

At: Gadeirydd ac Aelodau'r Pwyllgor
Craffu Perfformiad

Dyddiad: 19 Tachwedd 2020

Rhif Union: 01824 712554

ebost: democrataidd@sirddinbych.gov.uk

Annwyl Gyngorydd

Fe'ch gwahoddir i fynychu cyfarfod y **PWYLLGOR CRAFFU PERFFORMIAD, DYDD IAU, 26 TACHWEDD 2020** am **10.00 am** yn **VIA VIDEO CONFERENCE**.

SYLWCH: YN SGIL Y CYFYNGIADAU AR DEITHIO A'R ANGEN I GADW PELLTER CYMDEITHASOL, NI GYNHELIR Y CYFARFOD HWN YN EI LEOLIAD ARFEROL. BYDD YN GYFARFOD O BELL TRWY FIDEO-GYNADLEDDA AC NI FYDD AR AGOR I'R CYHOEDD.

Yn gywir iawn

G Williams
Pennaeth Gwasanaethau Cyfreithiol, AD a Democrataidd

AGENDA

1 YMDDIHEURIADAU

2 DATGANIADAU O FUDDIANT (Tudalennau 5 - 6)

Yr Aelodau i ddatgan unrhyw gysylltiad personol neu gysylltiad sy'n rhagfarnu mewn unrhyw fater a nodwyd i'w ystyried yn y cyfarfod hwn.

3 MATERION BRYD FEL Y'U CYTUNWYD GAN Y CADEIRYDD

Hysbysiad o eitemau y dylid, ym marn y Cadeirydd, eu hystyried yn y cyfarfod fel materion brys yn unol ag Adran 100B(4) Deddf Llywodraeth Leol 1972.

4 COFNODION Y CYFARFOD DIWETHAF (Tudalennau 7 - 14)

Derbyn cofnodion y Pwyllgor Craffu Perfformiad a gynhaliwyd ar 1 Hydref 2020 (copi ynghlwm).

5 THEMA ADFER COVID 19: BLAENORIAETHAU CORFFORAETHOL

(Tudalennau 15 - 34)

Ystyried adroddiad sy'n darparu blaenoriaethau'r Cyngor yng ngoleuni'r argyfwng Covid 19 (copi ynghlwm).

