting on the Strategic Coordinating Group (SCG) and relevant Tactical Sub Groups. A Monmouthshire Council Covid Coordination Group continues to meet weekly maintaining oversight of Covid-related issues, with the Council’s Strategic Leadership Team continuing to respond as necessary. The ERT Covid risk register has formally been ‘closed’, with risks now being managed through the Strategic Risk Register and business plans for ongoing updates. A revised purpose has been established, along with revised strategic aims, which provide direction to all council activities specifically related to the Covid-19 pandemic. This has been through two updates, as the | | | |

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| | | | <p>situation has developed, and now sits at its third iteration, entitled the Winter Strategy. This will provide guidance on council direction until March 2021.</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 a wealth of information pertinent to the ongoing fluid situation.</p> |
| Implement, and continue to refine, the Council business continuity plans and strategies | Strategic Leadership Team | ongoing | <p>Heads of Service are updating plans to prioritise service delivery.</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> |
| <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"> i. Emergency response ii. Social care particularly in adult services and iii. Operational capacity to maintain essential services. | Strategic Leadership Team | ongoing | <p>Staff absence rates initially increased but have since reduced. This is being closely monitored for the impact on priority services. 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 and is being monitored closely to determine the impacts on staffing levels, should a large number of staff be identified as requiring 10 days self-isolation. Business Continuity strategies continue to be updated to ensure services can continue if staffing levels are significantly affected.</p> |
| Deliver with partner agencies an effective Test Track and Protect system to identify virus outbreaks quickly and contain them | Head of Public Protection | ongoing | <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> <p>Monmouthshire has partnered with Aneurin Bevan University Health Board, Public Health Wales and neighbouring local authorities to collaborate on a Gwent-wide approach. This 'mutual support' model has been key in swiftly dealing with cases anywhere within the Gwent area, with staff deployed from neighbouring areas to assist those in greatest need. Posts are made up of redeployed staff, EHO and newly recruited members. Funding for the TTP scheme has been secured until the end of September; plans beyond this point are uncertain.</p> |
| Work with partners on measures aimed at maintaining a reduced level of transmission and respond rapidly to a resurgence of COVID-19 cases identified via Trace, track and Protect. Use data supplied by PHW to monitor and respond appropriately to indicators that indicate an increase in community transmission. | Strategic Leadership team | Ongoing | Welsh Government and the Gwent Strategic Coordinating Group (SCG) continue to respond appropriately – with Monmouthshire County Council engagement as necessary. A series of agreed stand down criteria for the SCG has been agreed and continues to be monitored. Until these criteria have been met and SCG risks are either mitigated, transferred or tolerated, the multi-agency response will remain active and maintain an on-going response. |
| Work with the NHS to roll-out a COVID vaccination programme | Strategic Leadership team | July 2021 | <p>The council continues to work with ABUHB to support and coordinate the rapid roll out of the UK/WG vaccination strategy, and to utilise the vaccination supply currently available. Ongoing developments with regards to the distribution of vaccinations and increasing availability is being monitored and responded to.</p> <p>Residents in a care home for older adults and staff working in care homes for older adults, along with front line health and social care workers, are in the top priority groups for the COVID-19 vaccine roll out. Working with ABUHB, all residents and staff of care homes for older people have been offered vaccinations. The vaccine has also been offered to all front line social care workers in the Council.</p> |
| Continue to monitor the ongoing emergence of mutations to COVID-19 and adopt local and national protocol as it develops to mitigate the risks associated with the new variations. | Strategic Leadership team | ongoing | Arrangements are in place to manage increased surge community testing and arrangements are also being developed for Mass Community testing to address the current dominant Covid strain and Variants of Concern. |

