



CYNGOR BWRDEISTREF SIROL
RHONDDA CYNON TAF
COUNTY BOROUGH COUNCIL

COMMITTEE SUMMONS

C Hanagan
Service Director of Democratic Services & Communication
Rhondda Cynon Taf County Borough Council
2 Llys Cadwyn
Taff Street
Pontypridd
CF37 4TH

Meeting Contact: Hannah Jones - Council Business Unit, Democratic Services
(07385401954)

YOU ARE SUMMONED to a hybrid meeting of the **GOVERNANCE AND AUDIT COMMITTEE** to be held on **TUESDAY, 27TH FEBRUARY, 2024** at **5.00 PM**.

Non-Committee Members and Members of the public may request the facility to address the Committee at their meetings on the business listed although facilitation of this request is at the discretion of the Chair. It is kindly asked that such notification is made to Democratic Services by Friday, 23 February 2024 on the contact details listed above, including stipulating whether the address will be in Welsh or English.

AGENDA

**Page
No's**

1. DECLARATION OF INTEREST

To receive disclosures of personal interest from Members in accordance with the Code of Conduct

Note:

1. Members are requested to identify the item number and subject matter that their interest relates to and signify the nature of the personal interest: and
2. Where Members withdraw from a meeting as a consequence of the disclosure of a prejudicial interest they must notify the Chairman when they leave.

2. MINUTES

To receive the minutes of the previous meeting of the Governance and Audit Committee held on 24th January 2024.

3 - 10

**3. AUDIT WALES WORK PROGRAMME AND TIMETABLE
(QUARTERLY UPDATE TO 31 DECEMBER 2023) - RHONDDA
CYNON TAF COUNTY BOROUGH COUNCIL**

11 - 26

4. LEARNING AND DEVELOPMENT - EXTERNAL AUDIT

5. STRATEGIC RISK REGISTER UPDATE

27 - 62

6. INTERNAL AUDIT SERVICE 2024/25 - VERBAL UPDATE

7. URGENT BUSINESS

To consider any items, which the Chairman, by reason of special circumstances, is of the opinion should be considered at the meeting as a matter of urgency.

Circulation:-

County Borough Councillors: Councillor G Hopkins, Councillor M Maohoub (Vice-Chair), Councillor S Rees, Councillor B Stephens, Councillor L A Tomkinson and Councillor A J Ellis

Lay Members: Mr C Jones (Chair), Mr M Jehu and Mr J Roszkowski

Mae'r ddogfen hon ar gael yn Gymraeg / This document is also available in Welsh



RHONDDA CYNON TAF

RHONDDA CYNON TAF COUNCIL

Minutes of the virtual meeting of the Governance and Audit Committee held on Wednesday, 24 January 2024 at 5.00 pm.

This meeting was recorded, details of which can be accessed [here](#)

Chair present:

Mr C Jones (Chair)

The following Committee Members were present:

Councillor M Maohoub Councillor S Rees
Councillor B Stephens Councillor L A Tomkinson
Mr J Roszkowski

Officers in attendance

Mr A Wilkins, Director of Legal Services and Democratic Services
Mr M Crumbie, Head of Procurement Delivery
Mr P Griffiths, Service Director – Finance & Improvement Services
Mr A Wathan, Head of Regional Audit Service
Ms L Cumpston, Group Audit Manager
Mr C Evans, Data & Systems Manager
Mr C Millard, Temporary Procurement Manager - Operations And Projects
Mr I Phillips – Audit Wales

43 Welcome and Apology

The Chair welcomed attendees to the meeting of the Governance and Audit Committee and an apology for absence was received from County Borough Councillor A Ellis.

44 Declaration of Interest

In accordance with the Council's Code of Conduct, there were no declarations made pertaining to the agenda.

45 Minutes

It was **RESOLVED** to approve the minutes of the 19th December 2023 as an accurate reflection of the meeting.

46 Procedure Rules Update (PowerPoint presentation) - an overview of the Council's Contract and Financial Procedure Rules

Prior to receiving an overview of the Contract and Financial Procedure Rules,

Members were informed by the Service Director of Finance and Improvement Services that the update had been informed by the Governance and Audit Committee's Learning and Development Plan, which had been agreed by the Committee on 14th February 2023. The Service Director noted that this was the first update to the Committee in respect of the Procedure Rules and informed Members that its purpose was to raise awareness of their content, which was a key element of the Council's Constitution and applied to all officers and Elected Members of the Local Authority. The Service Director added that the update sought to further enhance the Committee's understanding of the Procedure Rules and would provide context to future reports presented to the Governance and Audit Committee.

With the aid of a PowerPoint presentation, the Data and Systems Manager and the Procurement Manager provided the Governance and Audit Committee with an overview of the Council's Contract Procedure Rules. Members were informed that the main purpose of the Contract Procedure Rules is to ensure legal compliance by giving structure to members of staff when procuring.

The presentation included an overview of the relevant legal framework, the governance arrangements and information in respect of the changes to the Procurement Bill, Social Partnership and Public Procurement (Wales) Act 2024, with an implementation period expected by October 2024.

One Member questioned if there was collaborative work undertaken with other Local Authorities in respect of the procurement process, which might achieve better value when buying products in bulk. The Procurement Manager confirmed that partnership work was embedded within the procurement process and that all Public Sector Bodies in Wales were members of a Welsh Government Commercial Delivery Team, which typically involves common items of spend.

The Member questioned whether it was mandatory that officers take the lowest bid or if they consider any added value to the tender. The Procurement Manager advised that goods and services were rarely procured based on the lowest bid. It was explained that under the current regulations, tenders were valued on being the 'most economically advantageous', which takes into consideration a combination of acquisition cost and the cost of running the service. Members were informed that under the new regulations, the value will be based on the most advantageous, which would allow more scope to be given around added quality and benefits of a provider.

Furthermore, the Member requested that the Committee receive a further update in the future, in respect of the implementation and impact of the changes to the regulations, to which the officer agreed.

The Vice-Chair questioned how often contracts were kept within the South Wales area and queried if opportunities were well advertised to local businesses. The Head of Procurement advised that during the period April 2023 – November 2023, the Council spent approximately £200M; £144M of which was spent in Wales and £134M of which was spent within the South-East Wales Region. Members learned that of the £200M, £52M was spent on businesses with a Rhondda Cynon Taf postcode. In terms of advertisement, the officer informed the Committee that service areas were encouraged to procure locally, where possible, and spoke of a local business directory located on the Council's website. The officer advised that local businesses were encouraged to sign up to the directory, which links to a dashboard that allows officers to contact the

businesses and notify them of relevant adverts. The officer acknowledged that the tendering process for Public Sector contracts could be challenging, in terms of paperwork, and advised that the Council links in with Business Wales and Sell2Wales who can provide businesses with advice and guidance.

The Chair acknowledged the complexity of legislation and questioned whether the EU element is completely removed from the process. The Head of Procurement explained that the new Public Contract Regulations would broadly mirror the same principles of openness and transparency, would continue to allow companies outside of Wales to bid for contracts and would simplify the process to encourage SME's to bid for contracts.

Following questions on the Contract Procedure Rule presentation, the Service Director of Finance and Improvement Services provided the Governance and Audit Committee with an overview of the Council's Financial Procedure Rules via PowerPoint slides. The Service Director informed the Committee that the purpose of the Financial Procedure Rules is to provide a framework for managing the Authority's financial affairs.

As part of the presentation, Members were provided with context in respect of the Council's Scheme of Delegation before being provided with an overview of the key areas within the Financial Procedure Rules:

- Financial Management;
- Financial Planning;
- Risk Management and Control of Resources;
- Financial Systems and Procedures; and
- External Arrangements.

The Chair thanked the Service Director for the detailed updates to Committee and it was **RESOLVED**:

1. To note the update.

47 Audit Wales Report - 'Use of Performance Information: Service User Perspective and Outcomes' - Council Progress Update

The Governance and Audit Committee were provided with the Audit Wales report in respect of the Council's 'Use of Performance Information: Service User Perspective and Outcomes' and the actions to be taken by the Council to implement the recommendations.

Mr I Phillips from Audit Wales informed the Committee that the work was undertaken with all 22 Local Authorities and that the intention was to publish a national report in March 2024, to outline the common themes identified.

Audit Wales took the opportunity to outline the scope of the exercise and to explain why this was an important area of consideration. Audit Wales stated that providing services is a key role for a Council, and as such, performance information helps the Council understand outcomes from the perspective of the service users and whether the work its doing is achieving its objectives. Audit Wales noted that this was not a review of the Council's consultation and engagement activity, but about the performance information that the Council uses to help understand the perspective of its service users.

Audit Wales' findings highlighted that the performance information provided to Senior Leaders did not generally enable them to understand the service user perspective and the outcomes of the Council's activities, apart from a few limited examples. It was explained that, generally, reports did not include performance information from the perspective of service users and that the information provided in respect of service users was limited. Examples had been found within service self-evaluation reports, whereby service user information had been captured but the breadth of information was variable. In respect of outcomes, Audit Wales' findings highlighted that the performance information to Senior Leader was largely focussed on outputs rather than impact and evaluative. In relation to the accuracy of the data relating to the service user perspective and outcomes, it was found that the Council did not have arrangements in place to routinely ensure the data quality of performance information relating to service user outcomes. Finally, in relation to reviewing and learning, Audit Wales noted that the Council recognises that it needs to make better use of the data available to it and to strengthen its engagement with service users.

Audit Wales assured the Committee that its findings were fairly consistent with other Local Authorities and advised that the full comparison could be found in the National report, once published.

Audit Wales had made three recommendations to the Council and was satisfied with the Council's organisational response to its recommendations, which was documented in the papers before Members.

One Member queried which service areas were covered during the exercise and what methodology was used to gather the information. Audit Wales explained that information was obtained through published performance reports and the service self-evaluations from across the Council.

The Service Director of Finance and Improvement Services took the opportunity to inform the Committee of the Council's organisational response to the recommendations made by Audit Wales. The Service Director fed back that the Council's has comprehensive performance management arrangements in place and acknowledged that there was opportunity to use information more effectively to better demonstrate impact. It was noted that there were areas of good practice within the Council and that this needed to be applied further to enable a more consistent approach. The Service Director also noted that this was an area for improvement, identified within the Council's service self-evaluation process, which aligned to the feedback from Audit Wales.

In respect of the recommendations identified by Audit Wales, the Service Director fed back that work is on-going to focus on the impact of the Council's work from the perspective of the service user and indicated that case studies are being incorporated into quarterly Performance Reporting arrangements to help demonstrate impact.

With regard to the recommendation to strengthen the information provided to Senior Leaders to help determine whether the Council is delivering its objectives, the Service Director fed back that Corporate Plan action plans are focussed on evaluative actions to strengthen this area and updates will be reported via Performance Reporting arrangements.