10:05 a.m. – 10:50 a.m.

~~~~~ EGWYL (10:50 a.m. – 11.00 a.m.) ~~~~~

**6 ADOLYGIAD O'R GOFRESTR RISG GORFFORAETHOL, MEDI 2020**

(Tudalennau 35 - 162)

Ystyried adroddiad sy'n rhoi'r wybodaeth ddiweddaraf am adolygiad mis Medi o'r Gofrestr Risg Gorfforaethol (copi ynghlwm).

**11:00 a.m. – 11.30 a.m.**

**7 RHAGLEN WAITH ARCHWILIO** (Tudalennau 163 - 184)

Ystyried adroddiad gan y Cydlynnydd Craffu (copi ynghlwm) yn gofyn am adolygiad o raglen gwaith i'r dyfodol y pwyllgor a rhoi'r diweddaraf i'r aelodau ar faterion perthnasol.

**11:30 a.m. – 11:50 a.m.**

**8 ADBORTH GAN GYNRYCHIOLWYR Y PWYLLGOR**

Derbyn unrhyw ddiweddariadau gan gynrychiolwyr y Pwyllgor ar Fyrddau a Grwpiau amrywiol y Cyngor.

**11:50 a.m. – 12:00 p.m.**

**AELODAETH**

**Y Cynghorwyr**

Y Cynghorydd Arwel Roberts  
(Cadeirydd)

Y Cynghorydd Hugh Carson Irving (Is-  
Gadeirydd)

Ellie Chard  
Ann Davies  
Martyn Holland  
Geraint Lloyd-Williams  
Bob Murray

Paul Penlington  
Pete Prendergast  
Peter Scott  
David Williams

**COPIAU I'R:**

Holl Gynghorwyr er gwybodaeth  
Y Wasg a'r Llyfrgelloedd  
Cynghorau Tref a Chymuned

Mae tudalen hwn yn fwriadol wag

DEDDF LLYWODRAETH LEOL 2000

Cod Ymddygiad Aelodau

## DATGELU A CHOFRESTRU BUDDIANNAU

Rwyf i,  
(enw)

\*Aelod /Aelod cyfetholedig o  
(\*dileuer un)

**Cyngor Sir Ddinbych**

**YN CADARNHAU** fy mod wedi datgan buddiant **\*personol / personol a sy'n rhagfarnu** nas datgelwyd eisoes yn ôl darpariaeth Rhan III cod ymddygiad y Cyngor Sir i Aelodau am y canlynol:-  
(\*dileuer un)

Dyddiad Datgelu:

Pwyllgor (nodwch):

Agenda eitem

Pwnc:

Natur y Buddiant:

(*Gweler y nodyn isod*)\*

Llofnod

Dyddiad

Noder: Rhowch ddigon o fanylion os gwelwch yn dda, e.e. 'Fi yw perchennog y tir sy'n gyfagos i'r cais ar gyfer caniatâd cynllunio a wnaed gan Mr Jones', neu 'Mae fy ngŵr / ngwraig yn un o weithwyr y cwmni sydd wedi gwneud cais am gymorth ariannol'.

Mae tudalen hwn yn fwriadol wag

## **PWYLLGOR CRAFFU PERFFORMIAD**

Cofnodion cyfarfod o'r Pwyllgor Craffu Perfformiad a gynhaliwyd yn via WebEx, Dydd Iau, 1 Hydref 2020 am 10.00 am.

### **YN BRESENNOL**

Y Cynghorwyr Ellie Chard, Ann Davies, Hugh Irving (Vice-Chair), Geraint Lloyd-Williams, Bob Murray, Paul Penlington, Pete Prendergast, Arwel Roberts (Chair) and Peter Scott

Roedd yr Aelodau Cabinet – y Cynghorydd Mark Young a'r Cynghorydd Richard Mainon yn bresennol ar ôl cael eu gwahodd gan y Pwyllgor ar gyfer eitemau sy'n ymwneud â'u portffolios.

Arsylwyr - Y Cynghorwyr Meirick Lloyd Davies a Thony Thomas

### **HEFYD YN BRESENNOL**

Prif Weithredwr (JG), Pennaeth Gwella Busnes a Moderneiddio (AS), Pennaeth Cynllunio a Gwarchod y Cyhoedd (EJ), Rheolwr Traffig, Parcio a Diogelwch Ar Y Ffyrdd (MJ), Arweinydd Tîm – Twristiaeth, Marchnata a Digwyddiadau (PMcD), Rheolwr Gwasanaethau Democrataidd (SP), Cydlynnydd Craffu (RE), Gwesteiwr WebEx (KJ), a Gweinyddwr Pwyllgorau (SLW)

## **1 YMDDIHEURIADAU**

Derbyniwyd ymddiheuriadau am absenoldeb oddi wrth y Cynghorwr(wyr) Martyn Holland

Ar ddechrau'r cyfarfod talwyd teyrnged i'r diweddar Gynghorydd Huw Jones, a oedd wedi bod yn Gadeirydd y Pwyllgor ers 2017. Roedd Sir Ddinbych wedi colli gweithiwr caled a oedd yn ystyriol a bydd pawb yn colli ei synnwyr digrifwch. Roedd bob amser yn gydwybodol ac yn ffrind da. Diolchwyd i'r Cynghorydd Hugh Irving am weithredu fel Cadeirydd yn ystod salwch y Cynghorydd Jones.

Croesawodd y Cadeirydd y Cynghorwyr Paul Penlington a Peter Prendergast i'w cyfarfod cyntaf Craffu Perfformiad fel Aelodau'r Pwyllgor.

## **2 DATGAN CYSYLLTIAD**

Ni chafodd unrhyw gysylltiad ei ddatgan.

## **3 MATERION BRYN FEL Y'U CYTUNWYD GAN Y CADEIRYDD**

Ni chodwyd unrhyw faterion bryn gyda'r Cadeirydd cyn y cyfarfod.

#### 4 COFNODION Y CYFARFOD DIWETHAF

Cyflwynwyd cofnodion cyfarfod y Pwyllgor Craffu Perfformiad a gynhaliwyd ar 30 Ionawr 2020.

Tudalen 5 – Cywirodd y Cynghorydd Ann Davies y datganiad o gysylltiad gan fod ei hŵyr yn ddisgybl yn Ysgol Glan Clwyd

Cywirodd y Cynghorydd Arwel Roberts y datganiad o gysylltiad hefyd, gan egluro nad oedd yn Llywodraethwr yn Ysgol Dewi Sant mwyach.

##### **Materion sy'n Codi -**

Tudalen 6 – cwestiynodd yr aelodau a oedd unrhyw wybodaeth bellach ar gael o ran Coed Meifod a gwasanaethau cyfleoedd gwaith eraill yn cael eu hadolygu. Cadarnhaodd y Cydlynnydd Craffu fod ymholiadau wedi'u gwneud gyda'r Rheolwr Gwasanaeth, Gwasanaethau Cleientiaid, a ddywedodd fod COVID wedi achosi oedi gan fod nifer o wasanaethau wedi cau dros dro oherwydd y pandemig. Gwnaed cynnydd o ran Popty ac Y Bont.

Tudalen 7 - Ni chadarnhawyd y cyllid o £120k - £150k ar gyfer y gwaith adnewyddu i ddarparu ar gyfer adleoli gwasanaethau i Neuadd y Sir a Dinbych, a byddai'r Cydlynnydd Craffu yn gwneud ymholiadau pellach.

Tudalen 10 – Enwi a rhifo Strydoedd Cymru – gofynnodd y Cynghorydd Meirick Lloyd Davies a oedd y Cabinet yn derbyn yr argymhellion. Cadarnhaodd y Cydlynnydd Craffu ei bod yn aros am ymateb gan Swyddogion.

Tudalen 11 – Gofynnodd Aelodau a fyddai Llyfrgell Y Rhyl yn cael ei hadleoli i safle Marchnad y Frenhines. Cadarnhaodd y Prif Weithredwr fod gwahanol gamau i ailddatblygu safle Marchnad y Frenhines, nad oedd wedi datblygu eto.

Roedd cytundeb ar yr argymhelliad trwy gonsensws. Ni chymerwyd pleidlais ffurfiol. Dywedodd pob aelod eu bod o blaid yr argymhelliad, ni ddywedodd unrhyw un eu bod yn ei erbyn ac ni ddywedodd unrhyw un eu bod eisiau atal eu pleidlais.

***Penderfynwyd: - yn amodol ar y cywiriadau uchod, y dylid cymeradwyo cofnodion cyfarfod y Pwyllgor Craffu Perfformiad a gynhaliwyd ar 30 Ionawr 2020 fel cofnod cywir.***

#### 5 CYNLLUN ADFER AR ÔL COVID-19 AR GYFER Y FLAENORIAETH ADFER CYMORTH I FUSNESAU

Cyflwynodd yr Aelod Arweiniol Cynllunio, Diogelu'r Cyhoedd a Chymunedau Mwy Diogel, y Cynghorydd Mark Young, Archwiliad o'r cynllun adfer Ôl Covid 19 ar gyfer yr adroddiad blaenoriaeth adfer cymorth i fusnesau (a ddosbarthwyd yn flaenorol).



Roedd y cynllun adfer yn ymwneud a chymorth i fusnesau ac i aelodau ddeall y cynnydd a wnaed hyd yma, yn ogystal â'r cysylltiad â Rhaglen Bwrdd Uchelgais Economaidd Gogledd Cymru ar adferiad economaidd.

Roedd y Coronafeirws yn argyfwng iechyd cyhoeddus, ond roedd yr effaith ar yr economi a busnesau hefyd yn hollbwysig. Yn dilyn canol trefi yn cau, roedd busnesau yn cael trafferth adfer yn y tymor canolig a'r hirdymor. Roedd hefyd yn bosibl na fydd rhai busnesau'n gallu adfer o gwbl.

Roedd pedair is-thema i'r Thema Adfer Cymorth i Fusnesau ac roedd gan bob is-thema swyddog arweiniol a fyddai'n cynhyrchu cynllun adfer ar gyfer pob is-thema:

- Canol Trefi - Mike Jones, Swyddog Arweiniol
- Cyswllt Busnesau - Gareth Roberts, Swyddog Arweiniol
- Twristiaeth - Peter Mcdermott, Swyddog Arweiniol
- Caffael - Helen Makin, Swyddog Arweiniol

Roedd y cynlluniau ar gyfer pob is-thema ar gamau gwahanol o ran eu datblygiad, fodd bynnag, roedd llawer iawn o waith cefnogi 'busnes fel arfer' yn mynd rhagddo.

Rhoddodd Mike Jones, Rheolwr Traffig, Parcio a Diogelwch ar y Ffyrdd a Peter McDermott, Arweinydd Tîm - Twristiaeth, Marchnata a Digwyddiadau ddiweddariad byr i'r aelodau ynghylch is-themâu Canol y Dref a Thwristiaeth.

Yn ystod trafodaeth codwyd y pwyntiau canlynol:

- Cadarnhaodd swyddogion fod taliadau parcio wedi bod yn benderfyniad a ddirprwywyd gan Aelod Arweiniol yn dilyn trafodaethau gyda'r Cabinet. Ar ddechrau'r cyfnod clo, roedd parcio am ddim er mwyn helpu gweithwyr allweddol a gwirfoddolwyr. Ailgyflwynwyd taliadau ym mhob maes parcio ar 3 Awst 2020. Parhaodd nifer fach o feysydd parcio i fod am ddim am hyd at 2 awr, a fyddai'n parhau hyd at 31 Rhagfyr 2020. Hyd yma, ni wnaed unrhyw benderfyniadau i ymestyn y cyfnod.
- Cadarnhaodd Mike Jones y byddai'n edrych i mewn i'r wybodaeth am ba mor aml y caiff toiledau eu glanhau, ac yna'n dosbarthu'r wybodaeth i'r aelodau.
- Mynegodd y Cynghorydd Paul Penlington ei anghytundeb â'r wybodaeth a roddwyd gan Mike Jones wrth iddo nodi na welodd unrhyw arwyddion o hyn ym Mhrestatyn ynghylch rheolaeth y Stryd Fawr. Cwestiynodd y cyfleuster dim dwylo ar gyfer peiriannau talu am barcio hefyd. Ymatebodd swyddogion i egluro, yn gyntaf bod sticeri ar bob peiriant maes parcio i hysbysu cwsmeriaid o ap y gellid ei gymhwyso i bob maes parcio ledled y sir. Yn ail, cadarnhawyd hefyd fod yna arwyddion ledled Stryd Fawr Prestatyn ac y gallai swyddogion ddarparu cynlluniau o leoliadau arwyddion ar gyfer y Cynghorydd Penlington. Roedd Ed Parry wedi cysylltu ag aelodau perthnasol y ward a oedd yn cwmpasu Stryd Fawr Prestatyn, er mwyn sefydlu cyfarfod safle i drafod y gwaith arfaethedig ar gyfer Stryd Fawr Prestatyn. Cadarnhaodd y Cynghorydd Hugh Irving ei fod wedi cael e-bost ac y byddai'n hapus i fynychu cyfarfod safle. Cadarnhaodd aelodau y dylid ymgynghori ag aelodau wardiau am waith sy'n mynd rhagddo, ynghyd â

Grwpiau Ardal yr Aelodau. Dylid ymgynghori a Busnesau a grwpiau Busnes yn y dyfodol hefyd.

Ar y pwynt hwn, cadarnhaodd y Prif Weithredwr fod yr Uwch Dîm Arweinyddiaeth (UDA) wedi cadarnhau y dylid ymgynghori ag aelodau a grwpiau busnes gan ei fod yn rhan hanfodol o'u rôl.

- Codwyd materion ynghylch safleoedd Carafanau yn ystod y newidiadau cyfredol i'r cyfnod clo.  
Cwestiynwyd sut y byddai perchnogion carafanau yn gallu cloi a diogelu eu carafanau ar gyfer y gaeaf. Cadarnhaodd swyddogion fod Llywodraeth Cymru wedi rhyddhau cwestiynau cyffredin am barthau gwarchod iechyd ac eglurhad o'r cyfyngiadau. Y geiriau yn y canllawiau oedd "esgus rhesymol". Roedd angen i Gyngor Sir Dinbych (CSDd) gysylltu â Heddlu Gogledd Cymru ynglŷn â hyn er mwyn cael eglurhad, ac yna byddai'n ei gyfleu i bob perchennog safle carafanau. Byddai angen i swyddogion gysylltu ag ALLau eraill hefyd er mwyn sicrhau cysondeb.
- Roedd gwybodaeth am gefnogaeth i fusnesau yn dilyn cyhoeddiad Llywodraeth Cymru a mwy o gymorth grant i fusnesau sy'n dod o fewn parthau ar gael ar wefan CSDd.  
Roedd y Gwasanaeth yn gweithio'n agos gyda Gwasanaeth Datblygu Economaidd a Busnes y Cyngor a'r Gwasanaeth Cwsmeriaid, Cyfathrebu a Marchnata i dynnu sylw at yr hyn a oedd ar gael drwy ddatganiadau i'r wasg a'r cyfryngau cymdeithasol. Byddai Mike Jones yn gweithio gyda grwpiau canol tref i roi cyfarwyddyd iddyn nhw am sut i gael gafael ar wybodaeth
- Gwiriodd y Pennaeth Cynllunio, Gwarchod y Cyhoedd a'r Gwasanaethau Cefn Gwlad gyda Llywodraeth y DU pa gynlluniau sydd ar gael ar gyfer pobl hunangyflogedig ac i roi cyhoeddusrwydd i'r rhai a oedd ar gael.

Roedd cytundeb ar yr argymhelliad trwy gonsensws. Ni chymerwyd pleidlais ffurfiol. Dywedodd pob aelod eu bod o blaid yr argymhelliad, ni ddywedodd unrhyw un eu bod yn ei erbyn ac ni ddywedodd unrhyw un eu bod eisiau atal eu pleidlais.

***Penderfynwyd: - yn amodol ar yr arsylwadau a'r awgrymiadau a wnaed yn ystod y drafodaeth, cefnogi swyddogion o ran y gwaith sydd wedi'i wneud mewn perthynas â chefnogi busnesau o fewn y Sir a'u cyfraniad parhaus at waith adferiad economaidd rhanbarthol mewn partneriaeth â Rhaglen Bwrdd Uchelgais Economaidd Gogledd Cymru a Llywodraeth Cymru (LIC).***

Ar yr adeg hon (11.15 am) cafwyd egwyl o 10 munud.

Ailddechreuodd y cyfarfod am 11.25 am.

## 6 YMGORFFORI FFYRDD NEWYDD O WEITHIO

Cyflwynodd yr Aelod Arweiniol Gwasanaethau Corfforaethol a Chyfeiriad Strategol, y Cynghorydd Richard Mainon, yr adroddiad Ymgorffori Ffyrdd Newydd o Weithio (a ddosbarthwyd yn flaenorol).

Cafodd nifer o swyddogaethau'r Cyngor eu darparu'n llwyddiannus drwy weithio dros y we yn ystod y pandemig. Roedd y defnyddwyr a oedd yn cyrchu systemau'r Cyngor fwy neu lai wedi codi yn ystod y pandemig o tua 200 y dydd hyd at bron i 1600. Roedd y mwyafrif o gyfarfodydd, gweithredol a democrataidd, yn rhai dros y we ar hyn o bryd.

Roedd buddion gweithio fel hyn wedi lleihau effaith carbon y Cyngor oherwydd bod milltiroedd busnes a theithio i gyfarfodydd wedi lleihau. Roedd tagfeydd traffig lleol a'r llygredd dilynol wedi gostwng, ac roedd gweithio o gartref wedi gwella'r cydbwysedd gwaith a bywyd i nifer o bobl, staff ac Aelodau fel ei gilydd.

Oherwydd hyn, cynigiwyd y dylid parhau â'r dull hwn pan fydd y gofynion cadw pellter cymdeithasol wedi dod i ben. Dylai'r mwyafrif o gyfarfodydd arferol fod dros y we a dylai gweithio gartref yn llawn amser / rhan amser fod y ffordd arferol o weithio.

Roedd yr holl fanylion yn llawn yn Atodiad yr adroddiad.

Cadarnhaodd y Prif Weithredwr ei chytundeb gyda'r Aelod Arweiniol a nododd hefyd ei fod wedi cael effaith gadarnhaol ar y mwyafrif o staff. Roedd y staff wedi cael holiadur i gael nodi eu safbwyntiau ar y ffyrdd o weithio yn ystod y pandemig. Yr adborth gan staff oedd bod gweithio gartref yn dda i iechyd meddwl y mwyafrif o bobl, tra bod lleiafrif o'r farn nad oedd yn addas ar eu cyfer. Cadarnhaodd y Prif Weithredwr hefyd na fyddai'r ffordd y mae pobl yn gweithio yn dychwelyd i'r ffordd yr oedd cyn y pandemig. Roedd gweithio gartref hefyd yn gwneud Cyngor Sir Ddinbych yn fwy deniadol fel cyflogwr oherwydd y gallai gweithwyr y dyfodol fod yn byw y tu allan i'r ardal gan y byddent yn gweithio gartref.

Yn dilyn yr holiadur, dywedodd y Pennaeth Gwella a Moderneiddio Busnes wrth yr aelodau fod 80% o'r staff wedi nodi ei bod yn well ganddynt weithio gartref. Nododd staff hefyd ei bod yn amser newid y ffordd o weithio. Byddai canlyniadau'r holiadur yn cael eu trafod yn ystod cyfarfod yr Uwch Dîm Arweinyddiaeth y prynhawn yma. Roedd aelodau wedi cael holiadur hefyd yn ymwneud â'r ffordd o weithio yn y dyfodol. Byddai'r ymgynghoriad ag aelodau yn dod i ben yn ystod yr wythnos hon. Mae technoleg wedi gwella'n aruthrol ers dechrau'r cyfnod clo. Roedd yr Aelod Arweiniol, y Cynghorydd Richard Mainon, i ffurfio Gweithgor gydag aelodau i asesu canlyniadau holiaduron staff ac aelodau.

Yn ystod trafodaeth codwyd y pwyntiau canlynol:

- Lles meddylion staff sy'n byw eu hunain.  
Cadarnhaodd swyddogion y gellid cael ffordd hybrid o weithio yn y dyfodol, gan rannu'r wythnos waith o bosibl rhwng y cartref a'r swyddfa. Byddai hefyd yn gadarnhaol i'r holl staff gwrdd yn y swyddfa neu leoliadau eraill i rwydweithio a dal i fyny gyda chydweithwyr.
- Gan fod llai o staff yn mynychu adeiladau swyddfa, cwestiynodd aelodau a fyddai posib gwerthu unrhyw adeiladau.  
Cadarnhaodd yr Aelod Arweiniol y byddai adeiladau'r cyngor yn cael eu hadolygu yn y dyfodol, ond nad oedd hyn am ddigwydd dros nos.

- Yr effaith economaidd bosibl ar ganol trefi'r sir a busnesau lleol oherwydd gostyngiad yn nifer yr ymwelwyr yng nghanol trefi oherwydd bod y Cyngor a staff cyflogwyr mawr eraill yn gweithio mwy o gartref
- Er mwyn cynorthwyo staff, roedd dau gynllun gyda Chyllid a Thollau Ei Mawrhydi lle gallai staff hawlio gostyngiad yn y dreth am weithio gartref neu gyflwyno hawliad pro-rata am filiau cartref.
- Cododd yr aelodau'r ffaith fod angen i'r cyfleuster cyfieithu fod ar waith yn ystod cyfarfodydd a chadarnhaodd swyddogion fod hyn yn y broses o gael ei drefnu a'i brofi ar hyn o bryd.  
Byddai cyfarfodydd pwyllgor cyhoeddus dwyieithog yn cael eu cynnal drwy Zoom cyn hir.

Diolchodd y Prif Weithredwr i'r aelodau am eu sylwadau, yn enwedig o ran lles staff. Roedd rheolwyr mewn cyswllt rheolaidd gyda'u staff tra'n gweithio gartref. Ymddengys mai cydbwysedd hybrid o weithio yn y dyfodol oedd y ffordd fwyaf priodol ymlaen. Gallai staff fynychu adeilad cyngor neu gyfleuster arall ar gyfer meithrin tîm neu rwydweithio ond byddai angen ail-ffurfweddu'r adeiladau. Dyma oedd y ffordd ymlaen.

Roedd cytundeb ar yr argymhelliad trwy gonsensws. Ni chymerwyd pleidlais ffurfiol. Dywedodd pob aelod eu bod o blaid yr argymhelliad, ni ddywedodd unrhyw un eu bod yn ei erbyn ac ni ddywedodd unrhyw un eu bod eisiau atal eu pleidlais.

**Penderfynwyd: - yn amodol ar y sylwadau uchod:**

- (i) derbyn y wybodaeth a ddarperir mewn perthynas â'r Cyngor yn mabwysiadu ffyrdd newydd o weithio fel rhan o'r broses adfer; a***
- (ii) chefnogi'r cyfleoedd posibl i'r Awdurdod ymgorffori ffyrdd newydd a mwy effeithiol o weithio mewn arferion gwaith yn y dyfodol.***

## **7 RHAGLEN WAITH CRAFFU**

Cyflwynodd y Cydlynnydd Craffu adroddiad (a gylchredwyd ymlaen llaw) yn gofyn i'r Aelodau adolygu rhaglen waith y Pwyllgor ac yn rhoi'r wybodaeth ddiweddaraf ar faterion perthnasol. Atgoffwyd yr Aelodau y dylid llenwi'r ffurflen cynnig ar gyfer y pynciau craffu (atodiad 2) er mwyn i'r Grŵp Cadeiryddion ac Is-gadeiryddion Craffu adolygu a dyrannu eitemau busnes.

Esboniodd y Cydlynnydd Craffu fod yr adroddiad yn ymddangos yn wahanol i'r rhaglen gwaith i'r dyfodol arferol oherwydd ym mis Mehefin/Gorffennaf, cyfarfu'r Grŵp Cadeiryddion ac Is-gadeiryddion Craffu i edrych i mewn i sut i ailgychwyn y pwyllgor Craffu yn y dyfodol. Gwnaed penderfyniad i glirio'r blaenraglen waith o'r tri Pwyllgor Craffu a rhoi'r eitemau ar restr gadw.

Mae'r eitemau i'w cyflwyno ar gyfer y cyfarfod ar 26 Tachwedd fel a ganlyn:

- Cofrestr Risg Gorfforaethol
- Cynllun Corfforaethol 2020/21 (Chwarter 2)
- gyda'r pynciau sy'n weddill ar y rhestr gadw wedi'u hamserlennu fel y bo'n briodol

Y diweddar Gyngorydd Huw Jones oedd cynrychiolydd y Pwyllgor ar y Grŵp Buddsoddi Strategol. Gan fod hwn yn grŵp pwysig gyda phwerau i wneud penderfyniadau, gofynnwyd i benodi cynrychiolydd a dirprwy. Cyfarfu'r Grŵp yn fisol ar ôl y Cabinet. Cynigiwyd, felly, mai Cadeirydd ac Is-gadeirydd y Pwyllgor Craffu Perfformiad fyddai'r cynrychiolydd a'r dirprwy gynrychiolydd.

Roedd cytundeb ar yr argymhelliad trwy gonsensws. Ni chymerwyd pleidlais ffurfiol. Dywedodd pob aelod eu bod o blaid yr argymhelliad, ni ddywedodd unrhyw un eu bod yn ei erbyn ac ni ddywedodd unrhyw un eu bod eisiau atal eu pleidlais.

**Penderfynodd y Pwyllgor:**

- (i) yn amodol ar yr arsylwadau uchod a chynnwys yr eitemau penodedig ar y Rhaglen Gwaith i'r Dyfodol, cadarnhau Rhaglen Gwaith i'r Dyfodol y Pwyllgor; a*
- (ii) phenodi'r Cadeirydd i weithredu fel cynrychiolydd y Pwyllgor ar y Grŵp Buddsoddi Strategol, gyda'r Is-gadeirydd yn gweithredu fel dirprwy gynrychiolydd ar y Grŵp pe bai'r Cadeirydd yn absennol*

**Daeth y cyfarfod i ben am 12:30 pm.**

Mae tudalen hwn yn fwriadol wag

|                                 |                                                                 |
|---------------------------------|-----------------------------------------------------------------|
| <b>Adroddiad i'r:</b>           | <b>Pwyllgor Craffu Perfformiad</b>                              |
| <b>Dyddiad y cyfarfod:</b>      | <b>26 Tachwedd 2020</b>                                         |
| <b>Aelod/Swyddog Arweiniol:</b> | <b>Cyng. Hugh Evans/ Graham H Boase</b>                         |
| <b>Awdur yr Adroddiad:</b>      | <b>Graham H Boase, Cyfarwyddwr Corfforaethol</b>                |
| <b>Teitl:</b>                   | <b>Thema Adferiad Covid-19 Blaenoriaethau<br/>Corfforaethol</b> |

## 1. Am beth mae'r adroddiad yn sôn?

1.1. Cyflawni blaenoriaethau corfforaethol y Cyngor yn sgil argyfwng Covid-19

## 2. Beth yw'r rheswm dros lunio'r adroddiad hwn?

2.1. Fel y gall y Pwyllgor Craffu wneud sylw ar y dull arfaethedig.

## 3. Beth yw'r Argymhellion?

3.1. Gan ystyried argyfwng Covid-19 mae fframwaith llywodraethu presennol y Cyngor yn parhau'n briodol ar gyfer asesu, monitro a chyflawni blaenoriaethau corfforaethol y Cyngor.

## 4. Manylion yr Adroddiad

4.1. Mae'r Uwch Dîm Rheoli (UDRh) a'r Cabinet wedi nodi nifer o Themâu Adferiad yn sgil yr Argyfwng Covid. Gweler Atodiad 1.

4.2. Mae templed safonol wedi'i ddefnyddio ar gyfer pob un o'r Themâu Adferiad. Mae'r adroddiad hwn ynglŷn â sut yr ydym yn adolygu ein blaenoriaethau corfforaethol yn sgil Covid-19. Gweler y templed safonol wedi'i gwblhau yn Atodiad 2.

4.3. Ynglwm fel Atodiad 3 mae adroddiad drafft gan Brif Weithredwr y Cyngor o dan y teitl 'Covid-19 – 'Ffurf y Cyngor ar gyfer y Dyfodol'. Mae'r adroddiad drafft

hwn wedi'i ystyried gan yr UDRh ac yng nghyfarfod Briffio'r Cabinet, ac mae'n cael ei ystyried yn berthnasol ar gyfer y thema adferiad ar flaenoriaethau corfforaethol.

- 4.4. Gofynnir am sylwadau gan yr Aelodau ar y Thema Adferiad, Blaenoriaethau Corfforaethol a hefyd cymerwyd y cyfle i rannu adroddiad drafft y Prif Weithredwr ar Covid-19 – Ffurf y Cyngor ar gyfer y Dyfodol. Croesewir sylwadau ar yr adroddiad drafft hwn hefyd.

## **5. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?**

- 5.1. Mae'n adroddiad ar pa un a oes gennym brosesau priodol ar waith i adolygu ein blaenoriaethau corfforaethol yn sgil Covid-19.

## **6. Faint fydd hyn yn ei gostio a sut y bydd yn effeithio ar wasanaethau eraill?**

- 6.1. Nid oes yna oblygiadau cost o ganlyniad i'r adroddiad hwn ac nid oes yna argymhellion sy'n effeithio ar sut mae Gwasanaethau yn gweithredu ar hyn o bryd.

## **7. Beth yw prif gasgliadau'r Asesiad o'r Effaith ar Les?**

- 7.1. Nid oes angen Asesiad o'r Effaith ar Les ar gyfer yr adroddiad hwn.

## **8. Pa ymgynghoriadau sydd wedi'u cynnal gyda Chraffu ac eraill?**

- 8.1. Mae'r adroddiad hwn wedi'i ystyried yn yr UDRh a chyfarfod Briffio'r Cabinet.

## **9. Datganiad y Prif Swyddog Cyllid**

- 9.1 Er bod yna oblygiadau cost i gyflawni ein blaenoriaethau corfforaethol, mae'r adroddiad hwn yn canolbwyntio ar y fframwaith llywodraethu ar gyfer asesu, monitro a chyflawni'r blaenoriaethau hynny ac felly nid oes yna oblygiadau ariannol uniongyrchol. Fodd bynnag, mae'n bwysig bod yna drefniadau priodol ar waith ac ar y lefel honno mae'r adroddiad yn cael ei gefnogi a'i groesawu.



## **10. Pa risgiau sydd yna ac oes yna unrhyw beth y gallwn ei wneud i'w lleihau?**

10.1. Mae Risgiau/Cyfleoedd yn cael eu hystyried yn yr adroddiad templed safonol ar gyfer Themâu Adferiad ynghlwm yn Atodiad 2.

## **11. Pŵer i wneud y Penderfyniad**

11.1. Adran 21 Deddf Llywodraeth Leol (2000).

11.2. Mae Adrannau 7.3 a 7.4 o Gyfansoddiad y Cyngor yn amlinellu rôl y Pwyllgor Craffu ar Berfformiad wrth graffu ar berfformiad y Cyngor a'i gefnogi i gyflawni ei amcanion.

Mae tudalen hwn yn fwriadol wag

## Recovery Themes FWP (monitoring table)

With so many Recovery Themes reporting to different places at differing times it is important we keep track of what has been where.

Eleri will be responsible for updating the table below, which will become a standing item on SLT in the same way as FWPs are. Please keep Eleri updated on progress, so the table can be kept up to date.

| Theme                | Lead | SLT        | Cabinet Briefing/ update | Group Leaders                                                   | Budget Board | Cabinet | Scrutiny                           | SLT Updates                    | Comments                                                                                                                                                                                                                                                             |
|----------------------|------|------------|--------------------------|-----------------------------------------------------------------|--------------|---------|------------------------------------|--------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Staffing             | CR   | 02/07      | 07/07/20                 | n/a                                                             | n/a          | n/a     | LJCC 6/11                          | Circulate LJCC to SLT for info | A report is going to the LJCC for Health & Safety and Employee Relations on the 6th November 2020.<br><br>SLT having read the LJCC report to consider whether a more detailed report comes to a future SLT                                                           |
| Democratic Processes | GW   | SEMT 05/08 | 07/09/20                 | n/a they received regular updates regarding democratic recovery | n/a          | n/a     | Democratic Services Committee 2/10 | n/a                            | The only outstanding issue regarding recovery is the reinstatement of simultaneous translation, without which webcasting is not compliant with Welsh Language Standards. Testing continues of Zoom and translation will be trialled again at Cabinet on 20th October |

|                                    |    |                                                                                |                                                                                                     |                                                                                                         |                                                                                                                   |                                                                         |                                                                                                    |                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                              |
|------------------------------------|----|--------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Finance                            | SG | SEMT kept updated in detail twice a week during the peak and weekly thereafter | Weekly Updates during the pandemic and monthly updates since return to monthly meetings             | CFO attended all emergency Group Leaders meeting and kept them up to date and responded to all queries. | BB restarted in June. ToFR changed to include Financial Response to Covid – Monthly updates provided to the Board | Initial Strategy approved on 26 <sup>th</sup> May                       | CG&AC received an update of the strategy at their initial meeting on the 9 <sup>th</sup> September | Financial position on the agenda for SEMTs                                                                                                  | The strategy has been approved and has formed a key part of dealing with the financial impact of Covid. As the strategy highlights the recovery is likely to take place over a number of years as the impact of the country's finances has been severe. However this medium and long term strategy will be dealt with as part of the Medium Term Financial Strategy and the Budget Setting process.                          |
| Infrastructure – Council Buildings | SG | 17/05                                                                          | Weekly Updates if required during the pandemic and monthly updates since return to monthly meetings | CFO attended all emergency Group Leaders meeting and kept them up to date and responded to all queries. | N/A – no financial impact                                                                                         | This was viewed as an operational matter with no resource implications. | 03/09                                                                                              | Issues are discussed as required at SLT – issues now subsumed in 'Embedding New Ways of Working' project and the Business Continuity group. | Scrutiny asked for an update in 6 months' time – although there was a lot of confusion at the meeting between this property based theme and the wider agile working theme/project.<br><br>The 'theme' as set out is complete – buildings can close and re-open as and when required as the recent lockdown has shown. I would recommend that this theme is considered closed when the second update report goes to scrutiny. |

|                                                                                      |    |                                  |                                  |                               |     |     |                         |                                                    |                                                                                                                                                                                                                                                                                         |
|--------------------------------------------------------------------------------------|----|----------------------------------|----------------------------------|-------------------------------|-----|-----|-------------------------|----------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Infrastructure – Highways & Public Realm                                             | TW | 18/06                            | 06/07                            | 14/07                         | n/a | n/a | 03/09 Comm Scrutiny     | 21/01/21                                           | Went to Communities Scrutiny 03/09.<br>Has largely become business as usual now.                                                                                                                                                                                                        |
| Infrastructure - Housing                                                             | LG | 04/06                            | 22/06                            | 1/7                           | n/a | n/a | 10/09 Partship Scrutiny | 25/8 Feb 2021                                      |                                                                                                                                                                                                                                                                                         |
| Business Support<br>Town Centres<br>Business Contact<br>Tourism<br>Local Procurement | EJ | 18/06<br>18/06<br>15/10<br>24/09 | 22/06<br>22/06<br>07/12<br>02/11 | 1/7<br>1/7                    | n/a | n/a | 1/10 Perf Scrutiny      | 17/12                                              | What next for Business Support (overview) and Town Centres?<br>Dates for Business Contact, Tourism and Local Procurement to come to SLT?                                                                                                                                                |
| Communications                                                                       | LG | 01/10                            | 05/10                            | Chairs & Vice Chairs<br>05/11 | n/a | n/a | tbc                     | tbc                                                | Report on first six month's Covid-Comms activity is being taken to SCVCs in 5/11 to consider next steps re Scrutiny.                                                                                                                                                                    |
| Community Resilience                                                                 | NS | 25/8                             | 07/09                            | n/a                           | n/a | n/a | 10/09 P'ship Scrutiny   | 07/01/21                                           | It's still very much a work in progress although some will have stalled due to HPZs and now the Wales wide lockdown                                                                                                                                                                     |
