

Risk Register 2020-21

Year end

Ref	Topic and Service	Risk, opportunities and Impact	Mitigation actions - (What actions can we take to address and reduce the risk or realise the opportunity)	Progress Update - Input Date SEPT (Are the mitigating actions reducing the risk or realising the opportunity?)	Risk Level 2019-20 Q2	Risk Level 2019-20 Q3	Risk Level 2019-20 Q4	Risk Level 6 months Q2	Does this effect the Well-being of Future Generations in our Communities?	FGA Risk Level
Corporate Risk Register										
CMT16	School Attainment	<p>1. National lockdown may have resulted in significant gaps in pupils' learning. The extent to this challenge is dependent on a range of issues including:</p> <ul style="list-style-type: none"> - the effectiveness of remote learning strategies; - pupils' access to digital technology from home; - capacity for support from home. <p>It is currently too early to fully assess the impact of the pandemic period on standards and progress of learners .</p> <p>2. The start of the new term was also characterised by a higher than expected number of pupils being required to self-isolate as a result of the rise in infections. Again, this may have impacted on pupils' learning.</p> <p>3. A range of professional learning opportunities have been developed to support the implementation of remote learning. However, this initiative is still at an early developmental stage.</p>	<p>1. Utilisation of grant funding to identify gaps in pupils' learning and implement appropriate interventions/strategies.</p> <p>Utilisation of the educational welfare, inclusion and Youth services to support pupils with issues relating to wellbeing. The Edtech programme has been repurposed to provide digital resources to disadvantaged learners.</p> <p>2. Daily data collection identifies the number of pupils who are ill due to covid-19, symptomatic or required to self-isolate. This data is shared with a range of partners including the school improvement service.</p> <p>3. The LA monitors schools' engagement with professional learning activities. Monthly LAQA meetings with EAS are used to update on professional learning.</p>	<p>It is impossible to identify the impact of mitigating factors on standards, progress and provision. An evaluation of the effectiveness of remote learning strategies is currently being undertaken. Attainment levels have improved but are still broadly below the Welsh average. Although there have been recent improvements, a gap remains between the attainment of Free School Meals pupils and Non-Free School Meals pupils.</p> <p>Higher than expected rates of exclusion will impact on pupil attainment and improved attendance rates have not been sustained over time.</p>	High	High		High	Yes, this limits contribution to 'Prosperous and More Equal Wales'. Standards of attainment and gaps in inequality can result in a low skilled, low paid workforce, and higher levels of unemployment leading to poverty. Over the long-term (25 years) in the life of a young child to adult the potential outcome of the attainment gap makes this a high risk. This is a long term risk	High
CMT42 NEW	Exit from the EU (Brexit)	<p>The decision to leave the EU and the looming deadline to secure an exit deal has created considerable uncertainty.</p> <p>Moving forward it is difficult to determine what impact the exit from the EU will have in the medium to longer-term for Caerphilly CBC and our communities. However, in the short-term possible negative impacts from a no deal scenario include the potential for workforce supply shortages in some areas and the possibility of some disruption to the supply of goods and services.</p>	<p>The Directorate is participating in the Corporate Brexit Working Group and undertaking service specific analysis in preparation for the various Brexit scenarios.</p>	<p>The Withdrawal Agreement has been approved by Parliament and is now working its way through the House of Lords. The UK will leave the EU on the 31st January 2020 and there will then be an eleven month transition period to discuss the finer details of the deal and the future working relationship with the EU. Until this process is completed the internal Brexit Working Group will continue to meet to keep the position under review.</p>	Medium			High	Potential impacts are not yet fully understood but they are likely to be felt over the short, medium and longer-term.	Medium
Education Directorate Risk Register										
ELL001	MTFP	<p>Failure to identify and consult and progress savings proposals necessary to contribute towards Authority MTFP savings. 1. Workforce Planning: less staff to deliver services. 2. Failure to maintain and/or improve service delivery 3. Managing staff morale in light of cuts 4. Failure to take early decisions on which services should be cut could lead to poor planning</p>	<p>There are currently no significant issues with regards to achieving the MTFP savings proposals identified for 20-21, so we have revised 20-21 to a medium rating for Oct20. The only issue may be around the impact of additional cost pressures linked to covid that won't all be funded by WG. That position isn't completely clear and won't be for a while yet and this may alter the rating later on.</p>	<p>Education & Lifelong Learning MTFP savings proposals for 2020/21 were presented to Education for Life Scrutiny on 9th December 2019. Also presented was the Authority wide Draft Budget Proposals for 2020/21. The Final Budget Report for 2020/21 was presented to Full Council on 20th February 2020.</p>	High	High	High	Medium	Medium Term	Medium
ELL002	Grant Funding	<p>Directorate Grant Funding is circa £30m. Grant funding gives a degree of uncertainty for future planning purposes; 1. Annual grants may not be renewed posing significant risk to medium and long term financial planning. 2. If external audit identify a failure to comply with terms and conditions, then potentially the grant funding body could claw back the grant funding previously awarded and paid which will impact significantly upon the Authority's budget that year.</p>	<p>Liaise closely with Welsh Government and other grant funding bodies to ensure timely information is available to predict any significant changes to grant funding. Ensure that all terms and conditions of the grants are adhered to.</p>	<p>The Directorate has continued to maximise grant funding and continues to highlight ongoing issues with Welsh Government.</p>	High	High	High	High	Long-term	Medium
ELL003	Behaviour and Exclusions	<p>As the needs of children become increasingly complex there can be a negative impact upon exclusion rates. It is crucial that these vulnerable children access appropriate and effective provision to maximise outcomes.</p>	<p>The LA is developing new and revising existing strategies and processes to support schools</p> <p>The LA will work with schools to ensure appropriate intervention and provision is in place</p>	<p>Inclusion strategy (and associated documents) is being drafted for consultation with schools and stakeholders</p> <p>Managed Moves protocol in place.</p> <p>Eotas strategy agreed.</p> <p>Provision outside of school in development linked to the Eotas strategy.</p> <p>Good practice is being shared.</p>	High	High	High	High	Long-term	High