In terms of the recommendation relating to arrangements to check the quality

and accuracy of the information it provides to senior leaders relating to service user perspective and outcomes, the Service Director fed back that designated Data Teams are in place across the Council with updated arrangements being introduced to evidence the data assurance checks that are completed alongside support by corporate officers, as appropriate.

One Member spoke of the information gathered through the customer complaints and compliments arrangements, and asked if this information plays a part in the process. The Service Director fed back that customer complaints and compliments are captured via the Council's Customer Relation Management System and are taken into account as part of service delivery and planning processes, alongside direct engagement with service users.

The Chair thanked Audit Wales and the Service Director for the update and the Governance and Audit Committee **RESOLVED:**

1. To note the findings and recommendations within the Audit Wales Local Report – 'Use of performance information: service user perspective and outcomes' and the Council's response to the recommendations;
2. To consider whether there are any matters of a governance, internal control or risk management nature that require further action or attention by the Governance and Audit Committee; and
3. To consider whether there are any matters of a performance nature that require review by the Council's Scrutiny Committees.

N.B – Mr J Roszkowski left the meeting during this item.

48 Progress Against the Internal Audit Risk Based Plan 2023/24

The Audit Manager provided the Governance and Audit Committee with a position statement on progress being made against the audit work included and approved within the Internal Audit Risk Based Plan 2023/24.

The Audit Manager noted that the Internal Audit Risk Based Plan for 2023/24 was submitted to the Governance and Audit Committee for consideration and approved on the 4th July 2023. The Plan outlined the audit assignments to be carried out in order to provide adequate coverage to enable an overall opinion at the end of 2023/24.

The Audit Manager directed Members to Appendix A of the report, this detailing the status of each planned review, the audit opinion (where the audit is complete or has reached draft report stage) and the number of recommendations made to improve the internal control, governance and risk management environment. The report also included the following internal quarterly performance targets, which will assist internal audit management in monitoring the delivery of the approved plan:

- Qtr 1 = 10%
- Qtr 2 = 30%
- Qtr 3 = 50%
- Qtr 4 = 80%

As of 31st December 2023, 29% of the plan had been achieved, which was below the target set. The Audit Manager advised there was currently a vacancy, a maternity leave position and long-term sickness within the team and in order to address the shortfall, the team had actively engaged with SWAP and a Senior

Auditor had been employed on an interim basis.

Members were informed that in addition to the 29% completion of the plan, 24 audits were in progress, which meant a further 34% of the plan was currently in progress. The intention was to complete the audit assignments that are currently in progress to draft report stage in quarter 4, which would take the performance to over 50% of the plan. Furthermore, 16 audits had been allocated to auditors for quarter 4. The Manager noted that, historically, quarter 4 had always taken an upturn in performance; despite the ongoing gaps within the team, measures had been put in place to ensure the team would be in a good position to deliver an opinion at the end of the year.

Members were informed that of the 20 audit assignments, which had been completed to report stage, 19 were given a *Reasonable* or *Substantial Assurance* audit opinion. The report at draft stage was currently a *Limited Assurance* opinion but could be subject to change.

Members attention was drawn to Appendix A to the report, which included audits that were not started during 2022/23 or were incomplete at the year end. These numbered 31, with 27% complete to report stage and a further 19% in progress.

The Governance and Audit Committee **RESOLVED:**

1. To note the content of the report and the progress made against the Internal Audit Risk Based Plan 2023/24.

49 Internal Audit Recommendations Update

The Audit Manager provided the Governance and Audit Committee with a position statement on internal audit recommendations that have been made to identify those that have been implemented and those that are outstanding.

It was noted that recommendations are made at the conclusion of each audit review to identify improvements to be made to mitigate risk and strengthen controls. These recommendations are then included in the final audit reports and recipients are asked to provide a management response to indicate whether they agree to the recommendation, how they plan to implement them and target dates. The implementation of agreed recommendations are prioritised as high, medium or low priority.

Members were directed to Table 1 of the report that highlighted the different priority ratings which are used and the recommendation categorisation. Once the target date for implementation has been reached the relevant officers are contacted and asked to provide feedback on the status of each agreed recommendation.

Members attention was drawn to the tables within the report, which highlighted that there were no outstanding recommendations made in relation to audits completed in the audit plan for the previous financial year or the current financial year.

The Audit Manager noted that a total of 5 recommendations were made during 2022/23, which still had a future target date, and it was noted that several of these audits were finalised within the last 6 months and the proposed implementation timescales agreed.

The Chair thanked the Audit Manager for the report and the Governance and Audit Committee **RESOLVED:**

1. To note the content of the report and consider the information provided in respect of the status of the high and medium priority recommendations made by the Regional Internal Audit Service.

50 The Council's Finalised Annual Self-Assessment 2022/23 incorporating the Council's Corporate Performance Report - Verbal Update

The Service Director of Finance and Improvement Services provided the Governance and Audit Committee with a verbal update in respect of the Council's Finalised Annual Self-Assessment 2022/23.

The Service Director reminded Members that the draft Self-Assessment was considered by the Committee at its meeting held on 19th December 2023 and advised that the observations made by the Committee were included in a report to Council on 17th January 2024. The Service Director stated that the Self-Assessment had been approved by Full Council and that an email would be circulated to the Governance and Audit Committee with a link to the meeting, the final report and live stream for Members' information.

The Chair thanked the Service Director for the information and it was **RESOLVED:**

1. To note the update.

51 Internal Audit Service 2024/25 - Verbal Update

The Service Director referenced that at the Governance and Audit Committee meeting held on 19th December 2023, Members were informed that further to the 18th December 2023 Cabinet decision to bring back in-house the Internal Audit Service, the Committee would be kept up-to-date with the associated transition arrangements.

As such, the Service Director advised that a transition plan had been put in place, workforce related matters in terms of TUPE proceedings had commenced, regular engagement was in place with colleagues from the Regional Internal Audit Service and Internal Audit team members would be kept up-to-date as the transition plan is progressed. The Service Director also assured Members that the Committee would be kept up-to-date on progress.

The Chair thanked the Service Director for the update and it was **RESOLVED:**

1. To note the update.

This meeting closed at 6.30 pm

**Mr C Jones
Chair.**

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Audit Wales Work Programme and Timetable – Rhondda Cynon Taf County Borough Council

Quarterly Update: 31 December 2023

Annual Audit Summary

Description	Timetable	Status
A report summarising completed audit work since the last Annual Audit Summary, which was issued in March 2023	January/February 2024	Being drafted

Financial Audit work

Description	Scope	Timetable	Status
Audit of the Council's 2022-23 statement of accounts	Council Statement of Accounts	By 30 November 2023	Completed 30 November 2023
Audit of the Pension Fund's 2022-23 statement of accounts	Pension Fund Account	By 30 November 2023	Completed 30 November 2023
Audit of the 2022-23 statement of accounts for the following joint committees and charities	Llwydcoed Crematorium CSEC Welsh Church Act (Rhondda Cynon Taf, Bridgend, Merthyr Tydfil)	By 31 January 2024	Completed 19 January 2024

Description	Scope	Timetable	Status
Audit of various 2022-23 grant returns	<ul style="list-style-type: none"> • Housing Benefit Subsidy • Teachers' Pensions Return • NNDR Return • Two Pooled Budgets • SCW Workforce Development Plan return 	By 29 February	Ongoing (Teachers' Pensions Return and NNDR audits complete, rest are ongoing)

Performance Audit work

2022-23 Performance Audit work	Scope	Timetable	Status
Assurance and Risk Assessment	<p>Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources and acting in accordance with the sustainable development principle.</p> <ul style="list-style-type: none"> • Financial position 	Ongoing monitoring of financial position	Ongoing

2022-23 Performance Audit work	Scope	Timetable	Status
	<ul style="list-style-type: none"> • Capital programme management • Use of performance information – with a focus on service user feedback and outcomes • A consideration of other core arrangements and services 	<p>N/A</p> <p>February – September 2023</p> <p>April 2022 – March 2023</p>	<p>Audit Wales will not undertake detailed work at all councils as part of our 2022-23 work programme. We are currently exploring our options for undertaking a detailed piece of work on this topic either in 2023-24 or future years.</p> <p><u>Report published</u></p> <p>Complete</p>
<p>Thematic Review – Unscheduled Care</p>	<p>A cross-sector review focusing on the flow of patients out of hospital. This review will consider how the Council is working with its partners to address the risks associated with the provision of social care to support hospital discharge, as well as prevent hospital admission. The work will also consider what steps are being taken to provide medium to longer-term solutions.</p>	<p>August 2022 – October 2023</p>	<p>Reporting from February 2024 onwards.</p>

2022-23 Performance Audit work	Scope	Timetable	Status
Thematic review – Digital	A review of councils' strategic approach to digital, and the extent to which this has been developed in accordance with the sustainable development principle; and that it will help to secure value for money in the use of councils' resources.	January – September.	Report being drafted.

2023-24 Performance Audit work	Scope	Timetable	Status
Assurance and Risk Assessment	Project to identify the level of audit assurance and/or where further audit work may be required in future years in relation to risks to the Council putting in place proper arrangements to secure value for money in the use of resources and acting in accordance with the sustainable development principle.	Ongoing	Ongoing
Thematic review – commissioning arrangements	A review focusing on how councils' arrangements for commissioning services apply value for money considerations and the sustainable development principle.	January – July 2024	Scoping
Thematic review – Financial Sustainability	A review of councils' financial sustainability including a focus on the actions, plans and arrangements to bridge funding gaps and address financial pressures over the medium term.	March – June 2024	Scoping
Bespoke local project	A project to consider whether the Council has effective arrangements for ensuring that service areas are applying the sustainable development principle.	March – June 2024	Project brief issued

Local government national studies planned/in progress

Study	Scope	Timetable	Status	Fieldwork planned at Rhondda Cynon Taf County Borough Council
Planning for sustainable development – Brownfield regeneration	Review of how local authorities are promoting and enabling better use of vacant non-domestic dwellings and brownfield sites	October 2022 – September 2023	Report drafting – publication due January 2024.	Yes – Interviews were undertaken with nominated officer at eight councils (including Rhondda Cynon Taf) and survey.
Governance of special purpose authorities – National Parks	Review of systems and effectiveness of governance	November 2022 – September 2023	Report drafting – publication due February 2024.	No
Governance in Fire and Rescue Authorities	Review of systems and effectiveness of governance	September 2023 – August 2024	Fieldwork underway	No
Homelessness	Examining how services are working together to progress the response to homelessness.	To be confirmed	Scoping	To be confirmed

Estyn

Our link inspectors are continuing to work with Torfaen as part of our follow-up process for an authority causing significant concern. We inspected Conwy local government education service in the week beginning 6 November 2023, and the report will be published early in January 2024. We will be piloting our new inspection arrangements in the Vale of Glamorgan in the week beginning 11 March 2024. We will also be inspecting the Vale of Glamorgan's youth work services in the week beginning 19 February 2024, and the findings of that inspection will contribute to the evidence base for the LGES inspection.