| Schools                                                                              | GD | 04/06                            | 21.07<br>11/1/21                 | 22.07                         | n/a | n/a | 03.09 Comms Scrutiny    | 17/12 Verbal updates provided as and when required | Verbal reports provided during SLT. All members receive notification of current closure / isolation situation in schools as and when schools are instructed to isolate pupils.<br>Following discussion with lead member dates for Cabinet Briefing and Group Leaders have been arranged |

|                                                                          |    |       |       |       |             |             |                                                                               |                                                                                  |                                                                                                                                                                                                                                                                                                                                      |
|--------------------------------------------------------------------------|----|-------|-------|-------|-------------|-------------|-------------------------------------------------------------------------------|----------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Embedding New Ways of Working<br>1. Flexible Working<br>2. Agile Working | AS | 04/06 | n/a   | n/a   | n/a         | n/a         | n/a                                                                           | n/a                                                                              | Project Board to be set up to lead the development.<br>Next stage of consultation with JCC in November                                                                                                                                                                                                                               |
|                                                                          |    | 02/07 | 06/07 | 22/07 | no date yet | no date yet | 1/10                                                                          | 1/10<br>22/10                                                                    |                                                                                                                                                                                                                                                                                                                                      |
|                                                                          |    | 13/08 | 05/10 | n/a   | no date yet | No date yet | No date yet                                                                   | No date yet                                                                      |                                                                                                                                                                                                                                                                                                                                      |
| Review of Corporate Priorities                                           | GB | 29/10 | 02/11 | n/a   | n/a         | n/a         | Perf Scrutiny<br>26/11                                                        | 17/12                                                                            | The Review has concluded there is no need for any separate review of corporate priorities. Any review due to C19 pressures will be conducted via established governance arrangements.<br><br>The one issue to resolve is how this message fits in with Judith's paper, "Covid 19 – The Future Shape of Denbighshire County Council". |
| Denbighshire Leisure Ltd                                                 | JG | 03/09 | n/a   | n/a   | n/a         | n/a         | n/a<br>Recovery Theme being reported to Strategic Governance Board – Date for | As and when appropriate. The item has been to SLT once already in September 2020 | Strategic Governance Board (SGB) of DLL is due to consider the company's current and proposed operating and financial baseline model; and the consequential impact of Covid, as part of the Council's budget setting process.                                                                                                        |

|              |    |       |       |     |     |     |                            |       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|--------------|----|-------|-------|-----|-----|-----|----------------------------|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|              |    |       |       |     |     |     | the board<br>imminent      |       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| Homelessness | PG | 18/06 | 22/06 | n/a | n/a | n/a | 5/11<br>P'ship<br>Scrutiny | 12/11 | <p>Strategic Homelessness Accommodation Meeting established led by Corporate Director.</p> <p>Plans in place to take on Community Housing building for managed emergency accommodation but no funding available from WG. The property will not be available until Spring 2021.</p> <p>Medium property now identified to provide staffed emergency accommodation for families and progressing with Property Services. WG Funding for MMC new build – discussion with WG has enabled the focus to change to purchase existing properties for more permanent accommodation. This is in the early stages of progressing with Property Services</p> <p>Work continues to move on as many households as possible given lifting of restrictions on shielding and house moves. Reduction in 16 households accommodated over last 4 weeks. Reduction in 40 households accommodated over last 8 weeks.</p> |
| TTP          | EJ |       |       |     |     |     |                            |       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |

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### Recovery Theme Plan Template

As with the emergency phase, the recovery phase will follow a thematic approach with a lead senior officer responsible for delivery and reporting on progress. Each lead officer will also be responsible for drawing up a plan, with objectives and milestones, for that thematic area in conjunction with the appropriate lead member.

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Recovery Theme Title:</b><br/>Corporate Priorities</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <p><b>Lead Officer:</b><br/>Graham Boase</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <p><b>Lead Member:</b><br/>Cllr Hugh Evans</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <p><b>Summary of Recovery Theme:</b><br/>When we first considered the need for this recovery theme back in April/May there was the unknown impact on our revenue and capital budgets this year as a result of C19. Those impacts could have been so severe it could have required the Council to quickly reevaluate our priorities and whether we could afford to deliver them or not.</p> <p>Whilst there are still many challenges and some uncertainties regarding this year's budget we are now more confident that we don't need to completely reevaluate our priorities.</p> <p>Budget pressures in future years however may well mean we do need to reconsider our priorities both in terms of revenue and capital budgets.</p> <p>This theme therefore needs to consider whether or not we need to establish a new process to review and potentially change our corporate priorities in light of C19.</p>                                                         |
| <p><b>Key Objectives:</b><br/>To establish whether or not we need to introduce a new process to review our corporate priorities in light of C19 and if so what form should that new process take.</p> <p>The following have been considered:</p> <p><b>Corporate Plan (2017-22):</b><br/>The first thing to say is we have Council Elections in May 2022 i.e. approx. 18 months away. As such it is not too far off before we need to start to consider how best to commence work on the next Corporate Plan. That next Corporate Plan will set out the priorities for the Council 2022 – 2026 (4-year Council period). So it is inevitable that in due course we will be assessing our priorities in terms of the new Corporate Plan.</p> <p>We currently have a very clear set of 5 priority programmes in the existing Corporate Plan. Much work has gone into establishing, agreeing and delivering a wide range of ambitious projects to support each programme.</p> |

Examples of the high level Projects/Strategies that relate to the Corporate Plan include:

- Net Carbon Zero & Ecological Positive Council
- 21<sup>st</sup> Century Schools
- Flood defence projects
- General highway maintenance
- Broadband/Digital development
- Denbighshire Working Start

These projects remain relevant.

Delivery of the Corporate Plan is monitored by SLT, Corporate Plan Programme Board, Cabinet, Scrutiny, Council etc. Despite C19 there appears broad satisfaction that that good progress is being made in delivering the 5 programmes and the established governance arrangements remain appropriate.

This indicates that the Corporate Plan identified the right properties at the right time for the Council.

It appears there is no pressing need or desire to carry out any work to redefine the priorities in the Corporate Plan. The existing governance arrangements can adequately monitor the delivery of the Corporate Plan and should ensure a seamless transition from the existing Corporate Plan to the next Corporate Plan.

**Response to C19 Emergency:**

The day to day response to the C19 emergency has become part of our corporate priorities.

We are satisfied that through SEMT we managed the initial C19 emergency very well and we have broadly retained those same governance arrangements to ensure we continue to respond appropriately to the ever changing landscape created by the current emergency.

It appears there is no requirement to establish any new process to direct our response to the emergency as the existing governance arrangements are working well.

**Recovery from C19:**

The way we recover from the C19 emergency has become part of our corporate priorities.

We have set up a governance structure that initially identified 14 Covid Recovery Themes (some are divided into “sub themes”). Each Theme has an SLT lead and a Lead Member. The Themes have initially been worked up by the SLT lead in consultation with the relevant Lead Member. The draft Themes have been discussed at SLT and Cabinet Briefing. From there the Themes go through their own “route” of wider Member engagement e.g. initially during C19 to Group Leaders, more recently via Scrutiny, or other appropriate Member Forums.

Some of these themes involve relatively straight forward processes and will soon start to become business as usual, while others are directing more radical lasting changes and will take longer to develop and implement.

It appears there is no requirement to establish any new process to direct these recovery themes as the existing governance arrangements are working well.

**Governance of our Priorities:**

As a result of our Recovery Theme, “Democratic Process” and the work of our support services (e.g. ICT, Democratic Services etc) we now have our main governance systems functioning again (e.g. Scrutiny, Cabinet and Council). So the priorities of the Council are subject to the established political rigour e.g. over a 3-month period the proposed regional Growth Deal and associated GA2 will have been subject to a Member Workshop, Scrutiny, Cabinet Briefing, Cabinet, and Council.

SLT is meeting weekly to overview the work on our priorities from a senior management perspective e.g. regular review of the Corporate Project Register.

SIG continues to provide challenge in terms of proposed capital schemes to ensure they align with corporate priorities e.g. Queens Building, Rhyl.

Budget Board is monitoring the revenue budget, including the medium term financial plan, proposed savings for next year etc with the view of ensuring Cabinet and Council set a balanced budget e.g. managing the current round of Service Budget Sessions.

Setting and delivering priorities is always a balance involving the needs of the Authority, the will of Members and the needs of our community and all need to take ownership of the agreed priorities by signing up to their delivery.

It appears that our established governance framework continues to serve us well, so questions about our corporate priorities can be answered via our existing arrangements.

**Conclusion:**

Whilst we need to challenge Services to establish if they can still deliver their pre C19 priorities or if there is a need to realign those priorities in light of C19 there is no requirement to carry out a separate review of our corporate priorities given (i) we are making good progress in terms of delivering the existing Corporate Plan (ii) the Corporate Plan is in its last 18 months and work will soon start on considering the next Corporate Plan for the new Council (iii) we have appropriate governance arrangements in place to monitor and challenge our corporate priorities and how they are being delivered.

It would appear that whatever budget pressures we may face as a result of C19, be they in the short or longer term, we can use our existing governance arrangements to evaluate our corporate priorities.

Regard may need to be given to the CEO’s draft paper entitled, “Covid 19 – The Future Shape of Denbighshire County Council” which to date has been discussed at SLT and Cabinet Briefing.

The report highlights 3 “priorities”:

- We will operate as one Council
- We will focus our resources on what matters
- We will focus on communities

These 3 “priorities” are less to do with specific projects/areas of service delivery and are more about how we approach the business of the Council.

Dependent on the outcome of further discussion regarding the CEO's draft paper we may want to consider how to communicate the message of one Council, focussing its resources on what matters and focussing on our communities.

That message can be delivered within the context that our existing governance arrangements will need to continue to test and challenge our ability to deliver our agreed priorities in light of C19.

**Key Milestones (include an decision points eg Cabinet):**

Discuss with Lead Member Cllr Hugh Evans (28/10)

Report to SLT for discussion with the senior managers of the Council (29/10)

Report to Cabinet Briefing for discussion with senior politicians of the Council (02/11)

Report to Performance Scrutiny to seek the views of the wider Council membership (26/11)

**Risks**

We do not reassess our priorities in light of all the additional work and pressures created by C19 and as such we spread ourselves too thinly potentially resulting in the failure to deliver on certain priorities or succeeding to do everything but to a lower standard.

**Opportunities:**

We use our existing governance framework to review our priorities and their associated outcomes/targets in light of individual pressures/issues and we launch a new message focussing on strengthening our approach to being one Council, focussing our resources on what matters most to our communities.

**What does Success Look Like?**

A Council focused on a clear set of deliverable priorities including being able to respond to the ongoing C19 situation.

|                              |                                                            |
|------------------------------|------------------------------------------------------------|
| <b>Report to</b>             | Cabinet Briefing                                           |
| <b>Date of meeting</b>       | 2 November 2020                                            |
| <b>Lead Member / Officer</b> | Judith Greenhalgh, Chief Executive                         |
| <b>Report author</b>         | Judith Greenhalgh, Chief Executive                         |
| <b>Title</b>                 | Covid 19 – The Future Shape of Denbighshire County Council |

## **1. What is the report about?**

1.1. This report sets out a vision for how the Council's officers and functions will work to strengthen the Council, maximise use of resources and focus on outcomes for citizens as it emerges from the Covid-19 crisis and focusses on operating safely, efficiently and effectively in the new world.

## **2. What is the reason for making this report?**

2.1. To share this vision and invite comments from SLT and subsequently cabinet before engagement with the wider workforce and members

## **3. What are the Recommendations?**

3.1. That SLT consider and suggest amendments to the vision set out in this report, based on their experiences of Covid-19 and their views on how the Council can operate safely, efficiently and effectively in the future.

## **4. Report details**

### **Background**

4.1. In March 2020, when the Covid-19 pandemic struck North Wales, the Council very rapidly shifted its focus and priorities to ensuring that our essential services were maintained, the public kept safe, the most vulnerable in our communities

were supported and our business had access to information, funding and advice.

- 4.2. The Council was able to make this shift rapidly, with a clear focus on what was important – this was a view also shared by the political leadership of the County – and the Council worked effectively by sharing resources, using staff and budgets flexibly and by freeing staff and managers up to make decisions quickly. We have received praise from the regional emergency planning team for the operational management of the crisis by our SLT and held up as a regional exemplar.
- 4.3. Throughout this period, and to date, outside of front line operational services, the Council has worked almost entirely remotely. We are of course, not alone in this – all Councils and many businesses right across Wales have seen a seismic cultural shift away from office based working and the need to be present in a building to justify your productivity. Of course, there is a balance to be had between home and office working in the future, but it is unlikely that we will ever go back to the way it was before
- 4.4. At the beginning of the Covid-19 crisis, the Council had already faced and managed 10 years of real terms budget reductions, after demographic and other pressures. During the Covid crisis we have experienced not only additional costs, but significant income losses; whilst WG have committed to making good some of these losses, it is unlikely they will be met in full and the national cost of the pandemic is likely to lead to far tighter settlements in the future. As a consequence of Covid, the Council's financial position is likely to be squeezed still further
- 4.5. The Council has learnt many lessons from its experience of the Covid-19 pandemic, which it is important are not lost. In setting out this vision, that learning has been considered and incorporated. It should be seen that this vision is entirely co-terminous with and sits alongside the Council's recovery strategy and thematic approach, which also incorporate learning from our experiences in the pandemic and the likely business, community and financial landscape that will face Denbighshire County Council in the future

## The Corporate Plan

- 4.6. The Council's plan was adopted at the beginning of the current political administration and ends in 2022. It was informed in part by the 'County Conversation'
- 4.7. The five priorities set out in the Council's corporate plan held well during Covid, remained priorities during the response phase and can be seen clearly reflected in the Recovery Themes and Priorities adopted by cabinet and by SLT
- 4.8. The vision that follows builds on and holds true to those corporate plan priorities, with an intention to focus more clearly on the spirit and intention of those

## The Vision

- 4.9. Much of what follows is not new; it reflects the way that we have been working for the last two years to maximise our use of Council resources, and to focus on delivery for communities
- 4.10. However, in the light of lessons learned from Covid, it is timely to set out and articulate how the Council will seek to work going forward, to create a common focus and understanding.
- 4.11. The overall approach can be summarised under three headings as set out below
- 4.12. **We Will Operate as One Council** As the staff of Denbighshire County Council, we share a collective responsibility to work together across services to achieve the best outcomes for the people of Denbighshire. A resident contacting us should receive a single response and joined up, co-ordinated support. We will work to further break down silos between departments, share information and support and use our corporate resources most efficiently and effectively and where they are most needed. Staff should feel supported and enabled to use their expertise to best effect and building on the lessons from Covid, will work with managers to find the best balance between office and home working that suits the Council, Services and individual well-being.

**4.13. We Will Focus Our Resources on What Matters** A clear lesson from Covid-19 has been that a sharp focus on a smaller number of things enables us to get things done quickly and successfully. At the present time, the Council monitors its performance by tracking the corporate plan but also by tracking the WG National Performance Indicator Set. The National Indicator set is a crude basket of measures, does not give an overall view of performance in Denbighshire, nor does it reflect what cabinet and senior officers would view as priorities. The time is right to develop a Denbighshire ‘Balanced Scorecard’, building on the corporate plan and developing indicators that are a true measure of performance and ‘what matters’ to this Council. The ‘scorecard’ would also include corporate health indicators, including financial, governance and HR matters.

**4.14. We Will Focus on Communities** This Council already has a track record of investing in community engagement, community development and in supporting communities more widely. During Covid-19, we established a community support and calling service, supported by local voluntary organisations, which has received outstanding feedback from the public and provided valuable intelligence to us, and partners. We also made a number of excellent connections with local community and voluntary groups which enabled us to stay informed and direct resources to where they are most needed. Whilst ‘community resilience’ is a key component of our recovery strategy, we should put community involvement at the heart of everything we do and work to empower communities to do things for themselves. A key element of our current strategy, the development of the Climate and Ecological Change Strategy, for example, has a significant element of community development behind it and has been shaped by representatives of communities themselves. Involving and engaging with communities not only enables us to be closer to the people that we serve but also to harness the resource and commitment of those communities – including Councils – to work with DCC for the benefit of all.

### **Next Steps**

4.15. The purpose of this report is to summarise and encapsulate a number of existing and developing themes and approaches and to set them out in an unambiguous and structured way to set out a clear message for how the Council wants to emerge from Covid and be taken forward in to the ‘new



normal'. It builds on existing intentions, whilst learning from our experiences during the pandemic

4.16. The vision set out above will be clearly set out to staff, discussed with middle managers and adopted alongside the Council's existing 'vision and values'. It will be embedded in the Council's leadership framework

4.17. The development of the 'Balanced Scorecard' will begin in consultation with lead members, with a view to presenting something to Full Council later in the year

## **5. Conclusions**

5.1. The Council has responded well to the Covid-19 pandemic during 2020 and has gained some valuable insights in to working differently and working effectively which should be retained

5.2. The Council has scarce resources, which should be deployed efficiently and effectively and where the Council wishes to prioritise and deliver performance.

5.3. The Vision and Principles as set out above will give a clear strategic vision for staff to discuss and contribute to, and provide a string sense of direction to guide our decision making in the 'new normal' and beyond.

Mae tudalen hwn yn fwriadol wag

|                                |                                                                                                                                                           |
|--------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Adroddiad i'r:</b>          | <b>Pwyllgor Craffu Perfformiad</b>                                                                                                                        |
| <b>Dyddiad y cyfarfod</b>      | <b>Dydd Iau, 26 Tachwedd, 2020</b>                                                                                                                        |
| <b>Aelod/Swyddog Arweiniol</b> | <b>Alan Smith, Pennaeth Gwella Busnes a Moderneiddio</b><br><br><b>Julian Thompson-Hill – Aelod Arweiniol Cyllid,<br/>Perfformiad ac Asedau Strategol</b> |
| <b>Awdur yr Adroddiad</b>      | <b>Iolo McGregor, Arweinydd y Tîm Cynllunio Strategol a<br/>Pherfformiad</b>                                                                              |
| <b>Teitl</b>                   | <b>Adolygiad o'r Gofrestr Risg Gorfforaethol, Medi 2020</b>                                                                                               |

## **1. Am beth mae'r adroddiad yn sôn?**

- 1.1. Y wybodaeth ddiweddaraf am adolygiad mis Medi o'r Gofrestr Risg Gorfforaethol.

## **2. Beth yw'r rheswm dros lunio'r adroddiad hwn?**

- 2.1. Rhoi'r wybodaeth ddiweddaraf i'r Pwyllgor am yr adolygiad diweddaraf o'r Gofrestr Risg Gorfforaethol.

## **3. Beth yw'r Argymhellion?**

- 3.1. Bod y Pwyllgor Craffu Perfformiad yn ystyried y diwygiadau i'r Gofrestr Risg Gorfforaethol ac yn gwneud sylwadau.

## **4. Manylion yr Adroddiad**

- 4.1. Yr Uwch Dîm Arweinyddiaeth sydd yn datblygu a pherchen ar y Gofrestr Risg Gorfforaethol ochr yn ochr â'r Cabinet. Caiff ei hadolygu'n ffurfiol ddwywaith y flwyddyn gan y Cabinet yn ystod sesiwn frifio'r Cabinet.

4.2. Yn dilyn pob adolygiad ffurfiol, caiff y gofrestr ddiwygiedig ei chyflwyno i'r Pwyllgor Craffu Perfformiad a'i rhannu gyda'r Pwyllgor Llywodraethu Corfforaethol ac Archwilio.

4.3. Cyflawnwyd yr adolygiad diwethaf ym mis Chwefror 2020.

### **Canllaw Awch am Risg a Rheoli Risg**

4.4. Mabwysiadwyd dull awch am risg newydd y Cyngor flwyddyn yn ôl, a chytunwyd y byddai'n cael ei adolygu yn ystod diweddariad mis Medi. Ar y cyfan, nid yw ychwanegu awch am risg i'n dull o reoli risg wedi bod yn feichus, ac mae wedi ychwanegu gwerth i'n trafodaethau, yn enwedig tra'n ystyried sgorio risg a mesurau i'w lliniaru. Serch hynny, fe argymhellir y newidiadau canlynol er mwyn gwella defnydd a dealltwriaeth y sefydliad o awch am risg:

- Yn seiliedig ar adborth gan swyddogion, ac i gyd-fynd â defnyddio templedi hygyrch newydd, rydym wedi gwneud y canllaw rheoli risg yn fwy eglur o ran sut mae sgorio risg yn gysylltiedig â'r meini prawf uwchgyfeirio, ac yn ei dro, lefel difrifoldeb y risg rydym ni'n fodlon ei dderbyn o fewn pob meini prawf awch am risg. Er enghraifft, mae awch gofalus yn golygu mai dim ond risgiau bychan neu gymedrol y byddwn ni'n eu goddef. Mae'n matrices sgorio newydd a chrynodeb o awch i'w weld yn atodiad 3, ac mae'n Canllaw Rheoli Risg ynghlwm yn atodiad 4 (tudalennau 7-8, 17-18 a 21 yn y canllaw hwn).
- Yn ystod ein trafodaethau gyda'r perchnogion risg yn ystod adolygiad mis Chwefror a mis Medi, daeth hi'n amlwg nad yw risgiau sy'n ymwneud â Diogelu yn cyd-fynd yn gyfforddus ag awch ofalus ar gyfer Cydymffurfiaeth a Rheoleiddio. Yn dilyn cytundeb gyda'r Uwch Dîm Arweinyddiaeth, fe ychwanegwyd categori newydd i ymdrin â Diogelu, ac mae ein awch yn minimol. Mae'r ychwanegiad yma i'w weld yn atodiad 3 yr adroddiad, ond hefyd o fewn y Canllaw Rheoli Risg sydd ynghlwm yn atodiad 4 (tudalennau 7 a 37 yn y canllaw).

4.5. Yn ogystal â'r newidiadau a amlinellwyd uchod i'r Canllaw Rheoli Risg, mae'r ddogfen sydd ynghlwm yn atodiad 4 wedi cael ei hail ysgrifennu er mwyn cydymffurfio â'r safonau hygyrchedd, gan achub ar y cyfle i'w diweddarau gydag unrhyw newidiadau sydd wedi digwydd ers yr adolygiad diwethaf. Bychan fu'r

newidiadau hyn gan fwyaf, er enghraifft, diweddarau dolenni i wefannau, neu hen gyfeiriadau at y Tîm Gweithredol Corfforaethol.

## **Cofrestr Risg Gorfforaethol**

4.6. Yn ystod yr adolygiad diweddaraf, mae effaith Covid-19 wedi bod ar flaen ein meddyliau, ac mae nifer o risgiau wedi cael eu diweddarau er mwyn adlewyrchu'r effaith hyd yn hyn a'r goblygiadau at y dyfodol. Mae sgoriau rhai risgiau wedi cynyddu mewn difrifoldeb o ganlyniad i hyn. Mae'r holl newidiadau y cytunwyd arnynt wedi cael eu nodi yn atodiad 2.

4.7. I grynhoi:

- Mae yna un risg newydd: **Risg 46 - Methiant i symud ymlaen i fabwysiadu'r cynllun sy'n cymryd lle'r Cynllun Datblygu Lleol (CDLI)**. Mae'r risg yma wedi cael ei uwchgyfeirio o Gofrestr Risg Cynllunio, Gwasanaeth Cefn Gwlad a Gwarchod y Cyhoedd ac mae'n Risg Critigol (Effaith Bron yn Bendant/Uchel) ar hyn o bryd. Mae manylion llawn i'w gweld yn atodiad 1 a 2.
- Nid oes unrhyw risgiau wedi'u tynnu.
- Mae ein risg o ran yr economi a'r galw/pwysau posibl y byddai dirywiad yn ei roi ar ein gwasanaethau wedi cynyddu yn ei hanfod mewn difrifoldeb o C1 (Risg Critigol: Effaith Posibl/Uchel lawn) i B1 (Risg Critigol: Effaith Tebygol /Uchel lawn), ac yn weddilliol o C2 (Risg Mawr: Effaith Posibl/Uchel) i B2 (Risg Critigol: Effaith Tebygol / Uchel). Mae camau ychwanegol wedi cael eu nodi er mwyn lliniaru'r risg.
- Mae ein risg o ran ymateb i ddigwyddiad difrifol annisgwyl wedi cael ei ddiweddarau er mwyn adlewyrchu at y rheolau Covid-19 sydd yn eu lle.