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| Ref & Status | 15 | Risk | Potential Risk that: The coronavirus pandemic will have a considerable economic impact resulting in business closures and job losses | | | | |
| Risk Owner and cabinet Member responsible | | Frances O’Brien & Cllr Bob Greenland | | Select Committee | Economy and Development | Strategic objective | Thriving and well connected county |
| Reason why Identified | | | | | | | |
| The relaxation, reintroduction and changes to lockdown measures could result in business closures, job losses and increased unemployment. The removal of or changes to financial safeguards such as the furlough scheme and the availability of grants, could make it harder for local businesses to survive. The impacts to the hospitality and tourism sector and their supply chains could impact the economy of Monmouthshire. | | | | | | | |
| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Likely | Major | High | 2020/21 | Likely | Substantial | Medium |
| 2021/22 | Likely | Major | High | 2021/22 | Likely | Substantial | Medium |
| 2022/23 | Likely | Major | High | 2022/23 | Likely | Substantial | Medium |
| 2023/24 | Likely | Major | High | 2023/24 | Likely | Substantial | Medium |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| Continue to administer grants to businesses efficiently and effectively whilst WG funds are available to do so. | | Head of Enterprise & Community Animation | Ongoing | Support has been provided to local businesses, wherever possible, and specifically through the administration and timely payment of all of the COVID-19 grants since the pandemic started. | | | |
| Continue to provide advice and support to businesses through our networks, officers and social media platforms. | | | | The Council has strived to ensure businesses are aware of the support available and continued to provide business advice and support throughout, including holding regular meetings of the Monmouthshire Business Resilience Forum and livestreaming events. | | | |
| Work with the local business community in re-opening our Town Centres | | Head of Placemaking, Highways and Flooding | Ongoing | Work has taken place to support Monmouthshire’s town and village centres, and the businesses that reside within them. Work continues to adapt our main town centres to support them and ensure their safe operation. Considerable consultation has taken place to seek the opinions of our residents and to gather ideas about how our town and village centres could look in the future to inform this. Currently non-essential shops are closed as part of coronavirus regulations. Further support will be considered based on the latest guidance and evidence as it develops. | | | |
| | | | | On-going consultation continues with the local Chambers of Commerce via the Monmouthshire Business Resilience Forum. | | | |
| | | | | The Council is expanding its regeneration capacity and will seek to maximise use of, and access to, grant funding and financial support to support businesses and our town centres. | | | |
| | | | | The replacement Local Development Plan will contain new policies aimed at supporting the future of our high streets. In the meantime, flexibility will be applied, where appropriate, to support the vitality and viability of our town centres. | | | |
| Agree a coherent marketing and communications plan with our local business community via the Monmouthshire Business Resilience Forum. | | Head of Enterprise & Community Animation | Ongoing | There is an ongoing communications campaign encouraging businesses to apply for grants, alongside wider promotion of government business and job retention programmes. Further marketing and communications will be considered based on the latest guidance and evidence as it develops, for example, a developing Spring-focussed ‘Shop Local, Shop Monmouthshire’ campaign . | | | |

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| Ref & Status | 16 | Risk | Potential Risk that: The coronavirus could have a disproportionately negative impact on the well-being of some sections of our communities, resulting in increased poverty and inequality | | | | |
| Risk Owner and cabinet Member responsible | | Frances O'Brien & Cllr Sara Jones | | Select Committee | All | Strategic objective | All |
| Reason why Identified | | | | | | | |
| There is evidence that the economic impact of the virus disproportionately affects low income households including those working in lower-paid sectors, which can exacerbate issues of poverty and inequality. Those on lower incomes could be at higher risk of unemployment due to business closures and potential redundancy. Lockdown measures have seen businesses close, recreation activities limited, and education mechanisms altered drastically. | | | | | | | |

| <p>There is a possibility that there is a latent homeless need (eg rent arrears, landlord wishing to sell) in Monmouthshire that could emerge when Government brings temporary private sector non-eviction rules and the Furlough/job support measures to an end at some point in the future. Those on lower incomes are also less-likely to have access to technology and outdoor spaces. There is also 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, and evidence has shown age, underlying health conditions and ethnicity, along with other factors, is associated with greater risk and impact of COVID-19. The impact of the pandemic on families could result in financial hardship, and related issues such as food poverty and homelessness.</p> <p>In addition, Welsh Government homeless policy changes through the Phase 2 Planning Guidance for Homelessness and Housing Support, whilst positive, has created challenges relating to the availability of temporary and permanent accommodation, the type and quality of accommodation and the range of housing support available necessary to meet current and emerging homeless need.</p> | | | | | | | |
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| Risk Level (Pre-mitigation) | | | | Risk Level (Post-mitigation) | | | |
| Year | Likelihood | Impact | Risk Level | Year | Likelihood | Impact | Risk Level |
| 2020/21 | Likely | Major | High | 2020/21 | Possible | Substantial | Medium |
| 2021/22 | Likely | Major | High | 2021/22 | Possible | Substantial | Medium |
| 2022/23 | Likely | Major | High | 2022/23 | Possible | Substantial | Medium |
| 2023/24 | Likely | Major | High | 2023/24 | Possible | Substantial | Medium |
| Mitigating Actions | | | | | | | |
| Mitigating Action | | Responsibility Holder | Timescale | Mitigation action progress | | | |
| Continue to promote access to benefits, including spreading council tax payments over longer periods | | Assistant Head of Finance | Ongoing | An online resource has been compiled with partners which aggregates all sources of potential poverty related support into a single place. This has been successfully promoted on social media and shared with partners and all schools. | | | |
| Undertake data modelling to identify communities at greatest risk and use this to target pro-active responses such as commissioning of services | | Head of Enterprise & Community Animation and Head of Policy & Governance | As per action plan | <p>A Tackling Poverty and Inequality Action Plan has been developed and approved by Cabinet in March 2021. Data modelling using GIS has informed the production of the action Plan. The action plan provides details of the proposed activities for the next two years and the targets by which success will be measured</p> <p>Close working with partners is being undertaken to track data in real time to help understand the emerging situation and act accordingly (e.g. the number of food bank parcels issued, referrals for housing support, nature or queries to Citizens Advice, use of RSL hardship funds).</p> | | | |
| 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 | As per strategy | <p>The third iteration of the social justice strategy was approved by Cabinet in March 2021. The strategy has been developed in consideration of the impact, changes and learning as a result of the pandemic, and sets out a new direction for strategy and the council's service areas, in particular the Community Support Network (which forms part of the Community and Partnership Development Team's activities). The strategy also demonstrates the continued commitment to work in partnership, at national, regional and local community level, to implement the policy interventions, approaches, support and methods to improve outcomes for people and communities.</p> <p>Whilst the Aim of the Strategy will remain the same, rather than a broad programme of work, this third phase of the Strategy will provide policy coherence for a number of targeted individual action plans. These have been produced following consideration of the rapidly changing situation as a consequence of the pandemic, and will continue to help promote equitable prosperity in Monmouthshire. The action plans include Tackling Poverty and Inequality, Food Development and Homeless Transition.</p> | | | |
| Implement systems to meet the requirements of the new Phase 2 Homeless Transition Plan | | Head Of Placemaking, Housing, Highways and Flooding | As per Homeless Transition Plan | <p>During the pandemic, the level of demand for homelessness accommodation increased as Welsh Government mandated all councils to ensure nobody sleeps rough or is at risk of sleeping rough. Welsh Government released the Phase 2 Planning Guidance for Homelessness and Housing Related Support, which sets out their future homeless policy intentions. The core of the policy is rapid rehousing and to provide long-term accommodation with support if needed. The necessity to provide temporary accommodation continues to increase, and many applicants need specialist accommodation and housing support, which largely is not available in Monmouthshire. Furthermore, arising issues with placements is not uncommon and the risk of placement breakdown is relatively high. Unfortunately, not all support needs can currently be met through the existing Housing Support Grant Programme, which is scheduled for re-commission in April 2023.</p> <p>The Council's Phase 2 Homeless Transition Plan, as part of the wider Social Justice strategy, seeks to address the identified issues listed above, and help to transform homeless services in Monmouthshire. A request for</p> | | | |