We have published a report outlining the approaches of local authorities and secondary schools in promoting attendance. The report will be published on 18 January 2024.

Care Inspectorate Wales (CIW)

CIW planned work 2023-25	Scope	Timetable	Status
<p>Thematic reviews</p> <p>Community Learning Disability Team (CLDT)</p>	<p>Working with HIW we will complete a small sample of joint CLDT inspections in 2024. We will use this approach to evaluate and consider our approach to joint inspection.</p>	<p>2024-25</p>	<p>Planning</p>
<p>Stroke pathway</p>	<p>Working in collaboration with HIW a National Review of Patient Flow: a journey through the stroke pathway has recently been published.</p>	<p>Complete</p>	<p>Published</p>

CIW planned work 2023-25	Scope	Timetable	Status
National review of Care Planning for children and young people subject to the Public Law Outline pre-proceedings	<p>Purpose of the review</p> <p>To provide external scrutiny, assurance and to promote improvement regarding the quality of practice in relation to the care planning for children and young people subject to the public law outline pre-proceedings.</p> <p>To consider the extent to which practice has progressed since the publication of both the CIW 'National Review of care planning for children and young people subject to public law outline pre-proceedings' and the publication of the PLO working group report 2021 including best practice guidance.</p>	Awaiting publication	Publication January 2024
Child Protection Rapid Review	<p>The review looked at to what extent the current structures and processes in Wales ensure children's names are appropriately placed on, and removed from, the child protection register (CPR) when sufficient evidence indicates it is safe to do.</p> <p>Rapid review of child protection arrangements, Care Inspectorate Wales</p> <p>Rapid review of child protection arrangements – interim findings, Care Inspectorate Wales</p>	Published	Published
Deprivation of Liberty Safeguards Annual Monitoring Report for Health and Social Care 2022-23	<p>The 2020-21 report was published on 7 February 2021</p> <p>The 2021-22 report is underway.</p>	<p>Published</p> <p>To be confirmed</p>	<p>Published</p> <p>Preparing</p>

CIW planned work 2023-25	Scope	Timetable	Status
Joint Inspection Child Protection Arrangements (JICPA)	<p>We will complete a further two multi-agency joint inspections in total.</p> <p>The findings following Denbighshire County Council have been published – Joint Inspectorate Review of Child Protection Arrangements (JICPA): Denbighshire 2023</p> <p>The findings following Bridgend County Borough Council have been published - Joint Inspectorate Review of Child Protection Arrangements (JICPA): Bridgend 2023</p> <p>The findings from Powys County Council are underway.</p> <p>We will publish a national report in late spring 2024.</p>	April 2023 – April 2024	Delivery
Performance review of Local Authorities	<p>We continue to inspect Local Authorities in line with our updated Code of Practice for our local authority inspection activity</p> <p>How we inspect local authority services and CAFCASS Cymru</p>	Ongoing	Ongoing

Audit Wales national reports and other outputs published since December 2022

Report title	Publication date and link to report
Corporate Joint Committees – commentary on their progress	November 2023
Governance arrangements relating to an employment dispute at Amgueddfa Cymru – National Museum Wales	November 2023
Failures in financial management and governance and losses incurred – Harlech Community Council	November 2023
Putting out the false alarms: Fire and Rescue Authorities' responses to Unwanted Fire Signals	October 2023
Covering teachers' absence – follow-up (letter to the Public Accounts and Public Administration Committee)	October 2023
NHS workforce – data briefing	September 2023
Income Diversification for National Park Authorities in Wales	September 2023
Approaches to achieving net zero across the UK	September 2023
Springing Forward: Lessons learnt from our work on workforce and assets (in local government)	September 2023
Local Government Financial Sustainability Data tool update (further update planned in January 2024)	September 2023
NHS finances data tool – to 31 March 2023	September 2023

Report title	Publication date and link to report
Public interest reports – Ammanford Town Council and Llanferres Community Council	September 2023
Cwm Taf Morgannwg University Health Board - Quality Governance Arrangements Joint Review Follow-up	August 2023
'Cracks in the Foundations' – Building Safety in Wales	August 2023
Maximising EU funding – the Structural Funds Programme and the Rural Development Programme	June 2023
Digital inclusion in Wales (including key questions for public bodies)	March 2023
Orthopaedic Services in Wales – Tackling the Waiting List Backlog	March 2023
Betsi Cadwaladr University Health Board – Review of Board Effectiveness	February 2023
Welsh Government purchase of Gilestone Farm	January 2023
Together we can – Community resilience and self-reliance	January 2023
A Picture of Flood Risk Management	December 2022
'A missed opportunity' – Social Enterprises	December 2022

Audit Wales national reports and other outputs (work in progress / planned)^{1, 2}

Title	Indicative publication date
Ukrainian refugee services	February 2024
Betsi Cadwaladr University Health Board – review of board effectiveness follow-up	February 2024
A465 Section 2 – update	February 2024
NHS quality governance	March 2024
Local government digital strategy review – national summary	March 2024
Local government use of performance information, outcomes and service user perspective – national summary	March 2024
Affordable housing	Spring 2024
Active travel	Spring 2024

¹ We will continue to keep our plans under constant review, taking account of the evolving external environment, our audit priorities, the context of our own resourcing and the capacity of audited bodies to engage with us. Follow up work could also lead to other outputs, as may other local audit work where we consider there is merit in a national summary output of some kind.

² We have also published to our website a paper – [Our work programme for 2023-2026](#) – that provides additional detail about our national work (including local thematic reviews). In addition to new work that we will be taking forward in 2023-24, the paper includes details about indicative topics for work to start in 2024-24 or 2025-26.

Title	Indicative publication date
Audit Committees. 'What does good look like?'. Research and Development work to understand the broad audit committee landscape across all sectors in Wales. Outputs to support Good Practice Exchange events and potential future audit work.	Research and Development work September – December 2023 Good Practice Event Spring 2024
NHS Workforce planning (national messages)	Late spring 2024
Cancer services	Late summer 2024
The senior public service	To be confirmed (scoping early 2024)
Challenges for the cultural sector	To be confirmed (starting in 2023-24)
Rebalancing care and support	To be confirmed (starting in 2023-24)
Tackling NHS waiting lists (local audit work at health boards)	To be confirmed (starting in 2023-24)
Access to education for children with Additional Learning Needs	To be confirmed (starting in 2023-24)
Addressing biodiversity decline (pan-public sector and at Natural Resources Wales)	Research and Development work underway September to December 2023. Data gathering with representative groups. Outputs will inform any further audit work. Pan-public sector review – Autumn 2024
Velindre Cancer Centre	To be confirmed (scoping)

Title	Indicative publication date
Welsh Government capital and infrastructure investment	To be confirmed (scoping)
Further and higher education funding and oversight – Commission for Tertiary Education and Research	To be confirmed (scoping)

Good Practice Exchange events and resources

Title	Link to resource
The Good Practice Exchange – Our yearly round up of events and resources	December 2023
Integrity in the Public Sector ‘Trust is built and maintained through competence, reliability, and honesty, as well as the building of genuine and sound relationships between the public sector and the public it serves. That means the public sector must be accountable for the management and delivery of public services and outcomes, for the direction and control of the work it does, the resources it manages, and for its behaviour and ethics.’ This event will look at how public services can promote a culture of integrity.	5 December 2023 10 am to 12 pm online
Working in partnership to improve wellbeing This event will bring together the North Wales Insight Partnership, the Public Service Boards and the C4C community to share wellbeing plans across the North Wales region, as well as sharing the innovative work being undertaken by a range of sectors around wellbeing in our communities. The event will provide opportunities to discuss how we can connect all of this work to deliver real change.	24 October 2023 9.30 am – 4.30 pm Cardiff date: to be confirmed

Title	Link to resource
<p>Strategy to Action: How digital makes a difference to everyday lives This event will take a practical and honest view at the digital landscape in Wales and will offer practical ideas for public and third sector organisations which will help them achieve the best value for money.</p>	<p>27 September 2023 9 am to 1 pm – North Wales</p> <p>5 October 2023 9 am to 1 pm – Cardiff</p>
<p>Podcast: Auditing Community Resilience In this edition of The Exchange, our Local Government team discuss some of the factors that cause poverty in Wales, as well as the value provided by social enterprises, and the importance of keeping wealth in communities.</p>	<p>Podcast: Auditing Community Resilience, August 2023</p>

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RHONDDA CYNON TAF COUNTY BOROUGH COUNCIL

MUNICIPAL YEAR 2023/24

GOVERNANCE AND AUDIT COMMITTEE 27th FEBRUARY 2024	AGENDA ITEM NO. 5
REPORT OF THE DEPUTY CHIEF EXECUTIVE AND GROUP DIRECTOR – FINANCE, DIGITAL AND FRONTLINE SERVICES	STRATEGIC RISK REGISTER UPDATE

Author: Paul Griffiths – Service Director: Finance and Improvement Services

1. PURPOSE OF THE REPORT

- 1.1 The purpose of this report is to provide the Governance and Audit Committee with the latest Strategic Risk Register for the 2023/24 financial year in line with its role to review and scrutinise the Council's risk management arrangements.

2. RECOMMENDATIONS

It is recommended that Members:

- 2.1 Note the Council's latest Strategic Risk Register (**Appendix 1**) for the 2023/24 financial year.
- 2.2 Review the Strategic Risk Register and determine whether further updates on specific Strategic Risks are required and subsequently reported to the Committee.

3. REASONS FOR RECOMMENDATIONS

- 3.1 To assist the Governance and Audit Committee in discharging its responsibilities in respect of reviewing and scrutinising the Council's risk management arrangements, in line with its Terms of Reference.

4. BACKGROUND INFORMATION

- 4.1 The Governance and Audit Committee's Terms of Reference states its Statement of Purpose is as follows:

The Governance and Audit Committee is a key component of Rhondda Cynon Taf County Borough Council's corporate governance. It provides independent and high level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards.

The purpose of the Governance and Audit Committee is to provide independent assurance to the Members of Rhondda Cynon Taf County Borough Council of the adequacy of the risk management framework and the internal control environment. It provides independent review of Rhondda Cynon Taf County Borough Council's governance, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place.

- 4.2 In addition, Section C of the Committee's Terms of Reference goes on to identify the following responsibility in respect of the Council's Risk Management arrangements:

Review, scrutinise and issue reports and recommendations on the appropriateness of the Authority's risk management, internal control and corporate governance arrangements, and providing the opportunity for direct discussion with the auditor(s) on these.