- Mae difrifoldeb gweddilliol ein risg ynglŷn â rhwymedigaethau sylweddol yn deillio o fodolau amgen o gyflwyno gwasanaeth wedi cynyddu oherwydd Covid-19 o E2 (Risg Cymedrol: Effaith Prin/Uchel) i C2 (Risg Mawr: Effaith Posibl/Uchel).

- Mae Risg 18 yn cydnabod oedi i raglenni a phrosiectau yn sgil Covid-19 ac mae'n nodi canlyniad cadarnhaol yr adolygiad cyfran diweddar ar y rhaglen Cynllun Corfforaethol.
- Mae diweddariad am y cynnydd presennol a chamau pellach wedi cael eu nodi mewn perthynas â'r risg o ran Clefyd Coed Ynn.
- Does dim risg wedi lleihau yn eu difrifoldeb.
- Mae Risgiau 1, 6, 12, 21, 27, 33, 34, 36, 37 a 44 (gweler atodiad 2) yn anghyson gyda Datganiad Awch am Risg y Cyngor (atodiad 3). Mae'r rhain wedi cael eu hadolygu mewn trafodaethau gyda pherchnogion risg, a'u sgorio cyfredol yn cael eu cytuno i fod yn briodol. Mae'r anghysonder yn cyfiawnhau bod eu cynhwysiant yn cael eu monitro fel risgiau corfforaethol.

## **5. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?**

5.1. Diben y Gofrestr Risg Gorfforaethol yw amlygu digwyddiadau posibl yn y dyfodol a allai gael effaith niweidiol ar allu'r cyngor i gyflawni ei amcanion, gan gynnwys ei flaenoriaethau corfforaethol. Mae'r camau rheoli a gweithredu a amlygir felly'n hanfodol ar gyfer cyflawni'r blaenoriaethau corfforaethol.

## **6. Faint fydd hyn yn ei gostio a sut y bydd yn effeithio ar wasanaethau eraill?**

6.1. Mae costau datblygu, monitro ac adolygu'r Gofrestr Risg Gorfforaethol yn cael eu cynnwys yn y cyllidebau cyfredol.

## **7. Beth yw prif gasgliadau'r Asesiad o'r Effaith ar Les?**

7.1. Mae'r Gofrestr Risg Gorfforaethol yn dogfennu risgiau sydd wedi'u canfod, a'r camau lliniaru. Nid yw'r broses o ddatblygu ac adolygu'r ddogfen ei hun yn cael effaith niweidiol ar unrhyw un o'r nodau lles. Fodd bynnag, dylid asesu effaith ar les ar gyfer unrhyw broses, strategaeth neu bolisi newydd sy'n cael eu llunio o ganlyniad i gam lliniaru.

## **8. Pa ymgynghoriadau sydd wedi'u cynnal gyda Chraffu ac eraill?**

8.1. Yn y lle cyntaf, cynhaliwyd trafodaethau unigol gyda Pherchnogion Risg.

- 8.2. Yna cafodd y gofrestr a'r canllaw eu trafod a'u cymeradwyo gan yr Uwch Dîm Arweinyddiaeth. Gofynnwyd i'r Cabinet gytuno a/neu wneud diwygiadau pellach hefyd.
- 8.3. Mae'r gofrestr a chanllaw mwyaf diweddar wedi cael ei rannu gyda'r Pwyllgor Llywodraethu Corfforaethol ac Archwilio cyn i'r Pwyllgor Craffu Perfformiad ei ystyried.

## **9. Datganiad y Prif Swyddog Cyllid**

- 9.1. Nid oes unrhyw oblygiadau ariannol yn codi wrth ddatblygu, monitro ac adolygu'r Gofrestr Risg Gorfforaethol.

## **10. Pa risgiau sydd yna ac oes yna unrhyw beth y gallwn ei wneud i'w lleihau?**

- 10.1. Nid oes unrhyw risgiau yn gysylltiedig â'r adolygiad hwn.

## **11. Pŵer i wneud y Penderfyniad**

- 11.1. Deddf Llywodraeth Leol 2000

- 11.2. Mae Adran 7.2.1 Cyfansoddiad y Cyngor yn mynnu y dylai'r gwasanaeth Archwilio adolygu neu archwilio penderfyniadau a wnaed neu gamau a gymerwyd mewn cysylltiad â chyflawni unrhyw rai o swyddogaethau'r Cyngor, boed hynny gan y Cabinet neu ran arall o'r Cyngor.

Mae tudalen hwn yn fwriadol wag



## **Corporate Risk Register (September 2020)**

### **Risk 01: The risk of a serious safeguarding error where the council has responsibility, resulting in serious harm or death**

**Lead Member(s):** Cllr Bobby Feeley, Cllr Huw Hilditch-Roberts and Cllr Mark Young

**Risk Owner:** Nicola Stubbins

#### **Description**

This risk - concerning children and adults at risk - is increasing as the environment is changing, with growing expectations around our duties in relation to third party provision. The cumulative impact of reducing resources across the public sector may impact agencies' ability to appropriately recognise safeguarding risks which may also create extra pressures for the Local Authority.

#### **Impact / Consequences**

- Individual(s) experience significant harm or death.
- Significant reputational loss.
- Possible intervention by Welsh Government.
- Legal/compensation costs.

#### **Inherent Risk**

B2 – Critical Risk: Likely / High Impact

#### **Controls to Manage Risk (in place)**

- Safeguarding policy & procedures are in place
- Corporate Safeguarding Training Programme.
- Framework of self-assessment for schools in relation to safeguarding has been established.

## Corporate Risk Register (September 2020)

- Section 28 audit tool in place for voluntary sector to ensure safeguarding practices are in place.
- Compliance with safeguarding practises is part of the annual HR audit of schools.
- Regional arrangements for safeguarding a) children and b) adults at risk are in place. The regional safeguarding boards set priorities and actions regionally, eg training and policies & procedures.
- Risk assessments in place for recruiting staff who require a DBS check and/or references and this is monitored and scrutinised by the Corporate Safeguarding Panel.
- Safeguarding policy review has taken place with Schools and new guidance has been developed
- Corporate Safeguarding Panel has been reviewed including the terms of reference, roles and responsibilities.
- Heads of Service have been asked to ensure they consider safeguarding when reviewing their risk registers and that safeguarding be included in service challenge where appropriate.
- Key posts within the Council that could have an impact on safeguarding have been identified and Heads of Service are reviewing the posts to ensure that adequate checks are undertaken by the Council or and external body. All new employee contracts make reference to safeguarding.
- Briefing sessions on safeguarding and Child Sexual Exploitation have been delivered to County Council. Safeguarding features in three Cabinet Members' portfolios.
- Improvements have been made to safeguarding arrangements with contractors including (i) DBS contract checks, (ii) ensuring that Council staff responsible on site for the contractor and managing the tendering / contract process are clear of their responsibilities in respect of safeguarding, (iii) ensuring contacts terms and conditions (including JCT) in relation to DBS checks are appropriate, (iv) ensuring that self-assessment arrangements as part of contract management are appropriate.
- The Corporate Safeguarding Policy has been reviewed and updated in line with new legislation.

## Corporate Risk Register (September 2020)

- Safeguarding e-learning module in place and compliance is monitored and scrutinised by the Corporate Safeguarding Panel.
- Recording and sharing safeguarding incidents and near misses is a standing item of the Corporate Safeguarding Panel. It also shares case reviews where there is a corporate perspective for lessons learned. Service representatives are responsible for reporting any key messages from panel meetings to members of staff within their services.
- Adoption of new Wales Safeguarding Procedures.

### Residual Risk

D2 – Major Risk: Unlikely / High Impact

### Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

### Further Actions

#### **Monitor performance in relation to the percentage of eligible staff (corporate and schools) that have an up to date DBS and reference check or risk assessment**

Safer recruitment stats are monitored for new employees and figures provided to the Corporate Safeguarding panel on a quarterly basis.

**Action Due Date:** 31/03/2021

**Person Responsible:** Nicola Stubbins

## **Corporate Risk Register (September 2020)**

**Risk 06: The risk that the economic and financial environment worsens beyond current expectations, leading to additional demand on services and reduced income.**

**Lead Member(s):** Councillor Julian Thompson-Hill

**Risk Owner:** Judith Greenhalgh

### **Description**

Although the latest draft budget settlement (4.3% increase in Revenue Support Grant) is welcome it still falls short of the 10% that would have been required in order to fund all the pressures that the Council is facing. The levels of future settlements are unknown yet and we await the UK Budget in March 2020.

The potential consequences of Brexit could include an economic downturn in the short to medium term and reduced funding over the medium to long term, which could lead to increased demand for council services.

The Section 151 Officer is responsible for producing a balanced budget.

There are significant pressures associated with social care, waste budgets, benefits and inflationary increases in pay and pensions. These pressures are all monitored closely and regularly by senior managers, including the Section 151 Officer.

The Council is facing a significant in-year financial pressure due to covid-19, having incurred financial costs and lost income. Income lost is unlikely to be reimbursed and future financial settlements will also be affected.

### **Impact / Consequences**

The council suffers from a significant reduction in income, leading to an inability to deliver current levels of service provision.

# Corporate Risk Register (September 2020)

## Inherent Risk

B1 – Critical Risk: Likely / Very High Impact

### Controls to Manage Risk (in place)

- The council has no control over the global economy or the WG settlement. Therefore, the inherent risk score likely to remain high.
- Annual, detailed budget setting process that considers economic environment
- The Medium Term Financial Plan (MTFP) contains different scenarios to ensure it can deal with changes in the external environment, and is considered on a quarterly basis: it has revised its expectations further downwards.
- A robust budget-setting process raises awareness of implications of significantly reduced income due to the economic environment. It also identifies a range of proposals should cuts be incurred.
- Regular (usually monthly) financial planning meetings between services and management accountants are in place.
- Service's budgets and budget proposals are scrutinised by the Lead Member for Finance and the Head of Service during budget-setting talks.
- Establishment of the 'Reshaping the Council Budget (RTCB)' programme board.
- RTCB has considered risks associated with population estimate inaccuracies and the potential impact on future funding. There is a Welsh Government funding floor which would help mitigate any impact, if this issue should transpire (in which case impact would be felt in 2022-23). RTCB will continue to monitor this risk.
- SLT will actively manage risks associated with Brexit on a monthly basis, until such time the risks can be managed corporately or at a service-level.

## Residual Risk

B2 – Critical Risk: Likely / High Impact

## **Corporate Risk Register (September 2020)**

### **Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Critical risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

### **Further Actions**

**The Council will take all steps to reclaim funding from WG**

**Action Due Date:** 31/03/2021

**Person Responsible:** Steve Gadd

**Throughout the recovery process, look at new ways of working**

**Action Due Date:** 31/03/2021

**Person Responsible:** Judith Greenhalgh

## **Corporate Risk Register (September 2020)**

**Risk 11: The risk of an ineffective response to a serious event, such as severe weather, contamination, public safety (including cyber-attack), or a public health event (such as Covid-19).**

**Lead Member(s):** Cllr Richard Mainon

**Risk Owner:** Graham Boase

### **Description**

Serious unexpected events can occur at any time. Services plan for the impact of expected seasonal variations in weather, but severe weather events, including wild fires as has recently been experienced, can impact on public safety and service delivery.

Similarly, we put plans in place to monitor food, water and air quality, but any contaminations can impact on service delivery, as would any viral pandemics.

Cyber attacks can affect our ability to provide services electronically, putting our business continuity plans to the test, and the same applies to major IT service failures.

Public health events, such as Covid-19, puts terrific strain on organisations such as ours, impacting on service delivery, project timescales, staff capacity, and of course finances. It also challenges the resource capacity of partners and providers that we work with.

### **Impact / Consequences**

- Significant disruption to core services.
- Serious injury or fatality due to road network closure, poisoning or infection.
- Reputational risk to the council if unable to deal with issues.
- Inability to deliver front line services (as a result of staff shortages for example).
- Temporary loss of data.
- Significant cost pressures to our budget.

# Corporate Risk Register (September 2020)

## Inherent Risk

A2 – Critical Risk: Almost Certain / High Impact

### Controls to Manage Risk (in place)

- The control environment in this area is the Regional Emergency Planning Service (Wrexham, Flintshire, Denbighshire, Conwy, Gwynedd and Anglesey), and local emergency management response groups have been established. There is significant partnership working with a regional emergency planning team coordinating plans and responses across North Wales.
- We also continually review our procedures for winter highways maintenance and flood response. Secondary rota established and operational.
- Service disruption is minimised through our arrangements for business continuity and emergency planning, with separate Directors responsible for Response and Recovery.
- There's an emergency on-call rota in place.
- Emergency Planning Response report taken to Partnerships Scrutiny in June 2015.
- Vulnerable people mapping tool is in operation.
- New chairs for the Communications and Operational Response Groups have strengthened arrangements.
- Gold & Silver training in place for new representatives.
- Deputies for Chairs of response teams appointed.
- Trial business continuity exercise took place in DCC in October 2017. Overall the exercise was successful.
- Planning and Public Protection has plans in place to manage responses to pandemics such as bird flu or foot and mouth for instance, with a focus on how we will work with partners in such times.
- The Corporate Director: Economy and Public Realm chairs quarterly meetings of all the chairs of various response groups in emergency planning and is also attended by regional emergency planning representatives. The purpose of this group includes to provide assurance that systems are in place and to test procedures.



## **Corporate Risk Register (September 2020)**

- We have set up a WhatsApp Business Continuity communication network, which has been tested in an internal DCC Business Continuity exercise (April 2019).
- We are due to take part in a joint regional Business Continuity Exercise with Gwynedd in February 2020.
- Covid19 Control: SEMT has been meeting on a regular basis and has responded to the initial covid-19 emergency and has agreed a number of covid-19 recovery themes for which members of SLT are leading. These are monitored regularly at SLT and have political input by Lead Member and Cabinet. Should covid-19 escalate (second wave), SLT will monitor and no doubt SEMT will recommence.

### **Residual Risk**

C3 – Moderate Risk: Possible / Medium Impact

**Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Yes

### **Further Actions**

**Develop and gain SLT approval for a new policy to ensure business continuity whereby staff take essential equipment home at the end of each day**

**Action Due Date:** 31/03/2021

**Person Responsible:** Alan Smith

# Corporate Risk Register (September 2020)

## Risk 12: The risk of a significantly negative report(s) from external regulators.

**Lead Member(s):** Councillor Hugh Evans

**Risk Owner:** Judith Greenhalgh

### Description

Negative reports from regulators could lead to a range of impacts that could be negative for Denbighshire County Council. The council is committed, however, to responding to reports and working with partners, including external regulators, to addressing any concerns that may arise.

### Impact / Consequences

- A wider lack of confidence in Council services.
- Reputational damage.
- Potential intervention by the WG.
- Significant resources may be required to be diverted to deliver immediate and substantial change.

### Inherent Risk

C2 – Major Risk: Possible / High Impact

### Controls to Manage Risk (in place)

- The corporate performance management framework (PMF) is the main control in this area.
- Head of Business Improvement & Modernisation, Strategic Planning Team Manager and Head of Audit meet monthly with Wales Audit Office to understand and respond to their concerns.
- Regulators sit on Service Performance Challenges.

## **Corporate Risk Register (September 2020)**

- Research & Intelligence team creates Needs & Demands, and Comparative reports to support service self-assessment and Service Performance Challenges.
- Annual Governance Statement and Performance Self-Assessment now combined.
- Protocol developed for addressing recommendations from WAO national studies: services' response will be the subject of performance scrutiny and service challenge.
- Regulation we're subject to includes: CIW (Care Inspectorate Wales); WAO Office; Estyn; HSE (Health & Safety Executive); ICO (Information Commissioner's Office).

### **Residual Risk**

D3 – Moderate Risk: Unlikely / Medium Impact

**Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Yes

# Corporate Risk Register (September 2020)

## Risk 13: The risk of significant liabilities resulting from alternative models of service delivery

**Lead Member(s):** Councillor Julian Thompson-Hill

**Risk Owner:** Judith Greenhalgh

### Description

Liabilities could arise due to financial, HR, safeguarding, or governance problems and could impact on the sustainability of service provision.

This risk will now also be impacted by covid-19 and we have already seen a significant loss of income within our leisure ADM as a result.

### Impact / Consequences

- Financial liabilities.
- Property Liabilities.
- Reduction in levels / quality of service provided to the community, or increased revenue costs to continue delivery.
- Collapse of company
- Reputation damage to the council
- Safeguarding to include protection of all assets (physical & intellectual Information)

### Inherent Risk

B2 – Critical Risk: Likely / High Impact

### Controls to Manage Risk (in place)

- A rigorous process is in place to ensure appropriate governance arrangements are in place as ADMs are established.
- Effective contract management arrangements are in place and appropriate monitoring is carried out throughout the life of the contract.

## Corporate Risk Register (September 2020)

- Council is entitled to representation on Boards, and Heads of Service providing strategic advice to facilities.
- Heads of Service advise DCC on any emerging issues and risks.
- Financial support and/or subsidies being provided.
- Processes are in place to manage relationships between DCC and Arm's Length organisations.
- Intervention measures are exercised by DCC if relationships with Arm's Length organisations are difficult to manage.
- Resources have been committed to improve financial monitoring of facilities and services
- Register of all ADMs
- Ensure best practice / lessons learned is applied to our robust contract and relationship management of ADM models.
- Compliance with current legislation and approved accredited standards as appropriate.

### Residual Risk

C2 – Major Risk: Possible / High Impact

### Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Critical risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

## **Corporate Risk Register (September 2020)**

**Risk 14: The risk of a health & safety incident resulting in serious injury or the loss of life. (Where H&S is referred to, this incorporates fire safety)**

**Lead Member(s):** Councillor Julian Thompson-Hill

**Risk Owner:** Steve Gadd

### **Description**

This could be as a result of unsafe acts, unsafe work places or ineffective H&S management.

### **Impact / Consequences**

- Serious injury or death of an employee and/or any other person.
- Significant reputational damage
- Substantial legal/litigation costs.
- Criminal prosecution of staff or the organisation.

### **Inherent Risk**

C2 – Major Risk: Possible / High Impact

### **Controls to Manage Risk (in place)**

- Strategic leadership is provided by the Head of Finance & Property, with delegated responsibility for Health and Safety.
- Competent H&S advisors are employed by the organisation to provide support, guidance and training on H&S.
- A Corporate Health and Safety Policy is in place which defines the H&S organisation and arrangements in DCC
- There is an established H&S Management System in place.

## **Corporate Risk Register (September 2020)**

- An established Corporate H&S Committee is in place which is a forum for the employer and employee representatives to discuss and consult on H&S.
- A number of service level H&S committees meet to provide a forum for service managers and employee representatives to discuss and consult on H&S.
- H&S training program focussed on DCC activities and the way we manage H&S in DCC.
- “Managing safely in Denbighshire” training is mandatory for all managers.
- The corporate H&S team carry out a program of targeted monitoring
- An online accident, incident reporting process is in place. There is an expectation that all accidents and incidents are reported
- Significant H&S related accidents, incidents and near misses are investigated internally

### **Residual Risk**

E2 – Moderate Risk: Rare / High impact

**Is our risk exposure (based on the score) consistent with the council’s Risk Appetite?**

Yes

## **Corporate Risk Register (September 2020)**

### **Risk 16: The risk that the impact of welfare reform (Universal Credit) is more significant than anticipated by the council.**

**Lead Member(s):** Councillor Bobby Feeley and Councillor Julian Thompson-Hill

**Risk Owner:** Steve Gadd

#### **Description**

Welfare reform (Universal Credit) has potentially significant implications for a large proportion of residents, and also on the council in terms of increased demand for services and reduced income.

#### **Impact / Consequences**

- Potential increase in demand for services: e.g. homelessness and homelessness prevention services; housing (especially for stock which is currently scarce); benefits support / advice, etc.
- Reduced income from rents and council tax payments with reduced cash flow and an increase in bad debt for the authority.
- Potential rise of council tax reduction scheme claimants.
- We expect to see a significant increase in the number of customers requiring digital support from our Library / One Stop Shop Service.
- Also an impact to Social Services due to Disability Living Allowance changes.
- This could also impact on our ability to deliver our Corporate Priorities.

#### **Inherent Risk**

B2 – Critical Risk: Likely / High Impact



# Corporate Risk Register (September 2020)

## Controls to Manage Risk (in place)

- A Cross-Authority / Multi Service Universal Credit Board has been established and is working to address, as far as possible, the risks and issues associated with the impact of Universal Credit.
- A proactive management of risk is involving identifying those likely to be affected to reduce the risk/mitigate any negative impacts.
- The Board has developed a Risk Register and Activity Plan to cover all strategic and operational risks as a result of Universal Credit, these include detailed Actions and Controls with owners assigned to each risk.
- This register is reviewed on a frequent basis and updates provided at each Board meeting.
- The roll out plan is risk averse and limits the risk that the impact will be more significant than expected, but the approach (determined by Westminster) could change. The intended approach though is that by the time all other benefits are phased out, existing claimants will have naturally become eligible for Universal Credit as a result of a change in their circumstances

## Residual Risk

D3 – Moderate Risk: Unlikely / Medium Impact

## Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Yes

# Corporate Risk Register (September 2020)

## **Risk 18: The risk that programme and project benefits are not fully realised.**

**Lead Member(s):** Cllr Julian Thompson-Hill

**Risk Owner:** Judith Greenhalgh

### **Description**

The council currently does not consistently deliver all benefits from projects. Some of the issues include: inconsistent management; resistance to change; staff behaviour and processes not changing as planned. Programmes to be mindful of include: Corporate Plan Board, Corporate Support Services Review (CSSR), Reshaping the Council Budget.

This risk encompasses risks associated with the council making changes that result in a greater negative impact than we anticipated (formerly risk 00028). When deciding where to make changes, we endeavour to ensure the quality of key services. There is a risk that we haven't identified the correct services as being 'key', and/or that the changes we make are more disruptive than we anticipated.

It is understood that a number of programmes and projects will be facing delays as a result of covid-19.

### **Impact / Consequences**

The forecast changes that were alluded to in business cases do not materialise and, hence, neither do their benefits.

In relation to changes having a greater positive or negative impact than anticipated could result in:

- Services that are important for our residents are no longer available
- Performance in important areas of our business (for our residents) deteriorates
- Reinstatement/correction in performance is difficult and slow to achieve
- Reputation can suffer if performance deteriorates

# Corporate Risk Register (September 2020)

- Reputation can suffer if messages are not managed

## Inherent Risk

B2 – Critical Risk: Likely / High Impact

## Controls to Manage Risk (in place)

- Corporate Programme Office established.
- Leadership Strategy in place.
- Strategic Planning team will support the Corporate Plan Board, and also support performance management in the organisation, therefore there's a strong alignment between 'change' and BAU.
- Impact assessments are undertaken and form part of the cover report for decisions.
- Risk are considered and form part of the cover report for decisions.
- Use of Verto to record benefit tracking and significant outcomes from projects will be picked up as part of Service Planning process.
- Change toolkits, together with factsheets, are on the intranet to support managers.
- Finance remove savings from budgets to ensure financial savings are delivered.
- Change Management Guidance has been developed.
- Quarterly Performance Reports on the Corporate Plan are sent to SLT, Cabinet and Scrutiny.
- SLT reviews key projects every three months.
- Programme Board members have attended Programme Management training.
- Lead Member for Finance, Performance & Strategic Assets now chairs the Corporate Plan Board, also sitting on the Budget Board. Their involvement in both boards ensures a coherent approach to our programmes and financial planning.
- The Corporate Plan was reviewed during its second tranche review in July during which the impact of covid-19 and current project progress was analysed. Senior managers and Cabinet confirmed their continued commitment to existing projects.

# Corporate Risk Register (September 2020)

## Residual Risk

D2 – Major Risk: Unlikely / High Impact

**Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Yes

# Corporate Risk Register (September 2020)

**Risk 21: The risk that effective partnerships and interfaces between BCU Health Board and Denbighshire County Council (DCC) do not develop, leading to significant misalignment between the strategic and operational direction of BCU and DCC**

**Lead Member(s):** Councillor Bobby Feeley

**Risk Owner:** Nicola Stubbins

## **Description**

With BCUHB in special measures there is increased political and regulatory scrutiny. This is resource intensive and further detracts from effective partnership working.

## **Impact / Consequences**

- Inefficient services
- Gaps in service provision
- Delays/failure to deliver joint projects
- Reputational damage
- Ability to meet statutory duties - Well-being of Future Generations Bill, Social Services and Well-being Act

## **Inherent Risk**

A1 – Critical Risk: Almost certain / Very high impact

## **Controls to Manage Risk (in place)**

- DCC presence in key meetings and Boards looking at implementing integrated new approaches.
- Central Area Integrated Services Board is in place.

## Corporate Risk Register (September 2020)

- NWWASIC has reviewed its governance arrangements in partnership with BCUHB.
- BCUHB Area Director in place.
- Two Community Resource Teams have been established.
- The Regional Partnership Board is in place to progress cooperation and integration.
- BCUHB is a member of the Conwy/Denbighshire PSB, which has shared priorities and a shared governance vision.

### Residual Risk

C2 – Major Risk: Possible / High Impact

### Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

### Further Actions

**Completion of Community Resources project, to include delivery of two further sites in Denbigh and Prestatyn.**

CRT Project documented through Verto - see PR004793

**Action Due Date:** 31/03/2021

**Person Responsible:** Phil Gilroy

## **Corporate Risk Register (September 2020)**

**Risk 27: The risk that even if the settlement is as anticipated, decisions that are necessary to identify and deliver the savings programme and enable a balanced budget are not taken or implemented quickly enough**

**Lead Member(s):** Cllr Julian Thompson-Hill

**Risk Owner:** Judith Greenhalgh

### **Description**

As our financial settlement reduces, we need to identify savings and gain approval for, and deliver, plans as to where to reduce or withdraw financial resources. Even if the budget we anticipate is the settlement we receive, there is still a risk for funding our services and savings identified may not be delivered as expected or in-year demand/pressures arise.

Any plans require the approval of Council, and must be implemented in a timely manner that complies with legislation. While the budget process has been successful to date there are still substantial future savings to be made by the local authority and the political environment remains sensitive.

### **Impact / Consequences**

- Denbighshire overspends on its budget.
- Denbighshire cannot deliver savings.
- Denbighshire has insufficient time to ensure good financial monitoring and robust planning.