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| | | | Phase 2 Homeless grant funding was made to Welsh Government in June 2020 to help facilitate a number of the proposals, which are all now operational. Whilst this funding is welcomed, its availability was only until 31st March 2021. An uplift by Welsh Government to the Housing Support Grant allocation has enabled the Council to maintain the Phase 2 Grant funded projects to continue beyond 1st April 2021. The Housing Support Grant uplift will also facilitate additional homeless support provision in the County, although the uplift is insufficient to meet all identified homeless support needs. In addition, the Council's Budget Pressure's Mandate process for 2021/22 will also facilitate additional funding for homelessness. The Homeless Transition Plan provides details of the proposed activities for the next two years and the targets by which success will be measured. |
|--|--|--|--|

Risks removed from the Whole Authority Strategic Risk Assessment – March 2021

| Risk | Mitigating Action Update | Reason for removal |
|--|--|--|
| 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 | <p>Emergency Planning has developed a list of priority services, and these are reviewed every two years. The pandemic has prompted a review of Priority 1 services, which has highlighted the need for a tiered BCM planning process. This process will provide guidance to departments on the stringency needed for their BCM planning arrangements, based on the priority level of their services.</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. Work has been undertaken to update business continuity plans, and strategies and dynamic changes to service delivery have been implemented as a matter of urgency.</p> | <p>Discussions amongst Emergency Planning colleagues have identified the need to review business continuity arrangements at an operational level, specifically around the re-categorising of services at P2 and P3 levels.</p> <p>Work is underway to ensure those services identified as P1 have robust BCM plans in place, and this will be monitored at an operational level, with the support of the Emergency Planning team.</p> |
| Potential Risk that: Declining recycling rates will prevent achievement of the Welsh Government target of 70% recycling rates throughout Wales. | <p>A number of changes to the HWRC services are underway, necessary to meet the future statutory recycling targets, and to deliver waste services efficiently and effectively moving forward. These include the continuation of the booking system at all sites, full closure of Usk HWRC, introduction of revised opening hours of 08:00 to 16:00, and an additional day closure at Five Lanes and Llanfoist.</p> <p>In addition to this, amendments to the green waste collection service have been implemented, including changes to the container for garden waste, frequency of collection, and an increase in the annual charge for customers. This will contribute to achieving national statutory recycling targets, minimise budget pressures and provide sustainable garden waste services going forward.</p> <p>There have been considerable changes in behaviour since the start of the pandemic, which has resulted in increased recycling rates.</p> | <p>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. The first quarter of 2020/21 saw recycling rate increase to 71.1%, compared to 65.6% in the same period in 2019. Furthermore, early figures suggest that rates have continued above last year's recycling rates for quarters two and three.</p> <p>Recycling rates will continue to be monitored closely by the service. The risk will continued to be managed at a service level.</p> |

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 its 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 | | | |

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| High risk | The risk is highly likely to occur and the impact will be major. Management action/control evaluation and improvement is required coupled with continued pro-active monitoring |
| Medium risk | The risk is unlikely to result in a major issue, however, if it did the impact would be significant or serious . 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. |
| Low risk | The risk is very unlikely to occur and the impact will be minor or moderate at worst. Risk will be managed by seeking control improvements where practical and / or monitoring and reviewing at regular intervals |