- 4.3 In line with the Committee's Terms of Reference, the [12th October 2023](#) Governance and Audit Committee received a 'Risk Management Strategy and Strategic Risk Register Update' that included the role of the Committee in respect of risk management and the arrangements in place to enable the Committee to discharge its responsibilities in this regard; an updated Risk Management Strategy; and updated Strategic Risk Register as at 30th June 2023.
- 4.4 As part of the above-mentioned update, the Committee's role in reviewing and scrutinising the Council's risk management arrangements included keeping up-to-date with its risk profile and effectiveness of risk management actions via review of the Strategic Risk Register and providing opportunity for Members to request additional information where further assurance is required.

5. STRATEGIC RISK REGISTER (2023/24)

- 5.1 The Council's 2023/24 Strategic Risk Register has been reviewed during the year and updates incorporated within quarterly performance reporting arrangements, the latest updates being reported to Cabinet on [20th November 2023](#) and thereafter to the Overview and Scrutiny on [13th December 2023](#).

5.2 With specific regard to 'keeping up-to-date with the risk profile and the effectiveness of risk management actions' as referenced in paragraph 4.4, the Committee is requested to review the Council's latest Strategic Risk Register (Appendix 1) and consider whether it wishes to receive more detailed updates on the arrangements in place to manage specific strategic risks.

6. EQUALITY AND DIVERSITY IMPLICATIONS AND SOCIO-ECONOMIC DUTY

6.1 There are no equality and diversity or socio-economic duty implications as a result of the recommendations set out in the report.

7. CONSULTATION

7.1 There are no consultation implications as a result of the recommendations set out in the report.

8. WELSH LANGUAGE

8.1 There are no Welsh language implications as a result of the recommendations set out in the report.

9. FINANCIAL IMPLICATION(S)

9.1 There are no financial implications as a result of the recommendations set out in the report.

10. LEGAL IMPLICATIONS OR LEGISLATION CONSIDERED

10.1 The Council's risk management arrangements satisfies the requirements placed upon it as set out within:

- Accounts and Audit (Wales) Regulations 2018 (regulation 4); and
- Well-being of Future Generations (Wales) Act 2015.

11. LINKS TO CORPORATE AND NATIONAL PRIORITIES AND THE WELL-BEING OF FUTURE GENERATIONS ACT

THE COUNCIL'S CORPORATE PLAN PRIORITIES

11.1 The Council's risk management arrangements support the delivery of the Council's Corporate Plan priorities by helping to identify risks that may adversely impact the achievement of objectives and outcomes.

WELL-BEING OF FUTURE GENERATIONS ACT

- 11.2 The Well-being of Future Generations (Wales) Act 2015 identifies a core set of activities that are common to the corporate governance of public bodies where change needs to happen. Risk Management is one of the identified core activities. The Council's risk management arrangements and strategic risk register conform to the requirements placed upon it by the Act.

12. CONCLUSION

- 12.1 The Council's Governance and Audit Committee plays a key role in supporting and challenging the Council's risk management arrangements and providing on-going independent assurance around the adequacy of those arrangements, as set out within its Terms of Reference.
- 12.2 In line with the Committee's role, that includes, keeping up-to-date with the Council's risk profile and the effectiveness of risk management actions, the Committee is requested to review the Council's latest Strategic Risk Register and consider whether it wishes to receive more detailed updates on the arrangements in place to manage specific strategic risks.



LOCAL GOVERNMENT ACT 1972
AS AMENDED BY
THE LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985
RHONDDA CYNON TAF COUNTY BOROUGH COUNCIL
GOVERNANCE AND AUDIT COMMITTEE

27th FEBRUARY 2024

STRATEGIC RISK REGISTER UPDATE

**REPORT OF THE DEPUTY CHIEF EXECUTIVE AND GROUP DIRECTOR –
FINANCE, DIGITAL AND FRONTLINE SERVICES**

Paul Griffiths – Service Director: Finance and Improvement Services

Item: 5

Background Papers

None.

Officer to contact: Paul Griffiths

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STRATEGIC RISK REGISTER 2023/24 – QUARTER 2 (TO 30TH SEPTEMBER 2023)

STRATEGIC RISK REGISTER REF:	1
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	Living within Our Means
Responsible Officer	Barrie Davies

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
<p>If the Council’s medium term financial planning arrangements do not support the development of sufficient and timely proposals to address forecasted reductions in funding levels and increased demand and cost of services, this may lead to unplanned reductions in service delivery and an inability to meet Corporate Plan priority outcomes.</p>	<p>CONTROLS</p> <ul style="list-style-type: none"> •A Budget and Policy Framework in place, as part of the Council’s Constitution, covering budget setting arrangements. •Budget planning and management arrangements set out as part of the Council’s Financial Procedure Rules. •Arrangements for the public reporting and scrutiny / engagement of annual budget setting, in-year budget monitoring updates, medium term financial plan (MTFP) updates, year-end statements of account, Treasury Management / Capital Strategy updates and Council Tax setting. <p>ACTIONS</p> <ul style="list-style-type: none"> •A Council wide and on-going programme of work, led by the Senior Leadership Team, to: <ul style="list-style-type: none"> ○ Refresh the MTFP to inform service planning and annual budget setting, 	5	4	20	<p>ORIGINAL RISK RATING 5 x 4 = 20</p> <p>The quarter 2 revenue position, forecasted as at September 2023, is projecting a £2.701M overspend at year-end, with the main contributing factors being increases in the cost of social care (reflecting the level of demand for services and the complexity and specialist nature of care required) and inflation levels remaining high that is driving further cost pressures and impacting on, for example, home to school contract costs and food costs within the Council’s Catering Service. A programme of work is progressing, as part of the Council’s robust financial and service management arrangements, to review all areas of expenditure and income to bring the revenue position closer in line with budget by year-end (with the outcomes from this on-going work being incorporated within Performance Reports during the year).</p> <p>Work during quarter 2 also focussed on:</p> <ul style="list-style-type: none"> •Working with the Council’s appointed external auditor, Audit Wales, to support the audit of the 2022/23 Statements of Account for the Council and the Rhondda Cynon Taf Pension Fund, with no significant areas of concern highlighted to date by the external auditor.

CONTROLS AND ACTIONS - the Council's risk response is to 'Treat' each strategic risk through taking positive actions to mitigate, as far as is practicable, adverse implications on the delivery of objectives.

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
	<p>and the publication of updates on an annual basis;</p> <ul style="list-style-type: none"> ○ Identify and assess budget saving options, in line with MTFP forecasts, and implement those that are approved (including early deliver wherever possible); ○ Robust in-year budget monitoring and reporting arrangements and compilation of year-end statements of account (including public reporting and scrutiny); ○ Assess reserve levels to underpin the Council’s financial stability and support one-off additional investment in Corporate Plan priority areas. <ul style="list-style-type: none"> ● Support to develop, implement and monitor service transformation strategies and initiatives, in line with the principles of the Well-being of Future Generations Act. 				<ul style="list-style-type: none"> ● An updated Medium Term Financial Plan (2023/24 to 2026/27) reported to Cabinet, full Council and the School Budget Forum, that set out the significant forecasted budget gap faced by the Council for 2024/25 and through to 2026/27 i.e. £35M for 2024/25 and £85M in total over the period 2024/25 to 2026/27. A council wide programme of work is underway across all service areas to identify budget saving options, including proposals to reduce service levels due to the scale of the budget gap and as a last resort after all efficiency options have been taken account of. ● Elected Members (Cabinet and Council) provided with an overview of the Council’s Reserve position that included the level of reserves and purposes for which they have been set aside for. ● Reports presented to Cabinet and Council that set out proposals for additional one-off investment of £7.7M in Corporate Plan priorities and a Local cost of living support scheme 2023 of £4.3M, with these proposals funded from resources already set aside, earmarked reserves and external funding. Both reports were approved, and will be progressed in the current year. <p>Prioritised work during quarter 3 will be to: maintain our focus on delivering services and current year spend within the agreed budget; working closely with Audit Wales to enable the external audit of the Council and Pension Fund 2022/23 Statements of Account to be completed and reported to full Council; updating elected Members on savings proposals identified to date together with service recommissioning / change proposals as part of contributing to balancing the 2024/25 revenue budget; and delivering the first phase of the Council’s 2024/25 budget consultation process.</p>

STRATEGIC RISK REGISTER REF:	2
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PEOPLE
Responsible Officer	Annabel Lloyd

Risk Description	Controls & Actions	Risk Rating			Qtr 2 Update 2023/24
		Qtr 2 2023/24	I	L	
<p>If Children's Services are not able to recruit sufficient numbers of experienced qualified social workers and are unable to access sufficient numbers of registered children's homes places that are close to home (whilst supporting the Welsh Government's ambitions to eliminate profit from this sector), then the Council's capacity to prevent escalation of need, and safeguard children as required by the Social Services & Wellbeing (Wales) Act may be compromised.</p>	<p>CONTROLS</p> <ul style="list-style-type: none"> • Managing priorities: Demand and key features of safe practice are monitored through Children Services Management Team via bi-monthly performance and quality assurance meetings. • Recruitment and Retention - A workforce strategy and steering group has been established to address the wider issues in relation to attraction, skills, workforce planning, staff engagement and staff well-being. • In addition to staff supervision, through the Council's well-being offer staff are supported by psychology led reflective spaces and can request 1:1 support. • Developing Registered Children's Homes that meet need: In February, Cabinet approved the Children's Services Residential Transformation Strategy that outlines plans to develop sufficient not for profit children's homes close to home over the next 3-5 years. <p>ACTIONS</p> <ul style="list-style-type: none"> • Dip sampling, quality assurance, and further evaluation or remedial work is carried out in response to early alert of a problem. • Additional capacity has been made available via agency supply where it can be accessed (it is scarce and mixed quality) and additional capacity has been created via 6 additional support workers and 3.5 business support roles. • Recruitment and Retention - an attraction campaign is in development with a revised website. Workforce Strategy is subject to review following 18 months of 	5	3	15	<p>ORIGINAL RISK RATING: 5x3=15</p> <p>Dip sampling of decision making at the front door is continuing with oversight by the Head of Service. The result of this work is reported to the Safeguarding and Prevention Quality Assurance Panel. Learning that is being identified is shared with practitioners.</p> <p>Care Inspectorate Wales thematic Public Law Outline Inspection report provides good assurance about decision making and effectiveness of risk management.</p> <p>There has been a continued focussed on recruitment and retention and further work on grow our own. Vacancy rate has changed from 25% to 21 %. Rate of exit has reduced, however leavers remain experienced qualified social workers and caseloads remain high and temporary capacity is required to prevent unallocated CP and CLA cases.</p> <p>Good progress has been made around the Children's Services Residential Transformation Strategy:</p>