### **Inherent Risk**

B1 – Critical Risk: Likely / Very High Impact

# Corporate Risk Register (September 2020)

## Controls to Manage Risk (in place)

- The budget setting process involves Members, so they understand that difficult decisions are necessary, and they are involved with developing the proposals. This should make them more likely to support the recommendations made.
- As decisions are becoming harder then lead in times are becoming longer.
- The better than expected settlement for 2020/21 means that only savings with minimum impact on service delivery and staff have been accepted.
- The Reshaping the Council Budget board has been established, which is likely to make some controversial suggestions that will require political support. Therefore there may be increased risk of not achieving approval for the service changes required to deliver a balanced budget.
- Early identification of the budget gap and potential actions to address it are managed through the Reshaping the Council Budget Board and SLT.
- A workshop involving Cabinet and SLT took place in September 2019 to discuss the principles behind the budget and services budgets, and to identify areas where there is political will to make savings.
- All of these controls are in place to ensure good financial monitoring and robust financial planning.

## Residual Risk

C2 – Major Risk: Possible / High Impact

## Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.



# **Corporate Risk Register (September 2020)**

## **Further Actions**

**Review Strategic Investment Group (SIG) process.**

**Action Due Date:** 31/03/2020

**Person Responsible:** Steve Gadd

# Corporate Risk Register (September 2020)

## **Risk 30: The risk that Senior Leadership capacity and skills to sustain service and corporate performance is not available**

**Lead Member(s):** Councillor Julian Thompson-Hill

**Risk Owner:** Judith Greenhalgh

### **Description**

The current structure of the Senior Leadership Team has been built on the strength and experience of current postholders. As the number of posts at SLT has reduced there is a concentration of key roles that are critical to the successful delivery of services, and the organisation's ability to respond to policy and legislation. There is a risk that individuals with particular skill sets would be difficult to replace, and there is also a risk that the organisation is not flexible enough to keep up with the pace of change required in light of new corporate priorities and future budget pressures.

### **Impact / Consequences**

- Reputational damage.
- Declining performance.
- Poor performance against new priorities.

### **Inherent Risk**

C3 – Moderate Risk: Possible / Medium Impact

### **Controls to Manage Risk (in place)**

- Greater opportunities for Middle Managers to 'act up' to key posts in order to gain experience at a more senior level
- Leadership Strategy is in place

## **Corporate Risk Register (September 2020)**

- Heads of Service are tested on their succession plans through Service Challenge
- Quarterly Leadership Conferences held to develop middle managers.
- Training Needs Analysis for SLT & Middle Managers is now complete, with an emphasis on leadership now being led through the DCC Leadership Conferences.
- Heads of Service are encouraged to rethink their service plans against context of new corporate plan, budget decisions, and any new legislation, etc.
- The establishment of an alternative delivery model for leisure includes within the project the need to reduce the risk of knowledge and skills loss. The senior leadership team restructure took place in September 2019.

### **Residual Risk**

D3 – Moderate Risk: Unlikely / Medium Impact

**Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Yes

# Corporate Risk Register (September 2020)

**Risk 31: The risk of fraud and corruption resulting in financial and reputational loss and possibly impacting on service delivery.**

**Lead Member(s):** Cllr Julian Thompson-Hill

**Risk Owner:** Judith Greenhalgh

## **Description**

Denbighshire County Council (the Council) employs 2,362 staff as at the last staff survey (2018/19), with a gross revenue budget of £305.8 million for 2018/19. It commissions and provides a wide range of services to individuals and households and works with a wide range of private, public and voluntary sector organisations. As with any other large organisation, the size and nature of the Council's services mean that there is an ongoing risk of loss due to fraud and corruption from both internal and external sources. There is also an ongoing risk of bribery as the Council provides and procures goods, works and services.

The Council recognises that as well as causing financial loss, fraud is also detrimental to the provision of services, and damaging to the reputation of, and confidence in, the Council and public bodies in general.

## **Impact / Consequences**

- Financial loss.
- Loss of reputation and confidence in the Council and public bodies in general.
- Negative impact on service provision / delivery.
- Legal / compensation costs.
- Criminal prosecution.
- Negative audit / inspection reports.

# Corporate Risk Register (September 2020)

## Inherent Risk

C2 – Major Risk: Possible / High Impact

## Controls to Manage Risk (in place)

In its policies and procedures the Council gives out the clear message that it will not tolerate any impropriety by employees, elected Members or third party organisations. It has put in place appropriate and proportionate systems to minimise this risk and these are kept under constant review, including:

- The Code of Corporate Governance
- The Code of Conduct for Elected Members
- The Employees' Code of Conduct
- Financial Regulations including Contract Procedure Rules
- The Whistleblowing Policy
- The Anti-Money Laundering Policy
- Recognition and monitoring of the risk of fraud in service risk registers
- Systems of internal control
- Recruitment processes
- Annual review by DCC's Internal Audit team
- Regular internal and external review of our systems and procedures
- Review of Council's anti-Fraud arrangements against the CIPFA Standard 2016 (checklist)
- The risk of fraud and corruption is also managed at a service level
- Engagement with the National Fraud Initiative (NFI)
- Strategy for the prevention and detection of fraud corruption and bribery which includes fraud response plan
- E-learning modules on Whistleblowing and Code of conduct

## Residual Risk

E2 – Moderate Risk: Rare / High impact

## **Corporate Risk Register (September 2020)**

**Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Yes

# Corporate Risk Register (September 2020)

## Risk 33: The risk that the cost of care is outstripping the Council's resource

**Lead Member(s):** Bobby Feeley & Huw Hilditch Roberts

**Risk Owner:** Nicola Stubbins

### Description

The continued inflationary pressure resulting from the cost of domiciliary and residential care means the cost of care could outstrip our budget.

### Impact / Consequences

Overspends in Social Care place significant budget pressures on the Council and could result in the scaling back or withdrawal of non-statutory services.

### Inherent Risk

B1 – Critical Risk: Likely / Very High Impact

### Controls to Manage Risk (in place)

Demand needs to be managed in order to maintain current levels of expenditure. The following controls are currently being embedded:

- A focus on prevention and early intervention so people don't need to go into care.
- Third Sector grant programme.
- Talking Points.
- Community Navigators.
- Supporting Independence Strategy.
- Being innovative and maximising use of grant monies.
- New approach to supporting people to achieving outcomes.
- Improved partnership working with BCUHB and integrated assessment as well as managing continuing health care.

## **Corporate Risk Register (September 2020)**

- Identification of the pressures as part of the medium term financial process.
- Opportunities arising from the Healthier Wales Transformation Programme.

The social care budget is consistently overspent by £1m+ per year, which up until now has been mitigated somewhat by the use of reserves of £0.5m pa towards the overspend. However, the reserves are depleted. The Budget for 2020/21 has attempted to meet the growth in this area for 2020/21 with an additional budget of £2.6m added. It is recognised that growth in demand will continue in future years.

### **Residual Risk**

C2 – Major Risk: Possible / High Impact

### **Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

### **Further Actions**

#### **Development of additional extra care housing (corporate plan priority)**

This is being project managed by the Corporate Plan Board.

**Action Due Date:** 31/01/2022

**Person Responsible:** Phil Gilroy



# Corporate Risk Register (September 2020)

## **Risk 34: The risk that demand for specialist care cannot be met locally**

**Lead Member(s):** Cllr Bobby Feeley, Cllr Huw Hilditch-Roberts

**Risk Owner:** Nicola Stubbins

### **Description**

Availability of some specialist adult and child places can be scarce, leading to the requirement to provide expensive services that aren't available locally. Reduction in availability of domiciliary care provision meaning they are unable to provide services needed (particularly in the south of the county)

### **Impact / Consequences**

- High cost
- Individuals with eligible needs unable to receive suitable domiciliary care due to lack of resources and service provision
- If far from home there is a detrimental impact on a client's well-being (and that of their family)
- Unable to meet need in preferred language

### **Inherent Risk**

B2 – Critical Risk: Likely / High Impact

### **Controls to Manage Risk (in place)**

- Single Point of Access now fully established and proving successful in providing advice and information to individuals in order for them to access community services themselves.

## Corporate Risk Register (September 2020)

- Community Led Conversations 'What Matters' project changing the way staff support individuals enabling them to take control of their own well-being and utilising other external resources where possible.
- Developing a range of staff skill mixes through workforce development in order to enable staff to work in new ways that complement the new government agenda.
- Series of meetings with providers across CSS underway to negotiate increasing fees.
- Review and re-assessment project to ensure individuals are still eligible under new criteria
- Further development of support budgets
- Recruitment fayres taken place in county to highlight the need for specific health and social care staff.
- CIW national review of domiciliary care - implementing recommendations.
- Regional project considering issues.
- Recommissioning domiciliary care project in progress - this includes the implementation of the new regional domiciliary care framework in Denbighshire to include patch based commissioning for difficult rural areas.
- New care team in CSS South Locality (reablers providing longer term support whilst identifying appropriate agency)
- The North Wales Transformation Programme is in place and we are leading one of the four projects.

### Residual Risk

C2 – Major Risk: Possible / High Impact

### Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

# Corporate Risk Register (September 2020)

## **Risk 35: The risk that the return on investment that Denbighshire receives from the Regional Growth Deal is disproportionate**

**Lead Member(s):** Cllr Hugh Evans

**Risk Owner:** Graham Boase

### **Description**

The regional growth deal offers opportunity to develop Denbighshire's economy, and there is a risk that there is insufficient engagement to capitalise on these opportunities.

Conversely, with the benefits not being clear at present, there is a risk that DCC puts in a lot of effort but doesn't receive a proportionate return on investment.

### **Impact / Consequences**

- Disproportionate return on investment.
- Failure to maximise opportunities for the benefit of communities and businesses in Denbighshire.
- Failure to agree a regional approach to funding projects.

### **Inherent Risk**

C2 – Major Risk: Possible / High Impact

### **Controls to Manage Risk (in place)**

- We ensure we have senior-level representation at Board meetings. The North Wales Economic Ambition Board is attended by Denbighshire's Leader. Director-level representation is in place for the officer groups that support the Board and relevant key officers are represented on workstream meetings.
- Regular reports to Council committees.
- The Strategic Employment Manager is a key member of the 'People' workstream.

# Corporate Risk Register (September 2020)

## Residual Risk

C2 – Major Risk: Possible / High Impact

**Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Yes

# Corporate Risk Register (September 2020)

## **Risk 36: The risk that any negative impacts of leaving the European Union cannot be mitigated by the council**

**Lead Member(s):** Councillor Hugh Evans

**Risk Owner:** Judith Greenhalgh

### **Description**

The continued lack of clarity over Brexit makes it difficult for the Council to plan for a known set of political and financial circumstances.

Brexit has potentially significant implications for council services in terms of their funding and the likely impact on demand for services is unclear. For example, there could be short term supply issues with essential resources resulting in short term interruption or risk to certain services such as school and care meals.

It is unlikely the council will be in a position to mitigate the impacts of Brexit, specifically impacts relating to agriculture for instance.

### **Impact / Consequences**

- Lack of clarity on the status of EU citizens living in Denbighshire.
- There is growing certainty over the replacement of EU funding (eg skills, poverty and regeneration projects; rural and business funding).
- Impact on supply chains and procurement of goods and services.
- Impact on farming and agriculture (status of common agricultural policy for example is still unknown).
- Potentially negative impact on broader public sector provision.
- Foreign Direct Investments in Denbighshire could be affected.
- Legislative change could result in delays and uncertainty for legal proceedings.
- Impact on university education in the region and research.
- Impact on recruitment across public services.
- Potential cohesion, well-being issues or social unrest.

# Corporate Risk Register (September 2020)

- Denbighshire businesses that import/export to European Union areas.

## Inherent Risk

B1 – Critical Risk: Likely / Very High Impact

## Controls to Manage Risk (in place)

- As requested by the Welsh Local Government Association, Denbighshire have two named Brexit lead contacts: Corporate Director: Economy and Public Realm and the Leader.
- Workforce planning is in place.
- Regular contact with Welsh Government and the Welsh Local Government Association.
- A consultation paper on European-funded projects is expected from Welsh Government.
- Our Economic and Business Development Team is available to discuss queries, concerns and give advice.
- SLT will review the employers toolkit on the rights of EU citizens under the EU Settlement Scheme. The toolkit will provide some guidance on vulnerable people, for example, victims of domestic abuse or trafficking victims.
- A Brexit Briefing Paper was produced and a Brexit Briefing Workshop took place on 4 December 2018. All Members were invited and the event was jointly presented by Welsh Local Government Association and Denbighshire County Council Officers. The Workshop considered the potential impacts of Brexit on the way the Council functions and on our residents.
- Services are identifying supply chains that could be at risk.
- SLT actively manages risks associated with Brexit on a monthly basis, until such time the risks can be managed corporately or at a service-level.
- DCC's Chief Executive is the North Wales representative on the WLGA Brexit Working Group.
- The Statement of Accounts considers Brexit and the impacts of Brexit.

# Corporate Risk Register (September 2020)

## Residual Risk

B1 – Critical Risk: Likely / Very High Impact

### **Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Critical risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

## **Corporate Risk Register (September 2020)**

### **Risk 37: The risk that partners don't have the resources, matching priorities or commitment to support delivery of shared plans and priorities**

**Lead Member(s):** Councillor Hugh Evans

**Risk Owner:** Judith Greenhalgh

#### **Description**

With finite resources and competing priorities, there is a risk of a lack of commitment or capacity available to support realisation of shared plans and priorities.

Covid-19 has put external pressure on the council and its partners to deliver services; this is likely to be the case into the medium term.

#### **Impact / Consequences**

- Objectives not delivered.
- Issues/problems that provided justification for the priorities continue or deteriorate.
- Failure to maximise opportunities to collaborate to resolve issues no single organisation is responsible for or capable of resolving on its own.
- Ineffective management of expectations among partners/public leading to reputational damage.
- Investment of council resources with minimal return.

#### **Inherent Risk**

B1 – Critical Risk: Very Likely / High Impact



# Corporate Risk Register (September 2020)

## Controls to Manage Risk (in place)

- Denbighshire is represented at collaborative boards by senior managers and / or political leadership, for example, at the Regional Partnership Board, Economic Ambition Board, and Regional Leadership Board.
- Collaborative plans and priorities (for instance, the PSB's Well-being Plan) has been developed to reflect broader public sector priorities across the two counties.

## Residual Risk

C2 – Major risk: Possible / High Impact

## Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

## **Corporate Risk Register (September 2020)**

### **Risk 43: The risk that the council does not have the funds or resources to meet its statutory obligations under the Additional Learning Needs and Education Tribunal (Wales) Act 2018**

**Lead Member(s):** Cllr Huw Hilditch-Roberts and Cllr Bobby Feeley

**Risk Owner:** Geraint Davies

#### **Description**

The Act places a range of duties on local authorities in relation to additional learning needs (ALN), which can be grouped as follows:

Specific duties - in relation to individual learners (usually those in their area) such as duties to maintain individual development plans (IDPs) for some learners (including learners who are dual registered and those with more complex needs) and the duty to reconsider decisions made by school governing bodies.

General duties - to support the functioning and effectiveness of the ALN system – including the duty to provide information and advice and the duty to keep additional learning provision under review.

In addition, local authorities have general education functions - related to maintaining schools and the provision of education, including intervention powers where schools fail to perform their duties.

Local authorities will be directly responsible for meeting the needs of children and young people with the most complex and/or severe needs, those who do not attend a maintained school or FEI in Wales (including those below school age).

## **Corporate Risk Register (September 2020)**

This risk has been escalated from the Education and Children's Service Risk Register to reflect the wide-ranging implications for other areas of the council (adult's services, legal, procurement and so on).

### **Impact / Consequences**

To not meet the requirements of the Act could have an impact on learners with ALN and would have regulatory and reputational consequences for the authority, including potential legal and financial implications. There is also the potential for increased demand on services.

### **Inherent Risk**

B2 – Critical risk: Likely / High Impact

### **Controls to Manage Risk (in place)**

- Corporate Director: Communities (Statutory Director of Social Services) to ensure that the council's Senior Leadership Team is making necessary preparations for implementation of the Act.
- SLT will monitor progress through the Corporate Risk Register. The Head of Education and Children's Services gave a presentation to SLT in the autumn of 2019.
- The risk is also managed closely at a service level by Education and Children's Services.

### **Residual Risk**

D3 – Moderate risk: Unlikely / Medium Impact

**Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Yes

# **Corporate Risk Register (September 2020)**

## **Further Actions**

**Pressure to be considered as part of budget setting process for 2021-22 as the implications become clear**

**Action Due Date:**

**Person Responsible:** Steve Gadd

# Corporate Risk Register (September 2020)

## **Risk 44: The risk of Ash Dieback Disease (ADB) in Denbighshire leading to significant health and safety issues that represent a potential risk to life**

**Lead Member(s):** Cllr Tony Thomas

**Risk Owner:** Tony Ward

### **Description**

ADB is already present in Denbighshire. The range and frequency is unknown at this present time. The frequency is currently low but will inevitably increase over the next few years. Also, the number of ash trees in the County is similarly unknown. ADB will not be "business as usual" and the scale must be assessed and there will be a need for changes in management practice.

### **Impact / Consequences**

The impact is likely to be far reaching, across various Council services and communities themselves.

- Considerable impact on landscape - dead and dying ash trees across the County.
- Increased liability.
- Impacts on statutory functions and service delivery.
- Public safety.
- Staff safety.
- Significant budgetary implications.
- Disruption to infrastructure and communities.
- Political and reputational impact.

### **Inherent Risk**

A1 – Critical Risk: Almost certain / Very high impact

# Corporate Risk Register (September 2020)

## Controls to Manage Risk (in place)

A proactive approach is necessary to understand how many ash trees are in the County and prepare an ADB action plan. Capacity and resources will need to be secured to achieve this.

- A briefing paper on our approach went to Cabinet in December 2019.
- Project brief is being drawn up (through Verto) outlining our approach to developing our action plan over the next 12 months, and agreeing procedures to identify and deal with trees (including replanting initiatives).
- The Head of Service has now started to progress the collaborative project with Conwy on ADB. This was planned to begin in April, but was postponed due to Covid-19. 2 tree inspectors have been appointed (on 12-month secondment from Countryside Services) to start to inspect/map our tree assets. The aim is now for the project to begin on (or around) 1st Sept, and detailed discussions with Conwy are currently taking place. The aim is still to have a corporate ADB Plan in place within 12 months of starting the project, but the impact of ADB could need to be managed for the next 5-10 years.
- 200k identified within council budget to support initial development of Action Plan over the next 12 months.

This is a live risk in the Highways and Environmental Services' Risk Register but due to the score of A2, this risk meets our criteria to be managed as a 'major' risk to be managed by SLT and Cabinet.

## Residual Risk

A2 – Critical Risk: Almost Certain / High impact

## Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Critical risk. Risk Appetite suggests that this should be at most a moderate risk. Our management of this difficult risk is in its early stages. Our current score reflects this and

## **Corporate Risk Register (September 2020)**

the serious potential for death or injury. As our mitigating actions progress over the next 12 months, we would expect to see the risk come more under our control, and the scoring reduce towards our accepted appetite.

### **Further Actions**

#### **Develop and adopt a corporate action plan for Ash Dieback**

Action plan will be informed by detailed mapping of the council's ash tree population and condition information, identifying those trees that need to be made a priority based on the level of risk.

**Action Due Date:** 30/09/21

**Person Responsible:** Tony Ward

#### **Secure further funding for the delivery of the action plan**

Ash Dieback is anticipated to have the greatest impact over the next ten years. Our action plan to tackle the issue will require resourcing.

**Action Due Date:** 31/03/2021

**Person Responsible:** Tony Ward

#### **Agree detail of collaborative project with Conwy to enable our 2 tree inspectors to begin work on 1st Sept 2020**

**Action Due Date:** 01/09/2020

**Person Responsible:** Tony Ward

# Corporate Risk Register (September 2020)

## **Risk 45: The risk that the council is unable to deliver the agenda of Council and external organisations within existing resources**

**Lead Member(s):** Cllr Hugh H Evans

**Risk Owner:** Judith Greenhalgh

### **Description**

As resources have reduced, there is less capacity to additionally respond to new, emerging and unplanned issues of importance to residents, councillors or partners.

### **Impact / Consequences**

- Damage to reputation
- Financial liabilities
- Regulatory liabilities
- Deteriorating Staff morale
- Inability to meet statutory obligations

### **Inherent Risk**

A3 – Major Risk: Almost Certain / Medium Impact

### **Controls to Manage Risk (in place)**

- The content of the Corporate Plan was developed and agreed with officers and Members at the start of the new council year. This document should capture the ambition of Elected Members for their term of office.
- The Council partakes in government consultations on new legislation (either directly or through the WLGA).
- Heads of Service assume responsibility for the implementation of new legislation, supported by the Strategic Planning Team where appropriate.



# Corporate Risk Register (September 2020)

## Residual Risk

C4 – Moderate Risk: Possible / Low Impact

**Is our risk exposure (based on the score) consistent with the council's Risk Appetite?**

Yes

# Corporate Risk Register (September 2020)

## Risk 46: Failure to progress the replacement Local Development Plan (LDP) to adoption

**Lead Member (s):** Cllr Mark Young

**Risk Owner:** Emlyn Jones

### Description

As a result of impacts of the Covid-19 crisis we will not be able to progress the Replacement LDP in line with the current Delivery Agreement timetable. Consequently, there will not be a new LDP adopted when the current LDP expires at the end of 2021. Risks are the failure to agree a revised Delivery Agreement, the risk of WG not agreeing a new Delivery Agreement, and WG not allowing an extension to the end date of the current LDP, meaning that there would be a period of time with no local planning policies in place for Denbighshire. We would be reliant on national policy only, which would have an impact, for example, on delivery of affordable housing in Denbighshire, and pressure for development on unallocated sites.

### Impact / Consequences

- Potential impact to our population in terms of the development of houses on inappropriate sites
- Reputational risk to the council
- Financial risk
- Legal challenge
- Lack of political agreement

### Inherent Risk

A2 - Critical Risk: Almost Certain / High impact

# Corporate Risk Register (September 2020)

## Controls to Manage Risk (in place)

Undertook a broad risk assessment as part of the Delivery Agreement approved by the Council and Welsh Government. A Strategic Planning Group has been established and the work on the development of the Replacement LDP is underway; however, meetings were suspended from February 2020. Meetings of the Group will reconvene in September 2020. Discussions with WG officers are ongoing and WG are exploring options to allow for more flexibility with LDP end dates. The Team are currently undertaking a Covid-19 impact assessment, looking at implications for the draft Preferred Strategy in terms of content and approach, timescales for the delivery of the new LDP and whether background evidence will need to be reviewed. This will be submitted to WG along with a revised Delivery Agreement once we have further clarification from WG.

## Residual Risk

A2 - Critical Risk: Almost Certain / High impact

## Is our risk exposure (based on the score) consistent with the council's Risk Appetite?

Critical risk. Risk Appetite suggests that this should be at most a major risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

Mae tudalen hwn yn fwriadol wag

**Corporate Risk Register (September 2020)**

**Risks – New**

Tudalen 93

| Risk Number | Title                                                                         | Inherent Risk                                                 | Residual Risk                                                 | Risk Owners                     | In alignment with the Council's Risk Appetite Statement?                                                                                                                  | Suggested amendment                                                                                                                                                                                                                                                                                                                   |
|-------------|-------------------------------------------------------------------------------|---------------------------------------------------------------|---------------------------------------------------------------|---------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 00046       | Failure to progress the replacement Local Development Plan (LDP) to adoption. | <b>A2 –</b><br>Critical Risk:<br>Almost Certain / High impact | <b>A2 –</b><br>Critical Risk:<br>Almost Certain / High impact | Emlyn Jones and Cllr Mark Young | Critical risk. Risk Appetite suggests that this should be at most a major risk.<br><br>The Risk Owner has confirmed that they are comfortable that the scoring accurately | This risk has been escalated from a Planning, Public Protection and Countryside service risk to a Corporate Risk.<br><br><b>Description:</b> As a result of impacts of the Covid-19 crisis we will not be able to progress the Replacement LDP in line with the current Delivery Agreement timetable. Consequently, there will not be |