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ELLO04	School Buildings	Determine the current level of backlog maintenance in schools and prioritise works, working in collaboration with Health & Safety and Building Consultancy colleagues.	1. The ambitious 21st Century Schools programme and WG capital grants will significantly reduce backlog maintenance. 2. Condition surveys have now been completed for all schools and show backlog maintenance for P1, P2 & P3 tasks amount to £32 million. 3. Ensure limited capital resources targets highest priority areas.	The Directorate is working closely with Building Consultancy and Health & Safety to ensure the Authority's limited annual school capital maintenance budget and grant funding targets highest priority areas. The 21st Century School proposals are closely monitored by the School Strategy Board ensuring progress is on target. Following Grenfell there has been a greater focus on the type of build and adequate compartmentalisation in all fire risk assessments. Significant monies have been allocated to address this area. Prioritisation of spend will be determined by condition surveys.	High	High	High	High	A healthier Wales , supporting vulnerable learners can improve their well-being and add educational achievement. A more equal Wales , a society that enables people to fulfil their potential no matter what their background is. A Wales of cohesive communities (in the context of improving quality of life with attractive, viable, safe and well connected communities).	High
ELLO05	Vulnerable Learners	Numbers of pupils identified as vulnerable have risen significantly in recent years and schools are increasingly challenged to offer appropriate provision for them. There are examples where pupils cannot be educated in mainstream settings and require specific provision outside the school site so that their needs can be met. 1. No. of pupils requiring EOTAS provision is increasing. 2. The costs of external provision have increased. 3. High quality provision and appropriate destinations for these pupils is limited. 4. Schools need to increase their capacity and collaborative working to ensure the managed moves protocol is implemented effectively. Suitable accommodation for in-house provision needs to be determined.	Regional and local targets for implementation monitored locally an regionally to ensure compliance. Statutory posts in place by January 2021 (LA and schools). Compatible IT systems must be developed to ensure digital processes are in place. Highlight as a budget pressure for future.	Targets for implementation have been revised in light of changes by WG to implementation date. Work ongoing with Welsh Government and locally to ensure minimum requirement for IT systems are in place that will allow development of digital systems. LA appointments are in process.	High	High	High	High	A healthier Wales , supporting vulnerable learners can improve their well-being and add educational achievement. A more equal Wales , a society that enables people to fulfil their potential no matter what their background is.	High
NEW	ALN Act	The ALN Act will take effect from September 2021. this will mean major change for all stakeholders. The LA needs to ensure readiness to implement successfully.	1. Develop LA provision. 2. Increase capacity in schools by supporting with a range of interventions to improve wellbeing. 3. Embed the revised managed move process. 4. Embed collaborative working between schools.	Plan for ALN ongoing	Medium	Medium	Medium	Medium	A healthier Wales , supporting vulnerable learners can improve their well-being and add educational achievement. A more equal Wales , a society that enables people to fulfil their potential no matter what their background is.	High
NEW	HwB Programme	Risk – loss of funding if we do not complete full assessments of all school and develop sustainability plan for future investment by 31st October 2019. Loss of 2.9 million to CCBC schools. Opportunities to re-establish a fit for purpose ICT infrastructure to schools within the borough	Third party support contracted with Red Cortex to support procurement and digital team	Project being managed in line with prince2 methodology. Currently on target to meet WG requirements, however due to Covid access to schools and delay on equipment are issues, hence this risk maintains a high level.	High	High	High	High	Yes, lack of investment in our schools red	High
NEW	NEETS	Risk – NEET's is young people who are not in education, employment or training. This data started being recorded in 2012 when the rate was 5.8%. Considerable hard work went into helping young people which reduced the figure to as low as 1.9% in 16/17. Currently NEETs averages around 2% equating to around 40 young people. However during the course of this year the Authority's NEETs target for the 2019/20 cohort of year 11 pupils is likely to be adversely affected as the Virus lockdown has restricted the breadth of contact opportunities usually available to the Youth Service, compounded by the closure of Schools, in the Summer term of 2020. This has resulted in elevated numbers of vulnerable young people without confirmed post-school destinations, particularly those already less engaged with schools for various reasons and this may result in a decline in the NEETS figure.	The data is published in Oct to Nov 2020 which will tell us how severe the decline may be.	New Risk	New	New	New	High	This is a high risk for future generations as starting adult life with no or limited skills, qualifications or life opportunities will affect individual quality of life and the long term quality within communities	High