Risk Description	Controls & Actions	Risk Rating			Qtr 2 Update 2023/24
		Qtr 2 2023/24	I	L	
	<p>implementation; focus in phase 2 will be retention of experienced staff and 'grow our own' whilst maintaining attraction campaigns.</p> <ul style="list-style-type: none"> • Undertake exit survey analysis whereby information about 'push' factors is collated. • Staff have ability to get involved in service developments via practitioner forum, inform updates, inform and involve face-to-face sessions, and staff surveys. • Additional resources have been made available to Children's Services staff to implement the strategy which will lead to developing not for profit registered children's homes that meet need. • Work is underway in line with Foster Wales to increase the numbers of foster carers that are available. • Work has commenced with therapy provider and staff to reduce escalation of need from foster care to children's homes, and progress reunification where that is in line with children and families' needs. 				<ul style="list-style-type: none"> • Willowford House (3 places) – is now registered • Ystrad Fechan (3 places) – statement of purpose change to register as a children's home has taken place but refurbishment is required, and a recent inspection identified areas for improvement including priority actions notices which are being addressed. • Catref Melys (4 places) – new acquisition, registration is expected in early 2024. • Purchase agreed of 1 site for 4 places and 2 solo sites. • As at 30.09.23 there were 5 children in OWR, Report supplied to Corporate Parenting Board on 2.10.23 • Reliance on less experienced staff in new homes and agency for OWR is subject to a focused action plan

STRATEGIC RISK REGISTER REF:	3
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PEOPLE
Responsible Officer	Neil Elliott

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
<p>If the Council does not continue to modernise and work with health colleagues to develop and deliver an integrated model of community services, then our ability to deliver these critical (key) services could be hindered resulting in a potential failure to support some of our most vulnerable residents which in turn could increase demand on our services.</p>	<p>CONTROLS</p> <ul style="list-style-type: none"> Multi-agency working in place at a Leadership level through the Cwm Taf Morgannwg Regional Partnership Board and its infrastructure. The community services model is agreed between partners alongside the key pathways of care and funding has been made available from Welsh Government to support implementation. The Hospital discharge Board is in place for CTM and the D2RA process is operational - including the pathways of care reporting process. Regional Social Care Workforce Development Board in place to oversee training and development activity, including development and implementation of Annual social workforce development plan to target funding on key priorities. Regional steering groups are in place for CTM with responsibility for the Learning Disability transformation and the implementation of the Welsh Dementia standards. <p>ACTIONS</p> <ul style="list-style-type: none"> Agreed implementation plans to progress the integrated community model. 	5	3	15	<p>ORIGINAL RISK RATING: 5x3=15</p> <p>As in Qtr 1, supporting an increasingly older and frail population remains a challenge for health and social care alongside the aim to find a balance between investment in early intervention and prevention (essential to manage future demand) and managing the growing demand pressures now, particularly at the hospital interface. In Qtr 2 we have continued to:</p> <ul style="list-style-type: none"> worked closely with the health board to improve the quality of a new electronic transfer of care (EToC) system to speed up the sharing of information between the Health Board and our services to support more timelier hospital discharge. deliver effective preventative and enabling services to support people particularly out of hospital. support a strong hospital discharge service to manage the flow of people safely out of hospital. and manage demand and waiting lists by prioritising responses according to risk and need. <p>In partnership with the Health Board and Merthyr Tydfil and Bridgend Council's appointment a new Temporary Director of Integration to progress implementation of the regional integrated community services model. In addition, we have focussed on developing alternative options for people to access their care and support. This has included:</p>

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
	<ul style="list-style-type: none"> • Work with Health to complete redesign of Community mental health services to provide responsive access and effective mental health support. • Continue to deliver Learning Disability Transformation Programme, including redesign of day services offer. • Implement with partners all Wales dementia standards. 				<ul style="list-style-type: none"> • increasing the support for people to set up as microenterprises to deliver flexible care and support. There are now 9 active Microenterprises providing care and support in Rhondda Cynon Taf • Increasing the number of people in receipt of direct payments. On 30th September we had 433 adults receiving a direct payment, up 3% compared to the same time in 2022/23; • starting a new shared lives contract to enhance the choice of short and long term placements available for people; • implementing our new IAA Service offer, including work to develop a digital form at the front door and online has progressed to increase efficiency of referrals into the SPA and improve efficiency with regards to identifying people with greatest needs; and • introducing new 'Technology first' strategy to support the exploitation of digital solutions for people at home. This has included the procurement of a new ARC with Cardiff and Merthyr Tydfil Council's (lifeline alarm receiving center related to digitization) and continuation of a pilot for using activity of daily living sensors in reablement to enhance rehab assessment and identify improvement in function more accurately.

STRATEGIC RISK REGISTER REF:	6
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	LIVING WITHIN OUR MEANS
Responsible Officer	Tim Jones

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
If the Council does not manage its information assets in accordance with requirements set down within legislation, then it may be faced with financial penalties and possible sanctions that hinder service delivery and damage its reputation.	<p>CONTROLS</p> <ul style="list-style-type: none"> • Governance structures are in place and the Council has a designated SIRO. • Policies and Procedures are in place. E.g. Data Protection Policy, Data Protection Impact Assessment, Information Security, Subject Access Requests (SAR). • Designated Data Protection Officer and team in place that provides on-going support and training. • External Reviews & Accreditation e.g. PSN, PCI, Audit Wales. • Mandatory Data Protection training in place. <p>ACTIONS</p> <ul style="list-style-type: none"> • Continue to review and as required refresh policies and procedures. • Undertake data protection impact assessments of new projects and process. • Support development of Information Sharing Agreements. • Prepare for and support external reviews and accreditations. • Implement recommendations from external review / accreditation. • Investigate and learn from information management incidents implementing remedial action plans. • Ensure information rights requests are processed in line with legislation e.g. SARs. • Raise awareness and train staff. 	5	2	10	<p>ORIGINAL RISK RATING: 4x3=12</p> <ul style="list-style-type: none"> • Policies continue to be created and reviewed in accordance with the service delivery plan and as part of the response to events and incidents. • The Information Management (IM) team continue to monitor information breaches and ensure corrective actions and reporting requirements are completed. • Best practice and any learning from the result of breaches has been shared via Authority wide Information Management bulletins. • Data Protection Impact Assessment (DPIAs) have been created for new services and existing DPIAs amended to reflect new processes. <p>A new mandatory data protection training module has been created and to be considered by the Information Management Board.</p>

STRATEGIC RISK REGISTER REF:	11
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PROSPERITY
Responsible Officer	Simon Gale

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
<p>If projects aimed at regenerating the local communities through the Council's investment programme are not planned, procured and managed effectively by the Council, then delivery could be severely compromised, with the intended benefits associated with prosperity and growth being lost. This is compounded by the continued uncertain commercial environment and tight external funding programme periods from Welsh and UK Governments.</p>	<p>CONTROLS Robust service delivery arrangements and governance structures are in place to ensure the successful delivery of key strategic regeneration projects. This includes:</p> <ul style="list-style-type: none"> • Developing effective business cases for individual projects to ensure they are viable and cost effective. • Involving stakeholders to support the delivery of key interventions from across the Council including Estates, Strategic Projects, Procurement and Legal, other public Bodies, Welsh Government and the private sector. • Establishing project boards responsible for overseeing the delivery of individual projects. • A Project Protocol which is made available for project development and implementation that identifies the mechanisms needed to structure successful project delivery. • Update reports considered by SLT and the Council's Cabinet <p>ACTIONS</p> <ul style="list-style-type: none"> • To ensure that all projects adhere to the project protocol procedures the completion of which is overseen by Officers from Regeneration and Finance. • To ensure that all such funding bids are compliant with funding terms and conditions and take maximum advantage of the funding available. 	5	2	10	<p>ORIGINAL RISK RATING: 4x3=12</p> <p>Whilst the ongoing challenges and increased costs due to economic uncertainty remain, the Prosperity and Development Service has continued to deliver/co-ordinate the largest economic investment programme in the Council's history. Through working closely with our contractors and reworking projects and designs where appropriate, significant progress has still been made on the delivery of key regeneration projects as set out in the Service's delivery plan although there have been some inevitable delays and some cost pressures. All projects and programmes have established robust service delivery arrangements and governance structures, which are ensuring the successful management of these schemes.</p>

STRATEGIC RISK REGISTER REF:	13
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PEOPLE
Responsible Officer	Louise Davies

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
<p>If the Council does not target its resources to effectively support communities affected by the cost-of-living crisis and the longer-term requirement to tackle the root causes of poverty, then those that are most vulnerable within our communities will suffer disproportionately which will result in added pressures being put on Council Services.</p>	<p>CONTROLS The following controls have been put in place to manage risk:</p> <ul style="list-style-type: none"> • Designated team in place to manage risk. • Regular monitoring of tackling poverty grants to ensure compliance, impact and value for money. • Regular meetings with Welsh Government as part of the Building Resilient Communities national work programme. • Liaising with Cabinet Members to provide regular updates. <p>ACTIONS To develop and deliver services that focus on building more involved and resilient communities to tackle poverty and promote well-being. This includes:</p> <ul style="list-style-type: none"> • Implementing the recommendations following a review into all Families First Commissioned services, with a focus on prevention, integration, collaboration and involvement (5 ways of working). • Implementation of the Team around the Family review recommendations in order to improve the long-term prospects of the family and prevent problems from escalating. • Work with community and third sector to provide Warm Hub provision during the winter, ensuring support, access to a warm venue and 	5	4	20	<p>ORIGINAL RISK RATING: 5x2=10</p> <p>No exceptions to report during quarter 1 in respect of Housing Support Grant and the Children & Communities Grant. Good progress is being made with delivering the projects included in the expenditure plans although risk is being managed within the existing programmes due to escalating costs of commissioned providers and uplifts in grants not being provided to keep pace with rising inflation.</p> <p>A proposal for use of any available grant / Council funding for the winter of 2023-24 is being developed, to ensure an early response is available to support residents experiencing hardship due to increased living costs. A proposal will be presented to Cabinet in September for decision. A full evaluation of the WG funding via the WLGA for Warm Hub provision across RCT was finalised at the end of Quarter 4.</p> <p>The new integrated community services model agreed by the RPB is being progressed with focused meetings taking place during Q1. The need to develop a shared understanding of how the new integrated hubs will support residents and communities access help, advice and services is a priority.</p> <p>The Community Grants funded by Shared Prosperity Funding have been issued in Q1 of 2023/24 with demand from community organisations far exceeding available funding. These grants to 73 organisations and totalling</p>

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
	additional resources (warm pack) can be provided to the most vulnerable.				<p>£4.5M are key to ensuring a resilient third sector providing services and support for health and well-being at the heart of communities.</p> <p>Pressures on particular services continues to increase as a consequence of the impact of the cost-of-living pressures with housing (homelessness) and children's services (resilient families contacts) experiencing particularly high demands.</p>

STRATEGIC RISK REGISTER REF:	14
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PROSPERITY
Responsible Officer	Gaynor Davies