## Corporate Risk Register (September 2020)

| Risk Number | Title | Inherent Risk | Residual Risk | Risk Owners | In alignment with the Council's Risk Appetite Statement? | Suggested amendment                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|-------------|-------|---------------|---------------|-------------|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Tudalen 94  |       |               |               |             | reflects the current risk to the council.                | a new LDP adopted when the current LDP expires at the end of 2021. Risks are the failure to agree a revised Delivery Agreement, the risk of WG not agreeing a new Delivery Agreement, and WG not allowing an extension to the end date of the current LDP, meaning that there would be a period of time with no local planning policies in place for Denbighshire. We would be reliant on national policy only, which would have an impact, for example, on delivery of affordable housing in Denbighshire, and pressure for development on unallocated sites. |

## Corporate Risk Register (September 2020)

| Risk Number | Title | Inherent Risk | Residual Risk | Risk Owners | In alignment with the Council's Risk Appetite Statement? | Suggested amendment                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|-------------|-------|---------------|---------------|-------------|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Tudalen 95  |       |               |               |             |                                                          | <p><b>Impact / Consequences:</b></p> <ul style="list-style-type: none"> <li>• Potential impact to our population in terms of the development of houses on inappropriate sites</li> <li>• Reputational risk to the council</li> <li>• Financial risk</li> <li>• Legal challenge</li> <li>• Lack of political agreement</li> </ul> <p><b>Inherent Risk:</b> A2 - <b>Critical Risk:</b> Almost Certain / High impact</p> <p><b>Controls to Manage Risk (in place):</b><br/>Undertook a broad risk assessment as part of the Delivery Agreement approved</p> |

## Corporate Risk Register (September 2020)

| Risk Number | Title | Inherent Risk | Residual Risk | Risk Owners | In alignment with the Council's Risk Appetite Statement? | Suggested amendment                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|-------------|-------|---------------|---------------|-------------|----------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Tudalen 96  |       |               |               |             |                                                          | <p>by the Council and Welsh Government. A Strategic Planning Group has been established and the work on the development of the Replacement LDP is underway; however, meetings were suspended from February 2020. Meetings of the Group will reconvene in September 2020. Discussions with WG officers are ongoing and WG are exploring options to allow for more flexibility with LDP end dates. The Team are currently undertaking a Covid-19 impact assessment, looking at implications for the draft Preferred Strategy in terms of content and approach, timescales for the delivery of</p> |



## Corporate Risk Register (September 2020)

| Risk Number | Title | Inherent Risk | Residual Risk | Risk Owners | In alignment with the Council's Risk Appetite Statement? | Suggested amendment                                                                                                                                                                                                                                                         |
|-------------|-------|---------------|---------------|-------------|----------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|             |       |               |               |             |                                                          | <p>the new LDP and whether background evidence will need to be reviewed. This will be submitted to WG along with a revised Delivery Agreement once we have further clarification from WG.</p> <p><b>Residual Risk:</b> A2 - Critical Risk: Almost Certain / High impact</p> |

Tudalen 97

# Corporate Risk Register (September 2020)

## Risks – suggested changes

| Risk Number | Title                                                                                                             | Inherent Risk                                         | Residual Risk                                        | Risk Owners                                                                       | In alignment with the Council's Risk Appetite Statement?                                                                                                                                                     | Suggested amendment                                                                                                                                                                                                                                                                                  |
|-------------|-------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|------------------------------------------------------|-----------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 00001       | The risk of a serious safeguarding error where the council has responsibility, resulting in serious harm or death | <b>B2 –</b><br>Critical risk:<br>Likely / High Impact | <b>D2 –</b><br>Major risk:<br>Unlikely / High Impact | Nicola Stubbins, Cllr Bobby Feeley, Cllr Huw Hilditch-Roberts and Cllr Mark Young | Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council. | <b>Further action date amended:</b> Monitor performance in relation to the percentage of eligible staff (corporate and schools) that have an up to date DBS and reference check or risk assessment. Action is continuous, but for the purposes of the register, amended from 31/03/20 to 31/03/2021. |
| 00006       | The risk that the economic and financial environment                                                              | <b>B1 –</b><br>Critical                               | <b>B2 –</b><br>Critical                              | Judith Greenhalgh and                                                             | Critical risk. Risk Appetite suggests                                                                                                                                                                        | <b>Description updated to include:</b> The Council is facing a significant in-year                                                                                                                                                                                                                   |

Tudalen 98

## Corporate Risk Register (September 2020)

| Risk Number | Title                                                                                             | Inherent Risk                            | Residual Risk                       | Risk Owners                  | In alignment with the Council's Risk Appetite Statement?                                                                                                                  | Suggested amendment                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-------------|---------------------------------------------------------------------------------------------------|------------------------------------------|-------------------------------------|------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 66          | worsens beyond current expectations, leading to additional demand on services and reduced income. | risk:<br>Likely /<br>Very High<br>Impact | risk:<br>Likely /<br>High<br>Impact | Cllr Julian<br>Thompson-Hill | that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council. | financial pressure due to covid-19, having incurred financial costs and lost income. Income lost is unlikely to be reimbursed and future financial settlements will also be affected.<br><br><b>Inherent risk changes:</b> From C1 to B1<br><br><b>Residual risk changes:</b> From C2 to B2<br><br><b>Further actions added:</b> The Council will take all steps to reclaim funding from WG. Owner – Steve Gadd; Deadline March 2021; |

## Corporate Risk Register (September 2020)

| Risk Number | Title                                                                                                                                                                              | Inherent Risk                                                 | Residual Risk                                             | Risk Owners                          | In alignment with the Council's Risk Appetite Statement? | Suggested amendment                                                                                                                                                                                                                                                                                                                                                                                                                 |
|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|-----------------------------------------------------------|--------------------------------------|----------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|             |                                                                                                                                                                                    |                                                               |                                                           |                                      |                                                          | Throughout the recovery process, look at new ways of working. Owner – Judith Greenhalgh; Deadline March 2021                                                                                                                                                                                                                                                                                                                        |
| 00011       | The risk of an ineffective response to a serious event, such as severe weather, contamination, public safety (including cyber-attack) or a public health event (such as Covid-19). | <b>A2 –</b><br>Critical Risk:<br>Almost Certain / High impact | <b>C3 –</b><br>Moderate risk:<br>Possible / Medium Impact | Graham Boase and Cllr Richard Mainon | Consistent with Risk Appetite.                           | <p><b>Title amended:</b> From “The risk of an ineffective response to a serious unexpected event, such as severe weather, contamination, public safety (including cyber-attack) or a public health event.”</p> <p><b>Description updated:</b> To include “Public health events, such as Covid-19, puts terrific strain on organisations such as ours, impacting on service delivery, project timescales, staff capacity, and of</p> |

Tudalen 100

## Corporate Risk Register (September 2020)

| Risk Number | Title | Inherent Risk | Residual Risk | Risk Owners | In alignment with the Council's Risk Appetite Statement? | Suggested amendment                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|-------------|-------|---------------|---------------|-------------|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Tudalen 101 |       |               |               |             |                                                          | <p>course finances. It also challenges the resource capacity of partners and providers that we work with.”</p> <p><b>Impact / Consequences added:</b> For “Inability to deliver front line services”, have now included “(as a result of staff shortages for example)”.</p> <p>Also “Significant cost pressures to our budget.”</p> <p><b>Control updated:</b> “Bullet 15 – Covid-19 Control – SEMT has been meeting on a regular basis and has responded to the initial covid-19 emergency and has agreed a number of covid-19 recovery</p> |

## Corporate Risk Register (September 2020)

| Risk Number | Title                                              | Inherent Risk           | Residual Risk        | Risk Owners           | In alignment with the Council's Risk Appetite Statement? | Suggested amendment                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|-------------|----------------------------------------------------|-------------------------|----------------------|-----------------------|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Tudalen 102 |                                                    |                         |                      |                       |                                                          | <p>themes for which members of SLT are leading. These are monitored regularly at SLT and have political input by Lead Member and Cabinet. Should covid-19 escalate (second wave), SLT will monitor and no doubt SEMT will recommence.</p> <p><b>Further action date amended:</b> Develop and gain SLT approval for a new policy to ensure business continuity whereby staff take essential equipment home at the end of each day. Amended from 30/06/20 to 31/03/2021.</p> |
| 00013       | The risk of significant liabilities resulting from | <b>B2 –</b><br>Critical | <b>C2 –</b><br>Major | Judith Greenhalgh and | Critical risk. Risk Appetite suggests                    | <b>Description updated:</b> This risk will now also be impacted by covid-19 and we                                                                                                                                                                                                                                                                                                                                                                                         |

## Corporate Risk Register (September 2020)

| Risk Number | Title                                  | Inherent Risk                                                        | Residual Risk                                         | Risk Owners                                          | In alignment with the Council's Risk Appetite Statement?                                                                                                                  | Suggested amendment                                                                                                                   |
|-------------|----------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------|------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| Tudalen 103 | alternative models of service delivery | risk:<br>Likely / High Impact                                        | risk:<br>Possible / High Impact                       | Cllr Julian Thompson-Hill                            | that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council. | have already seen a significant loss of income within our leisure ADM as a result.<br><br><b>Residual risk changes:</b> From E2 to C2 |
|             | 00018                                  | The risk that programme and project benefits are not fully realised. | <b>B2 –</b><br>Critical risk:<br>Likely / High Impact | <b>D2 –</b><br>Major risk:<br>Unlikely / High Impact | Judith Greenhalgh and Cllr Julian Thompson-Hill                                                                                                                           | Consistent with Risk Appetite.                                                                                                        |

## Corporate Risk Register (September 2020)

| Risk Number | Title | Inherent Risk                                                                                                                         | Residual Risk                                              | Risk Owners                                          | In alignment with the Council's Risk Appetite Statement? | Suggested amendment                                                                                                                                                                                  |
|-------------|-------|---------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Tudalen 104 |       |                                                                                                                                       |                                                            |                                                      |                                                          | second tranche review in July during which the impact of covid-19 and current project progress was analysed. Senior managers and Cabinet confirmed their continued commitment to existing projects.” |
|             | 00037 | The risk that partners don't have the resources, matching priorities or commitment to support delivery of shared plans and priorities | <b>B1 –</b><br>Critical<br>risk: Very Likely / High Impact | <b>C2 –</b><br>Major<br>risk: Possible / High Impact | Judith Greenhalgh and Cllr Hugh Evans                    | Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately                                   |



## Corporate Risk Register (September 2020)

| Risk Number | Title                                                                                                                                                                        | Inherent Risk                                         | Residual Risk                                             | Risk Owners                                                     | In alignment with the Council's Risk Appetite Statement?                           | Suggested amendment                                                                                                                                                  |
|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|-----------------------------------------------------------|-----------------------------------------------------------------|------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|             |                                                                                                                                                                              |                                                       |                                                           |                                                                 | reflects the current risk to the council.                                          |                                                                                                                                                                      |
| 00043       | The risk that the council does not have the funds or resources to meet its statutory obligations under the Additional Learning Needs and Education Tribunal (Wales) Act 2018 | <b>B2 –</b><br>Critical risk:<br>Likely / High Impact | <b>D3 –</b><br>Moderate Risk:<br>Unlikely / Medium Impact | Geraint Davies, Cllr Bobby Feeley and Cllr Huw Hilditch-Roberts | Consistent with Risk Appetite.                                                     | <b>Change to Risk Owner:</b> Change to Geraint Davies due to changes at SLT level                                                                                    |
| 00044       | The risk of Ash Dieback Disease (ADB) in Denbighshire leading to significant health and safety                                                                               | <b>A1 –</b><br>Critical Risk:<br>Almost               | <b>A2 –</b><br>Critical Risk:<br>Almost                   | Tony Ward, Cllr Brian Jones and                                 | Critical risk. Risk Appetite suggests that this should be at most a moderate risk. | <b>Control updated:</b> "Bullet 3 – The Head of Service has now started to progress the collaborative project with Conwy on ADB. This was planned to begin in April, |

Tudalen 105

## Corporate Risk Register (September 2020)

| Risk Number | Title                                | Inherent Risk              | Residual Risk         | Risk Owners      | In alignment with the Council's Risk Appetite Statement?                                                                                                                                                                                                                                     | Suggested amendment                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------|--------------------------------------|----------------------------|-----------------------|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Tudalen 106 | issues that represent a risk to life | certain / Very high impact | Certain / High impact | Cllr Tony Thomas | Our management of this difficult risk is in its early stages. Our current score reflects this and the serious potential for death or injury. As our mitigating actions progress over the next 12 months, we would expect to see the risk come more under our control, and the scoring reduce | but was postponed due to Covid-19. 2 tree inspectors have been appointed (on 12-month secondment from Countryside Services) to start to inspect/map our tree assets. The aim is now for the project to begin on (or around) 1st Sept, and detailed discussions with Conwy are currently taking place. The aim is still to have a corporate ADB Plan in place within 12 months of starting the project, but the impact of ADB could need to be managed for the next 5-10 years.”<br><br><b>Actions updated:</b> Actions concerning the recruitment of a tree officer and the establishment of a collaborative project |

## Corporate Risk Register (September 2020)

| Risk Number | Title | Inherent Risk | Residual Risk | Risk Owners | In alignment with the Council's Risk Appetite Statement? | Suggested amendment                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|-------------|-------|---------------|---------------|-------------|----------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Tudalen 107 |       |               |               |             | towards our accepted appetite.                           | <p>with Conwy County Borough Council have been marked complete.</p> <p>The timescale for the development of an action plan for Ash Dieback has changed from 31/03/2021 to 30/09/2021</p> <p>The timescale for securing further funding for the delivery of the action plan has changed from 31/12/2020 to 31/03/2021.</p> <p><b>New action added:</b> Agree detail of collaborative project with Conwy to enable our 2 tree inspectors to begin work on 1st Sept 2020". Deadline 01/09/2020</p> |

# Corporate Risk Register (September 2020)

## Risks - no change

| Risk Number | Title                                                                                                                                                | Inherent Risk                                        | Residual Risk                                             | Risk Owners                                | In alignment with the Council's Risk Appetite Statement? |
|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------|-----------------------------------------------------------|--------------------------------------------|----------------------------------------------------------|
| 00012       | The risk of a significantly negative report(s) from external regulators.                                                                             | <b>C2 –</b><br>Major risk:<br>Possible / High Impact | <b>D3 –</b><br>Moderate Risk:<br>Unlikely / Medium Impact | Judith Greenhalgh and Cllr Hugh Evans      | Consistent with Risk Appetite.                           |
| 00014       | The risk of a health & safety incident resulting in serious injury or the loss of life.<br>(Where H&S is referred to, this incorporates fire safety) | <b>C2 –</b><br>Major risk:<br>Possible / High Impact | <b>E2 –</b><br>Moderate risk:<br>Rare / High impact       | Graham Boase and Cllr Julian Thompson-Hill | Consistent with Risk Appetite.                           |

Tudalen 108

## Corporate Risk Register (September 2020)

| Risk Number | Title                                                                                                              | Inherent Risk                                         | Residual Risk                                             | Risk Owners                                                 | In alignment with the Council's Risk Appetite Statement? |
|-------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|-----------------------------------------------------------|-------------------------------------------------------------|----------------------------------------------------------|
| 00016       | The risk that the impact of welfare reform (Universal Credit) is more significant than anticipated by the council. | <b>B2 –</b><br>Critical risk:<br>Likely / High Impact | <b>D3 –</b><br>Moderate Risk:<br>Unlikely / Medium Impact | Steve Gadd, Cllr Bobby Feeley and Cllr Julian Thompson-Hill | Consistent with Risk Appetite.                           |

Tudalen 109

## Corporate Risk Register (September 2020)

| Risk Number | Title                                                                                                                                                                                                                                 | Inherent Risk                                                         | Residual Risk                                        | Risk Owners                           | In alignment with the Council's Risk Appetite Statement?                                                                                                                                                     |
|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------|------------------------------------------------------|---------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 00021       | The risk that effective partnerships and interfaces between BCU Health Board and Denbighshire County Council (DCC) do not develop, leading to significant misalignment between the strategic and operational direction of BCU and DCC | <b>A1 –</b><br>Critical Risk:<br>Almost certain /<br>Very high impact | <b>C2 –</b><br>Major risk:<br>Possible / High Impact | Nicola Stubbins and Cllr Bobby Feeley | Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council. |

Tudalen 110

## Corporate Risk Register (September 2020)

Tudalen 111

| Risk Number | Title                                                                                                                                                                                                       | Inherent Risk                                              | Residual Risk                                             | Risk Owners                           | In alignment with the Council's Risk Appetite Statement?                                                                                                                                                     |
|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|-----------------------------------------------------------|---------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 00027       | The risk that even if the settlement is as anticipated, decisions that are necessary to identify and deliver the savings programme and enable a balanced budget are not taken or implemented quickly enough | <b>B1 –</b><br>Critical risk:<br>Likely / Very High Impact | <b>C2 –</b><br>Major risk:<br>Possible / High Impact      | Judith Greenhalgh and Cllr Hugh Evans | Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council. |
| 00030       | The risk that Senior Leadership capacity and skills to sustain service and corporate performance is not available                                                                                           | <b>C3 –</b><br>Moderate risk:<br>Possible / Medium Impact  | <b>D3 –</b><br>Moderate Risk:<br>Unlikely / Medium Impact | Judith Greenhalgh and Cllr Hugh Evans | Consistent with Risk Appetite.                                                                                                                                                                               |

## Corporate Risk Register (September 2020)

| Risk Number | Title                                                                                                                     | Inherent Risk                                              | Residual Risk                                        | Risk Owners                                     | In alignment with the Council's Risk Appetite Statement?                                                                                                                                                     |
|-------------|---------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------------------------------------|-------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 00031       | The risk of fraud and corruption resulting in financial and reputational loss and possibly impacting on service delivery. | <b>C2 –</b><br>Major risk:<br>Possible / High Impact       | <b>E2 –</b><br>Moderate risk:<br>Rare / High impact  | Judith Greenhalgh and Cllr Julian Thompson-Hill | Consistent with Risk Appetite.                                                                                                                                                                               |
| 00033       | The risk that the cost of care is outstripping the Council's resource                                                     | <b>B1 –</b><br>Critical risk:<br>Likely / Very High Impact | <b>C2 –</b><br>Major risk:<br>Possible / High Impact | Nicola Stubbins and Cllr Bobby Feeley           | Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council. |

Tudalen 112



## Corporate Risk Register (September 2020)

Tudalen 113

| Risk Number | Title                                                                                                               | Inherent Risk                                         | Residual Risk                                        | Risk Owners                                                         | In alignment with the Council's Risk Appetite Statement?                                                                                                                                                     |