Risk Description	Controls & Actions	Risk Rating			Qtr 2 Update 2023/24
		I	L	Rating	
<p>If individual school budgets are not appropriately managed, then schools will be required to deliver budget recovery plans and efficiencies at a time when support for learners should be at the forefront of planning, this could impact on the overall achievement of grades across the Council.</p>	<p>CONTROLS</p> <ul style="list-style-type: none"> • Open and regular communication with Head teachers. • Termly budget deficit meetings in line with the Council's budget deficit monitoring protocol. • Continued support provided by key officers from within the Council. <p>ACTIONS</p> <ul style="list-style-type: none"> • Liaise with all Head teachers to communicate the financial pressures that the Council is facing and reinforce their involvement in aiming to realise more efficient working practices. • Work with schools in order to identify possible areas to increase efficiency. • Ensure that schools comply with budget recovery plans and are supported to make efficiencies that do not have an adverse impact on school improvement and learner outcomes. • Ensure robust budget monitoring processes. • Proceed with the 21st Century schools' developments and implement the consulted and approved plans to remove small and financially unviable 6th forms from 3 secondary schools. • Ensure budget pressures are incorporated into Medium Term Financial Plan (MTFP) updates. 	4	3	12	<p><u>ORIGINAL RISK RATING 4X3=12</u></p> <p>Aggregate school balances have reduced from £20.561M as at 31st March 2022 to £15.248M as at 31st March 2023. 4 primary schools had deficits (all under £50k) at 31st March 2023.</p> <p>The majority of the £15.248M balances are being used to set balanced budgets for 2023/24 with balances estimated to reduce to £5.3M by 31st March 2024. 1 All through, 2 secondary and 7 primary schools set deficit budgets for 2023/24.</p> <p>Current estimates are for 16 primary schools to end the financial year with a deficit but only 1 is forecast to be greater than £50k invoking the requirement for support and challenge meetings as defined by the School Deficit Protocol. 1 All-through and 2 secondary schools are forecast to end the financial year in a deficit position, none of which reach the threshold for support and challenge meetings.</p> <p>The use of £10M balances in 2023/24 is not sustainable into future years. Early planning has commenced for 2024/25 budget setting with Headteachers being informed of the financially challenging environment. In</p>

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
					<p>addition, schools with significantly reducing pupil numbers have been informed that this will lead to a reduction in the number of teachers funded in the formula funding.</p>

STRATEGIC RISK REGISTER REF:	15
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PLACES
Responsible Officer	Steve Williams

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
<p>If the Council does not monitor and invest in its ageing highways assets, then the chance of structural failure, emergency closures and therefore disruption to communities and the local economy increases which will result in additional financial (unplanned) costs for the Council along with reputational damage.</p>	<p>CONTROLS</p> <ul style="list-style-type: none"> • Routine monitoring of the entire highways network. • Regular reports to SLT & Cabinet. • We have appointed additional staff; this means we have appropriate in-house capability to manage this complex and significant asset. <p>ACTIONS</p> <ul style="list-style-type: none"> • Invest additional monies in road, highways infrastructure and pavement networks over the next four years, on top of the previous investment since 2011. • Provide an update on the impact of key investment projects through the investment programme. • Provide an update to Scrutiny Committee on delivery of the Highways / Transportation infrastructure investment programme. • Review and update the Highways Asset Management Plan (HAMP) to ensure that the principal assets have been identified and form part of the Plan, and relevant document and service standards agreed. 	4	2	8	<p>ORIGINAL RISK RATING: 4x2=8</p> <p>2023/24 programme of carriageway and footway schemes agreed and, at end of Qtr 2, 69% of the programme has been completed or commenced. There is a review underway of outcomes of treatment types from the investment since 2011 works to inform decisions about future treatment selection.</p> <p>Update provided through HIS Project Board September 19th.</p> <p>The asset management Annual Status Reports for 2022/23 are currently being prepared for reporting to Scrutiny Committee. Programme for development and updates to HAMP being agreed with relevant service areas.</p>

STRATEGIC RISK REGISTER REF:	18
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	LIVING WITHIN OUR MEANS
Responsible Officer	Richard Evans

Risk Description	Controls & Actions	Risk Rating			Qtr 2 Update 2023/24
		Qtr 2 2023/24		Rating	
		I	L		
If the Council does not put in place robust workforce planning arrangements, including plans for monitoring and supporting the wellbeing of existing staff, then the ability to retain and attract the best staff could be hindered which will have a direct impact on the quality of services that it can deliver.	<p>CONTROLS</p> <ul style="list-style-type: none"> The Council's workforce planning arrangements are underpinned by the new Human Resources Strategy and Council Workforce Plan 2023-2028, this will help ensure the appropriate deployment and development of staff. Progress towards the key ambitions within the workforce plan will be reported alongside delivery plan monitoring and reported back, alongside related progress within the HR strategy to SLT and cabinet on an annual basis. Staff consultation and communication is undertaken on a regular basis to ensure that staff have the opportunity to shape people practices in light of on-going changes. <p>ACTIONS</p> <ul style="list-style-type: none"> Specific recruitment strategies, such as graduate and apprenticeship programmes are in place to ensure the Council is adequately resourced to mitigate risks around wellbeing and attrition. 	5	4	20	<p>ORIGINAL RISK RATING 4x3=12</p> <p>Staff consultation exercise complete. Report to be provided to SLT in October 2023</p> <p>Other key updates:</p> <ul style="list-style-type: none"> Graduates – 12 commenced employment in September. Apprentices – 49 posts commenced employment in September 2023. Step in the Right direction – 9 Trainees on programme Care2Work – 45 Access to Employment – 1 individual. Gateway to Employment – 7 supported interns commenced supported employment on the 18th September. Green Light programme – 120 YP <p>Workforce planning training undertaken with HOS and above in June and July.</p> <p>Monitoring of progress against the workforce plan has been integrated into delivery plan monitoring.</p> <p>LinkedIn and social media posts have been utilised to target hard to fill posts.</p> <p>Careers fair on the 27th of September has 1.105 attendees.</p>

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
	<ul style="list-style-type: none"> • Introduction of wellbeing and development initiatives to support staff well-being. • Progress against actions in the workforce plan will be reported by respective service areas within the delivery plan monitoring arrangements. 				Managers briefings have taken place in September with @455 managers booked to attend. The wellbeing topic was around cardiac disease and know your number blood pressure clinics were run at the face-to-face briefings. Wellbeing bitesize sessions continue to run monthly on a range of different topics. Flu campaign launches October 2023

STRATEGIC RISK REGISTER REF:	20
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	LIVING WITHIN OUR MEANS
Responsible Officer	Tim Jones

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
<p>If the Council does not maintain a high level of Cyber Assurance (people, process & technology) and ensure that infrastructure is fit for business use and secure, then access to information and systems could be hindered, by for example cyber risk / attack, resulting in interruption to service delivery, potential breaches and reputational damage.</p>	<p>CONTROLS</p> <ul style="list-style-type: none"> • Cyber Assurance Governance Structure in place. • Designated team in place that provides support for ongoing work programme. • Policies and Procedures in place e.g. patch management, data backup, change control. • Cyber Incident Response and Disaster Recovery Plans in place should an interruption be experienced. • Technical controls in place for protection e.g. anti-ransomware, phishing, next generation firewalls with advanced threat protection. • External Reviews & Accreditation e.g. PSN, Cyber Essentials, PCI, WAO, BABs, 3rd party suppliers. • Mandatory Cyber Awareness Training in place. <p>ACTIONS</p> <ul style="list-style-type: none"> • Implement & maintain technical mitigation measures. • Refresh & upgrade end of life infrastructure & software. • Prepare for and support external reviews and accreditations. • Early warning network via NCSC and Cymru Security Operations Centre. • Strengthen cyber posture with Cyber Assessment Framework. • Monitor and measure Infrastructure Availability & Performance. • Implement recommendations from external review / accreditation. • Monitor for cyber threats and remediate. • Raise awareness and train staff. 	5	4	20	<p>ORIGINAL RISK RATING: 5x3=15</p> <ul style="list-style-type: none"> • Risk unchanged and continues to be elevated due to increased Cyber activity by external threat factors. Risk of international Cyber-attack remains high and international tensions also increase the risk (Ukraine). • Patching policies being reviewed in light of market forces and application moves to cloud/hybrid infrastructures. • Continued focus on replacing systems, with project underway for next wave of end-of-life systems this has a Q3 end date for next wave. • Team continues to pro-actively monitor for Cyber threats and remediate/mitigate where appropriate. • PSN accreditation application to Cabinet Office progressed. • Preparations for Firewall replacements have been progressed to be scheduled Q2 to ensure quicker Disaster Recovery if interruption is experienced. <p>Mandatory cyber training for all staff using IT has been released and undertaken, staff who have not completed are in escalation to complete.</p>

STRATEGIC RISK REGISTER REF:	23
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PROSPERITY
Responsible Officer	Gaynor Davies

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
If Band B projects of the Sustainable Communities for Learning are not delivered on time and/or projects are deferred, then the Council will not deliver its ambitions of having in place first class school environments for learners.	<p>CONTROLS</p> <ul style="list-style-type: none"> • A designated project and operational board will be put in place to oversee the delivery of the Council's Sustainable Communities for Learning programme. • Regular updates are reported to Welsh Government and Cabinet. • Individual projects are managed using PRINCE2 methodology. • Experienced team in place that provide regular and well-informed Cabinet updates. • Regular dialogue and engagement with Welsh Government. <p>ACTIONS</p> <ul style="list-style-type: none"> • Submission and approval of all business cases within Band B of the Sustainable Communities for Learning Programme. 	4	3	12	<p>ORIGINAL RISK RATING: 5x4=20</p> <p>A School Organisation consultation for the proposed construction of a new 3-19 special school in Clydach Vale and associated catchment changes has received Cabinet approval. The consultation period ended 15th September and Cabinet agreed on the 23rd October to progress the proposals to the next stage of the consultation process by issuing an appropriate Statutory Notice which triggers the start of the Objection Period. A further report will be provided to Cabinet with the outcome of the consultation in January 2024.</p> <p>Positive quarterly meetings regarding capital projects continue with Welsh Government, with the next one scheduled for January 2024. These meetings keep Welsh Government updated on current and forthcoming capital projects and associated financial expenditure.</p> <p>Positive monthly meetings continue to be held with Welsh Government to update on the Mutual Investment Model (MIM) schools and the Sustainable Schools Challenge project (which is providing a new primary school in Glyncoch).</p> <p>Feasibility and research has been undertaken in relation to the Sustainable Communities for Learning Strategic Outline Programme which requires resubmission to Welsh Government by March 2024 to reflect a nine-year rolling programme as required by WG. Meetings to be held in November with the Leader of the Council and Cabinet Member for Education, Youth Participation and Welsh Language Business Case submissions to Welsh Government are ongoing and submitted in accordance with project programmes - business case</p>

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
					<p>submissions submitted 1st Nov for the new school in Glyncoch in line with current programme.</p> <p>The Annual Review Report was circulated to the WESP Steering Group and amendments incorporated where appropriate.</p> <p>The Annual Review Report is a reporting tool we must complete annually as we near the end of each academic year for the duration of the WESP. The report encompasses the key achievements/highlights of the year, a self-assessment of progress against the overall plan and forward look milestones. This is broken down further by each outcome of the WESP to highlight key annual data trends, overall outcome summary, implementation and monitoring, outcome level risks and assurance and mitigation action. The Report was submitted to Welsh Government on 31st July 2023. We are currently awaiting feedback on this.</p>

STRATEGIC RISK REGISTER REF:	24
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PEOPLE, PLACES & PROSPERITY
Responsible Officer	Dave Powell

Risk Description	Controls & Actions	Risk Rating			Qtr 2 Update 2023/24
		Qtr 2 2023/24		Rating	
		I	L		
If all staff, managers and elected Members do not embed carbon reduction into their 'business as usual' activities, then we will not achieve the carbon reduction benefits and will not become a carbon neutral Council by 2030 which will result in reputational damage for the Council.	<p>CONTROLS Strengthened the reporting arrangements on climate change and carbon reduction related items by:</p> <ul style="list-style-type: none"> • Embedding Carbon Reduction into Delivery and Priority planning, monitoring and reporting as part of regular performance management reports. • Putting in place robust and regular reporting on the Council's Carbon Footprint through quarterly reports to Climate Change Cabinet Sub Committee (CCCSC) and Cabinet. • Increasing visibility of Carbon Reduction in all Council reports. <p>ACTIONS</p> <ul style="list-style-type: none"> • Using and analysing the Council's Carbon Footprint to continue to identify short term and long-term actions to change and challenge the way we work, procure and deliver our services, whilst highlighting those changes that will have the greatest effect on reducing the Council's carbon footprint. • Providing information, awareness raising and opportunity for training across the Council including Induction, and development needs emerging from Personal Development Reviews. • Implementing the Climate Engagement Plan with associated comms that raises the profile of local, regional and national projects that will address the WG declared Climate and Nature Emergencies. 	5	3	15	<p>ORIGINAL RISK RATING: 5x4=20</p> <p>Good progress has been achieved with the review of the 2023/24 Delivery Plans which now include carbon reduction actions. The Quarter 1 update of activity across the Climate Change Strategy was presented to the Climate Change Cabinet Sub Committee at its meeting on 27 September and is scheduled for consideration by the Climate Change, Prosperity and Frontline Services Scrutiny Committee at its meeting on 18 October.</p> <p>Good progress was achieved with the calculation of the Councils Carbon Footprint and the data was submitted to WG in the prescribed format by the deadline of 6 September 2023.</p> <p>Work is ongoing to calculate the cost of the actions identified in the Decarbonisation Action Plan which sets out short and long term actions. Each Service Area has specific actions allocated to them and progress is monitored to ensure that carbon reduction is embedded into their business-as-usual activities.</p> <p>The Officer Working Group and associated subgroups have met several times within the period and continue to deliver key workstreams as directed by the CCCSC.</p>

Risk Description	Controls & Actions	Risk Rating			Qtr 2 Update 2023/24
		I	L	Rating	
	<ul style="list-style-type: none"> Inclusion of detailed actions within quarterly reports to Cabinet as part of the Priority updates aligned with the three corporate priorities People, Places, and Prosperity and as part of the Work Programme for CCCSC. 				<p>To increase the visibility of carbon reduction:</p> <ol style="list-style-type: none"> Climate Change update was presented to the Cabinet and Senior Officer Planning event held in Llantrisant Leisure Centre. e learning has been ‘soft launched’ in September will a more formal launch for staff and elected Members to follow in Quarter 2. Continuing to include Climate Change in corporate staff induction – most recent 21 September. Implementing the Climate Change engagement plan agreed by Climate Change Cabinet Sub Committee on 23 March, including holding face to face events in Town Centres and also the ‘Big Bite’ Food Festival in Pontypridd on 6 August. Refreshing the Council’s Climate Change Website to include direct reference to Welsh Government’s Climate Action Wales resources.

STRATEGIC RISK REGISTER REF:	26
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PEOPLE, PLACES & PROSPERITY
Responsible Officer	Steve Williams

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
If the Council does not plan and invest resources into mitigating the physical impacts of climate change, then the effects of extreme weather events on our residents and businesses will be heightened.	<p>CONTROLS</p> <ul style="list-style-type: none"> • Routine monitoring of infrastructure including bridges, retaining walls, culverts, highway drainage and former coal tips. • SUDs Regulations introduced to reduce surface water run-off from new developments, RCT has established a SAB to robustly manage the SUDs process. • New Bylaws for Ordinary Watercourses introduced, together with a new enforcement team and an awareness officer to raise the profile of flood risk and to support recovery. • Additional resources for structures, drainage management and maintenance, Regular reports to SLT & Cabinet. • S19 Reports for flood incidents <ul style="list-style-type: none"> • Work through the multi-agency Flood Board for a joined-up approach to flood risk in RCT. • Work with WG to review our Flood Risk Management Strategy and Flood Risk Action Plan in line with WG's Flood Risk Strategy. • Work with WG Coal Tips Task Force and Coal Tips Safety Working Group 	5	4	20	<p>ORIGINAL RISK RATING 5x3=15</p> <p>The Structures General Inspection programme continues and 113 structures have been inspected covering bridges and culverts on the highway and parks/countryside network.</p> <p>The tip inspection programme continues with 91 inspections undertaken.</p> <p>Major works on Tylorstown Landslip progressing well on site and taking advantage of dry weather.</p> <p>Resources – currently 2 vacancies with Tip Safety Team and 2 in Structures Team, recruitment has been unsuccessful to date.</p> <p>Liaison with the WG Coal Tip Safety Task Force continues to align RCTCBC data with WG data and in securing funding for Coal Tip Safety through 23/24.</p> <p>The asset management Annual Status Reports for 2022/23 are currently being prepared for reporting to Scrutiny Committee. Programme for development and updates to HAMP being agreed with relevant service areas.</p> <p>Programme of works arising from Storm Dennis continues with many projects currently on site including:</p> <ul style="list-style-type: none"> • Castle Inn Footbridge • Berw Road Bridge (White Bridge)

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
	<p>to develop updated baseline data on tips, standardised inspection regimes and risk ratings, legislation, risk mitigation and remediation/reclamation.</p> <p>ACTIONS</p> <ul style="list-style-type: none"> • Invest additional monies in our infrastructure over the next four years to reduce the impact of flooding on our infrastructure, communities and businesses. • Take S19 Reports through Overview and Scrutiny Committee. • Provide an up-date to Scrutiny Committee on delivery of the Highways / Transportation infrastructure investment programme. • Review and update the Highways Asset Management Plan (HAMP) to ensure that the principal assets have been identified and form part of the Plan, and relevant document and service standards agreed. • Work with WG to ensure all repairs to infrastructure arising from Storm Dennis is fully funded and undertaken in a timely manner. • Work with WG to develop our pipeline of Flood Risk Management works to secure grant funding and deliver improvements to our flood assets. 				<ul style="list-style-type: none"> • Gelligaled Park Footbridge • Hopkinstown R/Wall • Gyfeillion Wall Scour Repairs <p>Flood Risk Management Works The 13 Projects approved under the WG FCERM Small Scale Schemes Grant valued at £1.15m have progressed well with 2 completed and 2 on site. The £1m that has been secured from the WG Resilient Roads Fund is funding a further 13 project stages and progressing well. So far £1.46m has been drawn down from the original FCERM AIP pot of £3.9m reported in Q1. The major £1.4m project at Glenboi Mt Ash has been completed within budget and is operational. Major Glenboi pumping station upgrade now brought into use (rctcbc.gov.uk) and the construction of a new flood wall at Cwmaman started in September Construction of the Cwmaman Flood Alleviation Scheme to begin (rctcbc.gov.uk) Work continues on another 11 FCERM funded project stages.</p> <p>Preparation for 2024/25 works is underway with applications being prepared the Projects/Stages to be submitted in November 23 for consideration for AIP on the WG Flood and Costal Erosion Risk Management (FCERM) pipeline and Small-Scale Schemes in December 23.</p> <p>Recruitment – Restructure of FRM completed. Apprentice moved into permanent role and a new apprentice taken on from Sept 23.</p> <p>Flood Response and events: no S19 reports in preparation or required in Q2. 10Nr number of adverse weather protocol has been initiated and 155 customer contacts in 2023/24 to date.</p> <p>Flood Strategy and action plan Review: Preparations commenced for full review by March 2024 (Revised WG deadline). Initial public engagement on the Local Flood Risk</p>

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
					<p>Management Strategy commenced from December 13th and ran for six weeks until January 24th The results and feedback provided via the initial public engagement exercise was presented to the CCFSP Scrutiny Committee on 22nd March 2023. This provided Members the opportunity to consider the responses and enable them to help shape and inform the drafting of the revised LFRMS and Action Plan. The CCFSP Scrutiny report and 'Initial Public Engagement Report' can be found on the Council's website. Welsh Government has revised the required by date to March 24 so an update paper has been presented to Cabinet on 15 May 2023. The Draft Strategy was presented to Cabinet on 17 July 2023 and consultation commenced on 21 August 23 for 6 weeks and ended on 2nd October 23.</p> <p>Flood Board - continues to meet and provide high level engagement and agreement on key issues with the last meeting on 27 June 23.</p> <p>FRM Development Control: LLFA continue to be a consultee for Planning Permissions to ensure compliance with TAN15. 225 Observations on planning Applications completed in 2023/24 so far. SAB continues to consider and determine applications for Sustainable Drainage Systems. 31 applications have been submitted and 20 pre applications in 23/24. 247 Structures to watercourses requiring Ordinary Watercourse consent (OWC) have been determined.</p>

STRATEGIC RISK REGISTER REF:	27
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PEOPLE, PLACES & PROSPERITY
Responsible Officer	Louise Davies

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
<p>If the Council does not have a coordinated response to the growing need for accommodation for our most vulnerable people, including the homeless, refugees/asylum seekers and children and adults with complex specialist needs, then the ability to provide appropriate support will be limited which could result in increased pressures being put on Council services and risk legal action being taken by regulators for failure to meet statutory obligations.</p>	<p>CONTROLS</p> <ul style="list-style-type: none"> • Housing Support Programme Strategy. • Extra Care Strategy & Residential Care Modernisation. • CLA reduction strategy. • Elimination of profit risk report and property acquisition plan. <p>ACTIONS</p> <ul style="list-style-type: none"> • Establish a project board to develop a strategic medium-term plan to meet the accommodation needs for vulnerable people. • Focus on delivery of the Rapid Rehousing Plan and provide regular updates to the Housing Support Programme Board. • Provide regular updates to Cabinet on the Adult Services Accommodation Strategy. 	5	4	20	<p>ORIGINAL RISK RATING 5X3=15</p> <p>The RCT Accommodation Programme Board continued to meet to ensure the cross-cutting objectives of all strategic plans for adults, children’s and general housing needs are aligned into a cohesive, corporate delivery programme to meet the accommodation needs of vulnerable people over the next 5 years. Notable progress to meet emerging needs in Children’s Services was acknowledged by the Board.</p> <p>Work continues to understand the impact of the cost-of-living crisis and pressures in the housing market on our ability to move homeless people on from temporary accommodation; this includes the cohort of Ukraine Nationals now living in the County Borough. The Council continues to work with WG officials on the dispersal of Ukraine Nationals from initial accommodation in the context of a challenging housing market.</p> <p>A draft Private Rented Strategy continues to be developed by Housing Strategy to outline actions required in coming years to support that sector.</p>