|-------------|---------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|------------------------------------------------------|---------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 00034       | The risk that demand for specialist care cannot be met locally                                                      | <b>B2 –</b><br>Critical risk:<br>Likely / High Impact | <b>C2 –</b><br>Major risk:<br>Possible / High Impact | Nicola Stubbins,<br>Cllr Bobby Feeley and Cllr Huw Hilditch-Roberts | Major risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council. |
| 00035       | The risk that the return on investment that Denbighshire receives from the Regional Growth Deal is disproportionate | <b>C2 –</b><br>Major risk:<br>Possible / High Impact  | <b>C2 –</b><br>Major risk:<br>Possible / High Impact | Graham Boase and Cllr Hugh Evans                                    | Consistent with Risk Appetite.                                                                                                                                                                               |

## Corporate Risk Register (September 2020)

| Risk Number | Title                                                                                                                     | Inherent Risk                                                | Residual Risk                                              | Risk Owners                           | In alignment with the Council's Risk Appetite Statement?                                                                                                                                                        |
|-------------|---------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|------------------------------------------------------------|---------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 00036       | The risk that any negative impacts of leaving the European Union cannot be mitigated by the council                       | <b>B1 –</b><br>Critical risk:<br>Likely / Very High Impact   | <b>B1 –</b><br>Critical risk:<br>Likely / Very High Impact | Judith Greenhalgh and Cllr Hugh Evans | Critical risk. Risk Appetite suggests that this should be at most a moderate risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council. |
| 00045       | The risk that the council is unable to deliver the agenda of Council and external organisations within existing resources | <b>A3 –</b><br>Major Risk:<br>Almost Certain / Medium Impact | <b>C4 –</b><br>Moderate Risk:<br>Possible / Low Impact     | Judith Greenhalgh and Cllr Hugh Evans | Consistent with Risk Appetite.                                                                                                                                                                                  |

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## Appendix 3: Risk Scoring Matrix

### Grading the likelihood of an event

| Grade                    | % chance   | Description                                                |
|--------------------------|------------|------------------------------------------------------------|
| <b>A: Almost Certain</b> | Over 70%   | Event is almost certain to occur in most circumstances     |
| <b>B: Likely</b>         | 30% to 70% | Event likely to occur in most circumstances                |
| <b>C: Possible</b>       | 10% to 30% | Event will possibly occur at some time                     |
| <b>D: Unlikely</b>       | 1% to 10%  | Event unlikely and may occur at some time                  |
| <b>E: Rare</b>           | Under 1%   | Event rare and may occur only in exceptional circumstances |

### Rating the impact of an event

| Rating              | Time / cost / objectives                                                                   | Service performance                                            | Reputation                                                        | Financial cost |
|---------------------|--------------------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------------------------------------|----------------|
| <b>1: Very High</b> | More than 50% increase to project time or cost. Project fails to meet objectives or scope. | Unable to deliver core activities. Strategic aims compromised. | Trust severely damaged and full recovery questionable and costly. | Over £5million |

| <b>Rating</b>      | <b>Time / cost / objectives</b>                                                                                     | <b>Service performance</b>                                     | <b>Reputation</b>                                                        | <b>Financial cost</b>  |
|--------------------|---------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------------------------|------------------------|
| <b>2: High</b>     | 20% to 50% increase to project time or cost. Impact on project scope or objectives unacceptable to sponsor.         | Significant disruption to core activities. Key targets missed. | Trust recoverable at considerable cost and management attention.         | £1million to £5million |
| <b>3: Medium</b>   | 5% to 20% increase to project time or cost. Major impact on project scope or objectives requiring sponsor approval. | Disruption to core activities / customers                      | Trust recovery demands cost authorisation beyond existing budgets.       | £350,000 to £1million  |
| <b>4: Low</b>      | Less than 5% increase to project time or cost. Minor impact on project scope or objectives.                         | Some disruption to core activities / customers                 | Trust recoverable at modest cost with resource allocation within budgets | £50,000 to £350,000    |
| <b>5: Very Low</b> | Insignificant increase to project time or cost. Barely noticeable impact on project scope or objectives.            | Minor errors or disruption.                                    | Trust recoverable with little effort or cost.                            | Less than £50,000      |

The combination of impact and likelihood results in a risk exposure rating of:

| Risk Score                     | Risk Severity | Escalation Criteria                                                                        |
|--------------------------------|---------------|--------------------------------------------------------------------------------------------|
| C5, D4, D5, E4, E5             | Minor         | Risk easily managed locally – no need to involve management                                |
| A5, B4, B5, C3, C4, D3, E2, E3 | Moderate      | Risk containable at service level – senior management and SLT may need to be kept informed |
| A3, A4, B3, C2, D1, D2, E1     | Major         | Intervention by SLT with Cabinet involvement                                               |
| A1, A2, B1, B2, C1             | Critical      | Significant SLT and Cabinet intervention                                                   |

## Summary of Denbighshire's Risk appetite statement (as agreed September 2020)

Denbighshire County Council's risk appetite in relation to different aspects of council business is summarised below:

- **Reputation and Credibility** – Open risk appetite, willing to consider all options and choose one that is most likely to result in successful delivery with an acceptable level of reward (and value for money). This means we will tolerate minor, moderate or major risks.
- **Operational and Policy Delivery** – Open risk appetite, willing to consider all options and choose one that is most likely to result in successful delivery with an acceptable level of reward (and value for money). Again, this means we will tolerate minor, moderate or major risks.
- **Financial Projects** - Open risk appetite, willing to consider all options and choose one that is most likely to result in successful delivery with an acceptable level of reward (and value for money). As above, we will tolerate minor, moderate or major risks.
- **Financial Treasury Management** – Cautious risk appetite, preference for safe options that have a medium degree of inherent risk and may have some potential for rewards. Within this risk appetite, we will only tolerate minor or moderate risks.
- **Compliance and Regulation - Safeguarding** – Minimalist risk appetite, preference for ultra-safe options where the well-being of individuals is concerned, with a low degree of inherent risk and have a potential for only limited (safe) reward. This means we will only accept minor risks in this area.
- **Compliance and Regulation - Other** – Cautious risk appetite, preference for safe options that have a medium degree of inherent risk and may have some potential for rewards. Again, we will only tolerate minor or moderate risks in this area.
- **People (Workforce) Learning and Development** – Cautious risk appetite, preference for safe options that have a medium degree of inherent risk and may have some potential for rewards. As above, minor or moderate risks only will be tolerated.
- **People (Workforce) Terms and Conditions** – Minimalist risk appetite, preference for ultra-safe options that have a low degree of inherent risk and have a potential for only limited reward. This means we will only accept minor risks in this area.

# Managing risk for better service delivery

This booklet is to help you understand how the council manages risk. It is a tool for anyone who works in the council, as well as a guide for those who receive our services.

For more information about anything in this booklet please contact the Strategic Planning and Performance Team.

Email: [strategicplanningteam@denbighshire.gov.uk](mailto:strategicplanningteam@denbighshire.gov.uk)

Phone: 01824 706291 (Monday to Friday, 8:30am to 5pm). Rydym yn croesawu galwadau ffôn yn Gymraeg / We welcome telephone calls in Welsh.

Write to us: Strategic Planning and Performance Team, Denbighshire County Council, PO Box 62, Ruthin, LL15 9AZ.

This document is also available in Welsh.

# A guide to risk management

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# A guide to risk management

## Introduction

This document describes what is known as Risk Management within Denbighshire County Council.

The aim of the council's risk management policy is to:

- Develop a consistent approach to risk management across the council
- Encourage a proactive risk aware culture across all parts of the council
- Maintain and improve customer confidence in our ability to deliver on our commitments
- Reduce the possibility of unplanned activity or financial costs, and their effect on the council's reputation
- Develop activity to prevent / reduce the impact and / or likelihood of their risk
- Manage risk in accordance with best practice and statutory obligations

**Risk management should be all encompassing but not burdensome or bureaucratic, nor add unreasonably to the cost of running the council.**

There is a chapter in this guide for every role, and it is hoped that by doing this, it will help you to understand what you need to know about risk management. But don't feel restricted by that – it is sometimes interesting to know what other people are doing too, whether you are:

- **A member of the public**
- **An elected member**
  - A Cabinet Member
  - A Scrutiny Member
  - A Corporate Governance Member

# A guide to risk management

- **A member of staff**
  - The Chief Executive / a Corporate Director
  - A Head of Service
  - A Middle-Manager
  - A Performance Officer within a service
  - Strategic Planning and Performance Officer

Across all these roles there are some common things that it is useful to know:

- What is a risk?
- What is risk management?
- What is Risk Appetite?
- When do I need to consider risks?
- What risks should I consider?
- How do I describe risks?
- How do I score risks?
- What action do I take once I know the score?
- Where do I record risks?
- How do I report and escalate risk?
- What does the Wellbeing of Future Generations Act mean for Managing Risk?

It's also recommended that you take a look at the [Expectations section](#) in this document. The [Glossary](#) too is full of helpful information!

# A guide to risk management

## What is risk?

Our definition for risk is 'an event that, should it occur, would impact our ability to successfully achieve our priorities'.

Often issues that have arisen are confused with risks.

'An issue is a consequence of a risk. It is already with us and management mitigation actions may be underway'.

We recognise that there are risks involved in all our activities and that we have a duty to manage these risks in a balanced, structured and cost effective way. Therefore, the process for identifying, assessing, controlling and monitoring risk is considered an integral part of our management process. As a result, we are able to enhance service delivery capabilities and better achieve our priorities and value for money.

## What is risk management?

Risk Management is a planned approach to **Identify, Assess, Control and Monitor** risks and opportunities facing the council. By managing our risk process effectively, we will be in a better position to safeguard against potential threats and exploit potential opportunities to improve services and provide better value for money.

## What is risk appetite?

Risk appetite is the level of risk we are prepared to tolerate or accept as a council in pursuit of our long term, strategic objectives. Determining and articulating our risk appetite allows us to consider all options to respond to risk and make informed decisions that are most likely to result in successful delivery whilst also providing an acceptable level of value for money. Risk appetite is useful for sense checking our appetite to take risks (are we risk averse or risk hungry?) with our corporate priorities, projects, corporate or service risks and so on. Our Risk Appetite Statement and Framework can be found in [Appendix 1](#) of this document.

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## Summary of Denbighshire's Risk appetite statement (as agreed September 2020)

Denbighshire County Council's risk appetite in relation to different aspects of council business is summarised below (the full statement can be found at [Appendix 1](#)):

- **Reputation and Credibility** – Open risk appetite, willing to consider all options and choose one that is most likely to result in successful delivery with an acceptable level of reward (and value for money). This means we will tolerate minor, moderate or major risks.
- **Operational and Policy Delivery** – Open risk appetite, willing to consider all options and choose one that is most likely to result in successful delivery with an acceptable level of reward (and value for money). Again, this means we will tolerate minor, moderate or major risks.
- **Financial Projects** - Open risk appetite, willing to consider all options and choose one that is most likely to result in successful delivery with an acceptable level of reward (and value for money). As above, we will tolerate minor, moderate or major risks.
- **Financial Treasury Management** – Cautious risk appetite, preference for safe options that have a medium degree of inherent risk and may have some potential for rewards. Within this risk appetite, we will only tolerate minor or moderate risks.
- **Compliance and Regulation - Safeguarding** – Minimalist risk appetite, preference for ultra-safe options where the well-being of individuals is concerned, with a low degree of inherent risk and have a potential for only limited (safe) reward. This means we will only accept minor risks in this area.
- **Compliance and Regulation - Other** – Cautious risk appetite, preference for safe options that have a medium degree of inherent risk and may have some potential for rewards. Again, we will only tolerate minor or moderate risks in this area.
- **People (Workforce) Learning and Development** – Cautious risk appetite, preference for safe options that have a medium degree of inherent risk and may have some potential for rewards. As above, minor or moderate risks only will be tolerated.

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- **People (Workforce) Terms and Conditions** – Minimalist risk appetite, preference for ultra-safe options that have a low degree of inherent risk and have a potential for only limited reward. This means we will only accept minor risks in this area.

### When do I need to consider risks?

Continuous identification and assessment of risk and appropriate mitigating actions is key to the successful delivery of our priorities. The changing external environment and the decisions made in the course of running the council will continuously alter the status of risks identified and risks emerging.

When identifying and assessing risk, the following should be considered:

- Scope of the activities to be assessed (e.g. corporate, service, collaboration or project) and the associated priorities or goals (e.g. corporate plan, project objectives and terms of reference).
- Impact of the changing environment, both external and internal:
  - i) Externally this may include political, regulatory, economic, legislative and community changes.
  - ii) Internally it may include changing a process, service expectations, capabilities or partners.
- The level of risk the council is prepared to take in relation to the activities in question (including consideration of [Denbighshire's Risk Appetite Statement](#)).

### Annual planning and business as usual

Risk management should be applied in day-to-day decision making and is a line management responsibility. However, there still needs to be specific times when progress against priorities and the outcome of operational decisions are reviewed. It is at these points that formal discussions should happen and risk registers updated to reflect this. Discussions, review and reporting of risk should take place at regular management and team meetings.

# **A guide to risk management**

Annual Service Planning also presents an opportunity to be forward looking and pro-active in our risk management.

## **Information risk and assurance**

Every member of staff in the council has a role to play in the effective management of information. Information risks are vulnerabilities and threats to the information resources used by an organisation to achieve its priorities. Risks may include inappropriate disclosure or non-disclosure of information; loss, theft or fraud; information being wrongly destroyed; staff acting in error and failure to use information for the public good. The identification, assessment, monitoring and reporting of risks relating to our information assets will be carried out in the same way as other risks to service delivery.

## **Projects**

Projects have clearly defined priorities, including scope, timeline and budget and it is therefore an obvious step to identify, assess and manage risk as part of project management.

Considering risk in the early stages of a project is time well invested. Risk incurred during the project have to be acted on and fixed, and will add to costs. It is better to identify and where necessary reduce risks at the start-up phase of the project than to allow a contingency on a basis that things will go wrong, but we don't know what.

This risk assessment process for projects is essentially the same as risk management processes described in this document, only that the financial risk assessment criteria are changed to reflect projects.

## **Alternative Service Delivery Models (ASDMs)**

Risk management should be considered during the development of all options for the creation of an Alternative Service Delivery Model (which includes partnerships, collaborations, arm's length companies and outsourcing arrangements).

## A guide to risk management

It is important to identify and consider all potential risks as early as possible, and risk management should form a fundamental part of the development of, and subsequently the management of all alternative service delivery models.

The risk assessment process for the establishment and management of alternative service delivery models is essentially the same as the risk management processes described in this document. The Strategic Planning Team is in the process of developing a new toolkit about alternative service delivery models, please contact [strategicplanningteam@denbighshire.gov.uk](mailto:strategicplanningteam@denbighshire.gov.uk) for more information.

## Project risk assessment criteria

### Grading the likelihood of an event

Please note that this grading is only to be used for scoring project risk. Scoring of organisational risks is in the [‘How do I score risks’](#) section.

| Grade                    | % chance   | Description                                                |
|--------------------------|------------|------------------------------------------------------------|
| <b>A:</b> Almost Certain | Over 70%   | Event is almost certain to occur in most circumstances     |
| <b>B:</b> Likely         | 30% to 70% | Event likely to occur in most circumstances                |
| <b>C:</b> Possible       | 10% to 30% | Event will possibly occur at some time                     |
| <b>D:</b> Unlikely       | 1% to 10%  | Event unlikely and may occur at some time                  |
| <b>E:</b> Rare           | Under 1%   | Event rare and may occur only in exceptional circumstances |

### Rating the impact of an event

| Rating       | Time / cost / objectives                                                                   | Service performance                                            | Reputation                                                        | Financial cost |
|--------------|--------------------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------------------------------------|----------------|
| 1: Very High | More than 50% increase to project time or cost. Project fails to meet objectives or scope. | Unable to deliver core activities. Strategic aims compromised. | Trust severely damaged and full recovery questionable and costly. | Over £5million |



## A guide to risk management

| <b>Rating</b>      | <b>Time / cost / objectives</b>                                                                                     | <b>Service performance</b>                                     | <b>Reputation</b>                                                        | <b>Financial cost</b>  |
|--------------------|---------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------------------------|------------------------|
| <b>2: High</b>     | 20% to 50% increase to project time or cost. Impact on project scope or objectives unacceptable to sponsor.         | Significant disruption to core activities. Key targets missed. | Trust recoverable at considerable cost and management attention.         | £1million to £5million |
| <b>3: Medium</b>   | 5% to 20% increase to project time or cost. Major impact on project scope or objectives requiring sponsor approval. | Disruption to core activities / customers                      | Trust recovery demands cost authorisation beyond existing budgets.       | £350,000 to £1million  |
| <b>4: Low</b>      | Less than 5% increase to project time or cost. Minor impact on project scope or objectives.                         | Some disruption to core activities / customers                 | Trust recoverable at modest cost with resource allocation within budgets | £50,000 to £350,000    |
| <b>5: Very Low</b> | Insignificant increase to project time or cost. Barely noticeable impact on project scope or objectives.            | Minor errors or disruption.                                    | Trust recoverable with little effort or cost.                            | Less than £50,000      |

# A guide to risk management

## What risks should I consider?

Risks should be captured whether they are under the council's direct control or not. It should be noted that there is a positive side to risk (opportunity) that should not be overlooked and can often be captured as a potential missed opportunity.

To ensure a consistent approach is taken across the council, we use the following framework of risk categories. These categories focus on the source of risk, and are intended to be used as a set of prompts to consider scenarios that will give rise to consequences that will impact on specific outcomes.

### **Political**

Arising from the political situation

- Change of Government policy
- Political make-up
- Election cycles
- Decision-making structure
- Abuse (e.g. fraud, corruption)
- Reputation management

### **Economic and financial**

Arising from the economic situation, and the financial planning framework

- Treasury – investment, reforms
- Demand predictions
- Competition and the effect on price
- General / regional economic situation

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- Value / cost of capital assets

## **Community**

Demographics, social trends, and meeting customer needs or expectations

- Residential patterns and profile
- Social care
- Regeneration
- Customer care
- Quality of community consultation

## **Technological**

Arising from the ability to deal with pace of change, and the technological situation

- Capacity to deal with change or advance
- State of architecture
- Obsolescence of technology
- Current performance and reliability
- Security and standards
- Failure of key system or project

## **Legislative regulatory**

Arising from current and potential legal changes and / or possible breaches, and the organisation's regulatory information

- New legislation and regulations
- Exposure to regulators

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- Legal challenges or judicial review
- Adequacy of legal support

## **Environmental**

Concerned with the physical environment

- Type of environment (urban, rural, mixed)
- Land use – green belt, brown field sites
- Waste disposal and recycling issues
- Impact of civil emergency (i.e. flood)
- Traffic problems, planning, and transport
- Pollution, emissions, noise
- Climate change and energy efficiency

## **Professional or managerial**

The need to be managerially and professionally competent

- Peer reviews
- Stability of officer structure
- Competency and capacity
- Management frameworks and processes
- Turnover, recruitment, and retention
- Profession-specific issues

## **Physical hazards and health and safety**

Physical hazards associated with people, land, buildings, vehicles and equipment

## **A guide to risk management**

- Health, safety and wellbeing of staff, partners and the community
- Accident and incident record keeping
- Maintenance practices
- Security of staff, assets, buildings, equipment
- Nature and state of asset base

### **Partnership or contractual**

Partnerships, contracts and collaboration

- Key partners – public, private and voluntary
- Accountability frameworks and partnership boundaries
- Large-scale projects with joint ventures
- Outsourced services
- Relationship management
- Change control / exit strategies
- Business continuity
- Partnerships – contractual liabilities

# A guide to risk management

## How do I describe risks?

Describing the risk is important to ensure that risks are fully understood, and to assist with the identification of actions, the cause and effect of each risk must also be detailed.

Typical phrases used to do this could include:

### Description

- risk of ...
- failure to ...
- failure of ...
- lack of ...
- loss of ...
- uncertainty of...
- delay in ...
- inability to ...
- inadequate ...
- partnership with...
- development of...
- opportunity to...
- damage to...

### Cause

- ... due to ...
- because ...

### Effect

- ...leads to...
- results in...

Having identified and described a risk, it is important to assess the causes, the potential consequences / impact and how effectively it is being managed.

# A guide to risk management

## How do I score risks?

Risk is measured in terms of impact and likelihood against agreed risk assessment criteria. The risk assessment criteria we use in Denbighshire are 'semi-quantitative', which means they are more than a simple high, medium and low approach. These criteria help us to be more objective in our assessment and enable risks to be both prioritised and escalated consistently. This prioritisation helps us decide where we should focus our risk management efforts.

The impact of a risk is measured in five broad bands, from very low to very high and the likelihood from rare to almost certain. When assessing likelihood, it should be based on an appropriate time frame, generally over the Service Plan but extending in line with longer term plans if necessary.

### Grading the likelihood of an event

| Grade                    | % chance   | Description                                                |
|--------------------------|------------|------------------------------------------------------------|
| <b>A:</b> Almost Certain | Over 70%   | Event is almost certain to occur in most circumstances     |
| <b>B:</b> Likely         | 30% to 70% | Event likely to occur in most circumstances                |
| <b>C:</b> Possible       | 10% to 30% | Event will possibly occur at some time                     |
| <b>D:</b> Unlikely       | 1% to 10%  | Event unlikely and may occur at some time                  |
| <b>E:</b> Rare           | Under 1%   | Event rare and may occur only in exceptional circumstances |

# A guide to risk management

## Rating the impact of an event

| Rating              | Time / cost / objectives                                                                                            | Service performance                                            | Reputation                                                               | Financial cost         |
|---------------------|---------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------------------------|------------------------|
| <b>1: Very High</b> | More than 50% increase to project time or cost. Project fails to meet objectives or scope.                          | Unable to deliver core activities. Strategic aims compromised. | Trust severely damaged and full recovery questionable and costly.        | Over £5million         |
| <b>2: High</b>      | 20% to 50% increase to project time or cost. Impact on project scope or objectives unacceptable to sponsor.         | Significant disruption to core activities. Key targets missed. | Trust recoverable at considerable cost and management attention.         | £1million to £5million |