STRATEGIC RISK REGISTER REF:	28
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PEOPLE & PROSPERITY
Responsible Officer	Gaynor Davies

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
<p>If a joined-up and effective approach between schools and the Council is not in place to help support those learners that have become dis-engaged during the pandemic, then there is a risk that these learners could be disadvantaged in the longer term which could put a strain on Council Services in the future.</p>	<p>CONTROLS Range of LIVE data reports available to Attendance and Wellbeing service (AWS) allowing analysis and identification at pupil level of attendance for any period from daily up to full academic year. Comparisons are available over successive academic years, differentiated by cohort in the following areas:</p> <ul style="list-style-type: none"> • Authorised / Unauthorised Absence • Age / National Curriculum Year Groups • Monitoring absence rates by school • Overall Additional Vulnerability / characteristic of a child (Additional Learning Needs, Children Looked After, eligible for Free School Meals etc) <p>Response by the service is based on assessed risk relative to % attendance (Currently threshold set to 60% or below)</p> <p>Additional response on individual cases based on School Referrals based on wellbeing concerns.</p> <p>Corroborating Information / Data:</p> <ul style="list-style-type: none"> • Receipt of live births in RCT every month enabling identification at school age those children who have not applied for a school place. • RCT Elective Home Education (EHE) service maintains data related to children educated at home, monitoring the trend. • AWS maintains identified Children Missing from Education coming into or leaving the authority on the Capita system. 	5	2	10	<p>ORIGINAL RISK RATING 5X2=10</p> <p>Welsh Government grant funding has allowed us to extend the match-funding on offer within the FEO pilot from 50% to 80%. This has mitigated risks associated with budget constraints to a degree and ensured the 29 schools engaged are able to continue to employ FEOs up to August 2024. A Team Around the School approach is now embedded to provide effective support and challenge to schools where there are concerns in relation to rates of school attendance/exclusion.</p> <p>Low rates of attendance and high exclusion rates continue to be a pressure for schools and the local authority during this post pandemic phase, and both areas are recommendations for improvement following our recent Estyn inspection. Welsh Government have also recognised the impact on attendance as a national concern and funding has been provided (circa £200k) to support Education Welfare in RCT this financial year. This has been utilised to employ additional Attendance and Wellbeing</p>

Risk Description	Controls & Actions	Risk Rating			Qtr 2 Update 2023/24
		I	L	Rating	
	<p>ACTIONS</p> <ul style="list-style-type: none"> • Strengthen process to monitor the status of children living within the RCT boundary that receive education in a school in neighbouring Authorities. • Strengthen the relationship between the LA and EHE families and communities in line with the proposed WG guidance. • Enhance the use of data reports amongst AWS staff to ensure that non-attenders or poor-attenders are closely monitored by schools and AWS where necessary with effective interventions put in place. • Re-align the AWS service (Sept 2022) to offer Cluster based working with a focus and additional resources provided to Clusters with the highest number of poor attendees. • Utilising approaches and tools designed by our Education Psychology Service e.g. PERMA wellbeing tool (Positive Emotions, Engagement, Relationships, Meaning, Achievement) to triangulate the wellbeing interventions of schools, AWS and Educational Psychology Service to better support pupils where low attendance is often a symptom of poor wellbeing. • Continued rollout of Family Engagement Officers (FEO) amongst schools and development of Community Focused Schools to ensure effective engagement with learners, their families and communities. • Development of a 3-year strategic plan for wellbeing. 				<p>Officers, Targeted Support Officers and support weekly slots with Educational Psychologists to explore some of the most entrenched attendance cases.</p> <p>Attendance for last academic year is as follows:</p> <p>Primary: 91.0% (up 1.1% on 21/22 academic year) Secondary (statutory WG return date): 85.8% (up 0.7% on same period last academic year)</p>

NEW RISKS FOR 2023/24

STRATEGIC RISK REGISTER REF:	30
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PROSPERITY
Responsible Officer	Gaynor Davies

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
If short and long term arrangements are not put in place to increase the capacity of specialist placements for pupils with highly complex and significant Additional Learning Needs the Council will not meet its statutory duty to provide appropriate additional learning provision to pupils and there will be additional costs incurred by the Council for costly out of county specialist placements.	<p>CONTROLS</p> <ul style="list-style-type: none"> Continued implementation of clear LA ALN Panel processes and criteria to ensure appropriate allocation of specialist placements. Regular data analysis to monitor capacity and sufficiency of specialist placements and identify appropriate actions to address identified concerns. Regular updates on the sufficiency of specialist Additional Learning Provision provided and proposals for reconfiguration and / or enhancement of specialist provision submitted to Cabinet. <p>ACTIONS</p> <ul style="list-style-type: none"> Undertake analysis of data trends relating to special school and specialist placements to inform costed proposal to Cabinet to consult on enhancing Learning Support Class Provision. Present fully costed proposal to Cabinet to open a new special school to ensure sufficient special school capacity to meet demand. Explore options to increase capacity of special school satellite provision at Coleg y Cymoedd 	4	4	16	<p>NEW RISK FOR 2023/24</p> <p>A proposal to consult on the realignment and enhancement of Learning Support Class provision was approved by Cabinet in May 2023. The Consultation process commenced on June and ended in July 2023. The consultation report was taken to Cabinet in September 2023 and approval was provided for statutory consultation to commence. A further report will be considered by Cabinet following the objection period in December 2023.</p> <p>Cabinet received an updated report on the proposal to open a new special school in Clydach in June 2023 and a further report was considered by Cabinet in October 2023. Approval was provided to publish the statutory notices and to trigger the objection period in November 2023. A further report will be considered by Cabinet in January 2024 following the objection period. However,</p>

Page 59

CONTROLS AND ACTIONS - the Council's risk response is to 'Treat' each strategic risk through taking positive actions to mitigate, as far as is practicable, adverse implications on the delivery of objectives.

Risk Description	Controls & Actions	Risk Rating Qtr 2 2023/24			Qtr 2 Update 2023/24
		I	L	Rating	
	<p>campuses to increase special school capacity and take appropriate actions to progress.</p> <ul style="list-style-type: none"> • Explore options to increase special school capacity through alternative use of current building assets or through the creation of new in-house special school satellite provision. 				<p>further work is still required to address capacity pressures on special school sites.</p> <p>Following successful meetings with professionals in Coleg y Cymoedd in June 2023 and with the Governing Body of Park Lane School, special school satellite bases on college campuses have increased from 3 to 4, with a new base for Park Lane Special School established on the Aberdare campus.</p> <p>Coleg y Cymoedd have also agreed to explore additional capacity for Ysgol Ty Coch on the Nantgarw Campus and discussions are ongoing.</p>

STRATEGIC RISK REGISTER REF:	31
Alignment with Corporate Plan Priorities / Cross-Cutting Themes	PEOPLE, PLACES & PROSPERITY
Responsible Officer	Louise Davies

Risk Description	Controls & Actions	Risk Rating			Qtr 2 Update 2023/24
		I	L	Rating	
A future pandemic where the Council has not learnt from its experiences from the Covid-19 pandemic and have in place robust contingency plans that results in a lack of preparedness could adversely impact service continuity, health protection system responses and the delivery of support to residents, businesses and communities.	<p>CONTROLS</p> <ul style="list-style-type: none"> Established Emergency Planning and Response arrangements in place across the Council, supported by an ongoing training programme for staff at all tiers of response (Gold, Silver, Bronze) Regional Local Resilience Forum Network in Place Established surveillance systems in place by Public Health Wales and UK Health Security Agency (UKHSA) with links to Regional and Local Health protection arrangements Wales Communicable Disease Outbreak Control Plan in place (under review by October 2023) Cwm Taf Morgannwg Health Protection Oversight and Readiness Group established and meeting regularly. <p>ACTIONS</p> <ul style="list-style-type: none"> Review existing pandemic plan in context of WG Framework for Pandemic Planning (once published) Reflect on good practice in RCT and CTM from the COVID 19 pandemic and review lessons learned as they emerge from National learning opportunities including the COVID Inquiry; embed good and emerging new 	5	3	15	<p>NEW RISK FOR 2023/24</p> <p>WG are drafting a new National Health Protection System Framework with the help of system partners and this will provide the context in which to further develop regional and local health protection plans. This is expected by Quarter 3 of the year. No details from WG have emerged in relation to the new Pandemic Plan framework that is to be prepared.</p> <p>CTM UHB Executive Board is considering the draft CTM Health Protection System Plan and a decision is awaited. The CTM Health Protection and Operational Readiness (HPOR) Group continues to meet to ensure ongoing partnership working in CTM, linked to PHW as required. This group is chaired by the Director of Public Health, Protection and Community Services and oversees current health protection activity in the Region, aligned to WG 23-24 grant funding requirements and expectations.</p> <p>The Wales Communicable Disease Outbreak Control Plan is undergoing review and a revised draft Outbreak Plan is scheduled for presentation to Welsh Government in October</p>

Risk Description	Controls & Actions	Risk Rating			Qtr 2 Update 2023/24
		Qtr 2 2023/24		Rating	
		I	L		
	<p>practice in Council plans and preparedness training.</p> <ul style="list-style-type: none"> • Adopt Pandemic Plan and put in place measures to implement the actions identified to ensure it can be mobilised effectively across the Council • Establish effective training procedures for key personnel to ensure they can fulfil roles and responsibilities required of the Plan • CTM UHB to approve the Regional Health Protection System Plan and partners in the Region to establish the actions required to implement the Plan • Procedures to monitor the implementation of the CTM Health Protection System Plan are established in CTM and relevant actions for RCT Council are identified and implemented. • Ensure resilient business continuity plans are in place for essential services. 				<p>for decision on adoption. The Director of Public Health, Protection and Community Services is part of the working group developing the New National Health Protection Framework and the group undertaking the Outbreak Plan review.</p> <p>The work of the COVID 19 Public Inquiry continues and evidence is being submitted as required by the Council. Work is in progress to consider how to collate the learning and experience from the pandemic period from across the Council to ensure any existing emergency planning arrangements and business continuity plans reflect good practice and lessons learned. It is expected this work to reflect on the Council's experiences will be complete by the end of quarter 3.</p>