| <b>3: Medium</b>    | 5% to 20% increase to project time or cost. Major impact on project scope or objectives requiring sponsor approval. | Disruption to core activities / customers                      | Trust recovery demands cost authorisation beyond existing budgets.       | £350,000 to £1million  |
| <b>4: Low</b>       | Less than 5% increase to project time or cost. Minor impact on project scope or objectives.                         | Some disruption to core activities / customers                 | Trust recoverable at modest cost with resource allocation within budgets | £50,000 to £350,000    |



## A guide to risk management

| Rating      | Time / cost / objectives                                                                                    | Service performance         | Reputation                                    | Financial cost    |
|-------------|-------------------------------------------------------------------------------------------------------------|-----------------------------|-----------------------------------------------|-------------------|
| 5: Very Low | Insignificant increase to project time or cost.<br>Barely noticeable impact on project scope or objectives. | Minor errors or disruption. | Trust recoverable with little effort or cost. | Less than £50,000 |

A number of different descriptors are provided to help estimate the risk impact – service performance, reputation and financial cost. The purpose of multiple descriptors is that whilst it is not always easy to estimate the cost impact of a risk, it is sometimes easier to compare to a qualitative statement (e.g. “disruption to core activities / customers”).

In addition to qualitative statements, some guidance probabilities are given. These can also be considered as frequency of occurrence where 1% is equivalent to the likelihood of a 1 in a 100-year event occurring, 10% is a 1 in 10-year event, and 50% is a 1 in 2-year event, etc.

**Remember these are to be used as a guide and to provide consistency – they are not meant to be exact descriptors.**

The likelihood and impact of risks need to be considered after existing controls have been evaluated as to their effectiveness. Existing controls refers to controls actually in place not those we plan to put in place. For each control identified it is important to review its effectiveness in managing the risk and that the residual risk assessment accurately reflects this.

**Inherent Risk:** The risk that an activity would pose if **no controls** or other mitigating actions were in place.

**Residual Risk:** The risk that remains **after controls** are taken into account.

# A guide to risk management

## What action do I take once I know the score?

Once you identify the risk and have considered existing controls and given your risk a score, you need to determine if any additional actions are required.

Generally, where the risk is **High** or **Critical**, then further action is necessary.

Where the risk is **Moderate**, careful consideration should be given to the need for further action.

Where the risk is **Low**, generally no action is required.

There are normally options for improving the management of risk and they fall into the following categories:

**Tolerate:** Involves accepting the risk and its impacts. This could include deciding to cover any losses if it were to happen, or where the costs to control exceed the benefits.

**Treat:** Reduce the risk by making it less likely to happen or reducing the impact if it does. This can include training, improved procedures, new equipment / systems or changing policies etc.

**Transfer:** Involves passing the risk or costs of the impact outside of the organisation. This could include outsourcing or taking out insurance to cover the costs.

**Terminate:** Eliminate the risk by ceasing the activity that presents the risk.

It is also important to compare the risk evaluation to the agreed Risk Appetite for each risk category.

The risk appetite sets out the level of risk that the council is prepared to accept, tolerate or be exposed to at any point in time. This will vary depending on the category of risk. In some areas, the council will take more risk in order to support innovative thinking. In other areas the council may take less risk to ensure legal compliance for example.

While the council deems any critical risk intolerable, it is envisaged that all other risks will be managed in accordance with the risk appetite framework.

## **A guide to risk management**

However, risk appetite does not replace the reporting and escalation process outlined below. Risks continue to be managed at the lowest and most appropriate level in the organisation and only escalated when action is required outside the control of the current risk owner.

### **How do I report and escalate risks?**

The monitoring of risks is a normal management activity and as such should be integrated as part of normal line management responsibilities.

It is important to ensure that risks themselves are subject to review with appropriate frequency through, Cabinet, Senior Leadership Team, Service Performance Challenges and team meetings within individual services.

It is then expected that six monthly reports are presented to Members at the Performance Scrutiny Committee, highlighting key risks facing the council and their management through the presentation of the Corporate Risk Register.

All service risks will have been agreed and endorsed by the Head of Service and relevant lead Cabinet Member(s). This is done through 1-2-1 meetings between the Head of Service and Lead Members. If a risk is considered to then be a 'Corporate' risk this would need to be a discussion between the Head of Service and the relevant Director to escalate it to a 'Corporate' level via the Council's Senior Leadership Team. All corporate risks subsequently will be agreed and endorsed by Cabinet and the Senior Leadership Team and will be scrutinised by the Performance Scrutiny Committee.

The combination of impact and likelihood scores results in a risk exposure rating and escalation criteria below, allowing us to manage intervention based on severity. These criteria are set at corporate level and are not intended to suggest that a moderate risk (at corporate level) is not important to a particular service (at service level) and might require further actions or monitoring at that service level:

## A guide to risk management

| Risk Score                            | Risk Severity   | Escalation Criteria                                                                        |
|---------------------------------------|-----------------|--------------------------------------------------------------------------------------------|
| <b>C5, D4, D5, E4, E5</b>             | <b>Minor</b>    | Risk easily managed locally – no need to involve management                                |
| <b>A5, B4, B5, C3, C4, D3, E2, E3</b> | <b>Moderate</b> | Risk containable at service level – senior management and SLT may need to be kept informed |
| <b>A3, A4, B3, C2, D1, D2, E1</b>     | <b>Major</b>    | Intervention by SLT with Cabinet involvement                                               |
| <b>A1, A2, B1, B2, C1</b>             | <b>Critical</b> | Significant SLT and Cabinet intervention                                                   |

### Where do I record risks?

In Denbighshire [we use a cloud storage system called Verto](#) to help record and monitor all service and project risks.

Services are advised to monitor their Risk Register every 6 months with officers in services to help collect and input risk information into Verto.

### What does the Wellbeing of Future Generations Act mean for managing risk?

The Act requires the council to think more about the long term, how we work better with people and communities and each other, look to prevent problems and take a more joined up approach with partners.

All decisions made by the council must be understood in the context of the Sustainable Development Principle; i.e. are the needs of the present being met without compromising the ability of future generations to meet their own needs?

## A guide to risk management

There are five things we need to consider to be able to demonstrate that we have applied the Sustainable Development Principle (Long Term Thinking, Prevention, Integration, Collaboration and Involvement).

There will be long term risks that will affect both the delivery of services, but also the communities you are enabling to improve. Therefore, it is important that you use these five ways of working and the well-being goals identified in the Act in order to frame what risks you may be subject to in the short, medium and long term. This will then allow you to take the necessary steps to ensure they are well managed now and in the future.

For more information, take a look at the [Essentials Guide](#) online at [Future Generations Wales](#).

# A guide to risk management

## Expectations

### We all expect:

- Council services delivered to a high standard, ensuring risks are managed effectively
- Legislative duties to be met
- Access to up-to-date information and data that tells us how the council is managing risk
- To be listened to and our concerns acted upon.

### We all have a responsibility to promote:

- Communication and engagement
- The Welsh language
- Access to services and respect to others, keeping in mind the nine protected characteristics and those in poverty
- The Sustainable Development principle and the five governance approaches.

### How do we do this?

Collectively we all have a role to play to make sure that these expectations are met. We do this naturally through our interaction with one another and the council. To understand the contribution that you can make as an individual, read through the following roles.

# A guide to risk management

## Members of the public

### As a member of the public I expect:

- High quality services that are well planned and meet my needs
- Access to up to date information and data that is easy to understand

### I am responsible for:

- Challenging the council's management of risk, and letting them know where things can be done better. Tell us your thoughts through [our website](#).

### How do I do this?

- Our [Annual Performance Report](#) details our current performance and risk management
- Council meetings, Cabinet and Scrutiny are public and you are welcome to attend. You can also view some meetings via the [Denbighshire County Council webcasts](#).

# A guide to risk management

## Elected members

### As an elected member I expect:

- Reliable information, advice and support from council officers to help me make decisions and carry out my role
- To be kept informed of issues and risks affecting my ward.

### I am responsible for:

- Challenging the council's risk management, seeking improvement where possible
- Understanding the corporate risks facing the council, and being aware of how these risks are being managed
- Ensuring that any associated risks have been taken into consideration when scrutinising decisions
- Raising risks not already identified.

### How do I do this?

- Participate in meetings, representing the voice of the citizen
- Raise issues / concerns with relevant managers
- Engage with and scrutinise the information available in the [Verto system](#) to help inform decisions and identify ways to make improvements.



# **A guide to risk management**

## **Cabinet Members**

### **As a Cabinet Member I expect:**

- Accurate and timely information regarding risks to help inform decisions and identify areas for improvement.

### **I am responsible for:**

- Monitoring the delivery of service plans and the management of Service Risk Registers with Heads of Service on a quarterly basis
- Monitoring and driving forward the delivery of our corporate priorities
- Monitoring and managing risks on the Corporate Risk Register.

### **Have I:**

- Met with the relevant Head of Service in my portfolio to give input and agree the content of the Service Plan and Risk Register?
- Reviewed risk information for the council and the services I represent on a quarterly basis?
- Reviewed the council's risk appetite on an annual basis?

# **A guide to risk management**

## **Scrutiny Members**

### **As a Scrutiny Member I expect:**

- Accurate and timely information regarding risks to help inform decisions and identify areas for improvement.

### **I am responsible for:**

- Scrutinising the delivery of service plans and the management of Service Risk Registers
- Scrutinising the delivery of the council's priorities
- Scrutinising the management of our Corporate Risk Register.

### **Have I:**

- Reviewed Service and Corporate Risk Registers on a regular basis?

# A guide to risk management

## Corporate Governance Members

### As a member of Corporate Governance I expect:

- Assurance that our risk management processes are robust and being consistently applied across the council.

### I am responsible for:

- Reviewing and giving endorsement to the Risk Management Policy and Guidance
- Monitoring the application of our risk management processes.

### Have I:

- Reviewed risk information in the [Verto system](#).

# **A guide to risk management**

## **Members of Staff**

### **As a member of staff I expect:**

- To understand the council's priorities and the contribution my work makes towards them
- Tools and systems in place that support the development, communication, and monitoring of our risk information, helping me to understand how the council and its services are managing risk.

### **I am responsible for:**

- Supporting the delivery of the Service Plan
- Improving services
- Mitigating potential risks where appropriate

### **How do I do this?**

- Ask questions, contribute ideas and challenge the way we do things
- Raise any risks or concerns with managers
- Get involved in the Service planning process and give your input to the Service Plan
- Stay up to date with the council's risk management processes
- Provide honest and easy to understand updates on the progress of work and any issues being experienced

# **A guide to risk management**

## **Chief Executive / Corporate Directors**

### **As the Chief Executive / Corporate Director I expect:**

- Staff to be engaged with our Risk Management process and understand their contribution.

### **I am responsible for:**

- Ensuring the risk management processes remain fit for purpose and effectively implemented
- Championing a culture of risk management within the council
- Monitoring the Corporate Risk Register
- Keeping elected members informed of issues relevant to them
- Reviewing service risks with Heads of Service as part of regular one to one meetings.

### **Have I:**

- Provided input to Service Plan and Risk Registers?
- Reviewed risk data on at least a quarterly basis with Heads of Service?
- Reviewed the council's risk appetite on an annual basis?
- Provided ongoing input to the council's Needs Assessment and used its intelligence to shape service planning, risk management and delivery?

# A guide to risk management

## Heads of Service

### As a Head of Service I expect:

- Guidance from Corporate Directors, Cabinet Members, and the Strategic Planning and Performance Team on Risk Management
- Scrutiny members and staff to also be engaged in the development and delivery of the Service including risk management.

### I am responsible for:

- Monitoring the Corporate Risk Register
- Keeping elected members informed of issues relevant to them
- The development, communication and delivery of the Service Plan and risks with key stakeholders, which includes keeping elected members informed of issues relevant to them
- Managing service risk, with input from staff, ensuring that risks are escalated as required
- Ensuring the risk management processes remains fit for purpose and effectively implemented, championing a culture of risk management within the council.

### Have I:

- Consulted and engaged with key stakeholders, including managers, staff and Lead Cabinet members?
- Taken customer need into account and covered applicable legislative duties?
- Considered the implications of plans and potential risks?
- Reviewed risk data on a quarterly basis with Cabinet Member(s) and management team and identified opportunities to improve?
- Reviewed the council's risk appetite on an annual basis?
- Communicated key messages to staff (good and bad)?
- Provided input to the council's Needs Assessment and used its intelligence to shape service planning, risk management and delivery?

# A guide to risk management

## Middle Managers

### As a Middle Manager I expect:

- Clear direction from the council and senior leaders
- Staff to be engaged in the delivery of the Service Plan, aware of the service risk register and understand their contribution towards successful service delivery.

### I am responsible for:

- Helping Heads of Service communicate the strategic vision of the council and involving staff in the development and delivery of the Service Plan and risks, which includes keeping elected members informed of issues relevant to them
- Ensuring staff engage and commit to activity within the Service Plan
- Supporting the Head of Service with the monitoring of the service risk register, also engaging with team members
- Identifying potential risks in service delivery and discussing with the Head of Service.

### Have I:

- Consulted and engaged with key stakeholders during the development of the Service Plan and Risk Register?
- Addressed any new legislative duties?
- Evaluated the implications of the plan and potential risks?
- Set realistic expectations for projects / activities?
- Reviewed risk data on a quarterly basis to inform the Service's own improvement?
- Communicated key messages to staff, good and bad?
- Provided ongoing input to the council's Needs Assessment and use its intelligence to shape service planning, risk management and delivery?

# A guide to risk management

## Performance Officers within a service

### As a Lead Performance Officer I expect:

- To have a clear understanding of the council's risk management processes
- Service Plans and Risk Registers to have input and ongoing challenge from stakeholders, including Corporate Directors(s), Lead Cabinet Members(s), staff and the public.

### I am responsible for:

- Supporting the Head of Service in the completion and communication of a clear and easy to follow Service Plan (by March 31<sup>st</sup>) and Risk Register, ensuring the involvement of the right people, and making sure that staff understand their commitments
- Keeping the Service Plan and Risk Register up to date which are live documents and should be updated with any new activity / developments during the year
- Ensuring that accurate and easy to understand risk updates have been provided in the [Verto system](#) within one month of the end of the quarter. Any comments provided should be in plain English and avoid acronyms.

### Have I:

- Consulted with and involved the relevant Strategic Planning and Performance Officer to ensure that there is consistency in the approach you take and no conflict with work elsewhere?
- Ensured that customer needs are taken into account, as well as any legislative duties that apply?
- Analysed the implications of the service plan and potential risks?
- Used the [Verto system](#) to help collate the detail of the Service Plan and maintain the Service Risk?



# **A guide to risk management**

## **Strategic Planning and Performance Officers**

### **As a Strategic Planning and Performance Officer I expect:**

- Service Risk Registers to be maintained and up to date
- Accurate quarterly updates to be submitted within one month of the end of a quarter, with clear and understandable comments where applicable
- Issues to be challenged by stakeholders, in particular by Cabinet, Scrutiny and the public.

### **I am responsible for:**

- Maintaining the integrity of the data collection, monitoring and reporting process within the council
- Supporting services in their service planning and risk management, ensuring consistency of approach, and giving due regard to important considerations such as the Equality Act, the Wellbeing of Future Generations Act, the Social Services and Well-being Act, and other council and partnership commitments
- Producing accurate information and reports as required by Senior Leaders, the Council, Cabinet, Scrutiny and Corporate Governance.

### **Have I:**

- Monitored quarterly risk updates from services?
- Supported services in the ongoing monitoring of risk as required?
- Liaised with services and senior management to ensure risks are properly recorded and escalated as required?

# A guide to risk management

## Appendix 1: Our Approach to Risk Appetite

Denbighshire's risk appetite statement, reviewed September 2020, sets out Denbighshire County Council's approach to risk taking by defining its risk appetite thresholds. It is a statement that will be reviewed and modified annually, so that any changes to the organisation's strategies, objectives or its capacity to manage risk, are properly reflected. It will be communicated throughout the organisation in order to drive robust risk management and to ensure risks are properly identified and actively managed.

Risk Appetite is the level of risk we are prepared to tolerate or accept in the pursuit of our long term, strategic objectives. Our aim is to consider all options to respond to risk appropriately, and make informed decisions that are most likely to result in successful delivery, whilst also providing an acceptable level of value for money.

The acceptance of risk is subject to ensuring that all potential benefits and risks are fully understood and that appropriate measures to mitigate risk are established before decisions are made. We recognise that the appetite for risk will vary according to the activity undertaken and hence different appetites and tolerances to risk apply.

Risk appetite does not replace the escalation process defined within the risk management policy. Risks continue to be managed at the lowest and most appropriate level in the organisation and only escalated when action is required outside the control of the current risk owner.

The council's appetite for risk across its activities is classified against the following scale, which is derived from the UK Government's Orange Book on Risk Management.

### Classification and Description:

- Averse is the avoidance of risk and uncertainty. We are therefore not willing to tolerate any risk within this appetite classification.
- Minimalist is the preference for ultra-safe options that have a low degree of inherent risk and have a potential for only limited reward. Within this classification, we are willing to accept only **minor** risks.

## A guide to risk management

- Cautious is the preference for safe options that have a medium degree of inherent risk and may have some potential for rewards. In terms of our risk exposure rating, we would therefore accept a **minor** or **moderate** risk.
- Open is the willingness to consider all delivery options and choose one that is most likely to result in successful delivery with an acceptable level of reward (and value for money). Within this, we will accept **minor**, **moderate** and **major** risks.
- Hungry is the eagerness to be innovative and to choose options offering potentially higher business rewards despite greater inherent risk. All risk exposure is accepted within this classification – **minor**, **moderate**, **major** and **critical**.

### Denbighshire County Council's Risk Appetite Statement

- **Reputation and Credibility (risks about the trust / confidence people have in the council)** – It is considered essential that the council preserves its reputation. However, the council is willing to accept an **open risk appetite** in the conduct of any of its activities that could put its reputation at risk but only where there is confidence that the likely outcome is anticipated to be successful
- **Operational and Policy Delivery (risks which focus on long term goals and the service which our customers receive)** – The environment the council works in is continually changing through both its internal operations, the services it provides and the external environment. The council aims to be a leading local authority in North Wales and aims to be progressive and innovative. Therefore, the council is willing to accept an **open risk appetite**
- **Financial (risks about financial loss and value for money)** – The council aims to maintain its long term financial viability and its overall financial strength whilst aiming to achieve its strategic and financial objectives. Although the approach to risk is detailed in a number of key documents, such as the Medium Term Financial and the Treasury Management Strategy that are approved on an annual basis, the following key points are important:
  - The council is required to set a balanced overall revenue budget by early March every year and Heads of Service must then contain net expenditure within approved service totals. In practice the council aims to have a

## A guide to risk management

balanced budget approved by Cabinet and Council in January, and Council Tax set in February, well before the statutory deadline

- In accordance with its reserves strategy, a minimum General Fund unallocated reserves balance of 2.5% of net budget or £5million whichever is greater
- The council's Treasury Management Strategy sets out in detail the council's approach to risk around borrowing and investment, the approach is summarised below:
  - a. Both the Chartered Institute of Public Finance and Accountancy (CIPFA) Code and the Welsh Government Guidance require the Authority to invest its funds prudently, and to have regard to the security and liquidity of its investments before seeking the highest rate of return, or yield. The Authority's objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk of receiving unsuitably low investment income.
  - b. The council monitors its cash position and interest rate levels on a daily basis to ensure that further long term borrowing is undertaken from the Public Works Loan Board at the optimal time to ensure that ongoing capital commitments are fully funded.

Therefore, the council is willing to accept a **Cautious Risk Appetite** in relation to treasury management. However in relation to projects the council is willing to accept an **Open Risk Appetite**. This difference reflects the risk and reward inherent in many of our large-scale projects.

**Compliance and Regulation (risks about adherence to law, regulations and guidelines):** The council places high importance on safeguarding the well-being of individuals and will only accept a **Minimalist Risk Appetite** in this area. For other important areas of compliance, regulation and public protection the council adopts a **Cautious Risk Appetite** for breaches in statute, regulation, professional standards, ethics, bribery or fraud.

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**People (Workforce):** The council recognises that its employees are critical to the achievement of its objectives and that staff support and developments are key to making the council a place of work that inspires good performance. It places importance on equality and diversity, dignity and respect, and the well-being and safety of staff. Therefore, the council has a **Minimalist Risk Appetite** for any deviation from its standards in terms and conditions but has a **Cautious Risk Appetite** in relation to learning and development, where riskier approaches may be considered.

## Risk Appetite Framework

Using the Risk Appetite Classification outlined earlier in the document, the consequences of risk and example behaviours when taking key decisions are as follows:

- Reputation and credibility
  - Averse – no tolerance for taking risks where there is a chance of any negative repercussion for the council (locally or further afield)
  - Minimalist – Tolerance for risk taking limited to those events where significant repercussion for the council is extremely unlikely
  - Cautious – Consider activities which could result in minor scrutiny and reputational repercussions but only where steps can be taken to minimise any exposure to an acceptable level
  - Open – Comfortable to take risks that could expose the council but only where appropriate steps have been taken to proactively manage community relations and media and coverage
  - Hungry – Keen to take decisions that are likely to result in significant or national scrutiny of the council, with reputational repercussions, where the benefits are considered to be great
- Operational and policy delivery
  - Averse – Aim to maintain or protect, rather than to create or innovate. Priority for tight management controls and oversight. General avoidance of systems / technological developments

# A guide to risk management

- Minimalist – Innovations avoided unless essential. Decision making authority held by senior management. Only essential systems / technology developments are considered
- Cautious – Tendency to stick to the status quo, innovations generally avoided unless necessary. Decision making authority generally held by senior management. Systems / technological developments limited to improvements to protect current operations
- Open – Innovation supported, where measurable improvements anticipated. New systems / technological developments considered. Responsibility for non-critical decisions may be devolved
- Hungry – Innovation pursued. Desire to ‘break the mould’ and challenge current working practices. New technologies viewed as a key enabler of operational delivery. High levels of devolved authority – management by trust rather than tight control.
- Financial / Value for money (VfM)
  - Averse – Avoidance of financial loss is a key objective. Only willing to accept the low cost / most secure option. Resources withdrawn from non-essential activities
  - Minimalist – Only prepared to accept the possibility of very limited financial loss, if absolutely unavoidable. VfM is the primary concern
  - Cautious – Prepared to accept the possibility of some limited financial loss. VfM still the primary concern but also willing to consider wider benefits
  - Open – Prepared to invest where there is a high reward and risks of financial loss can be managed to a tolerable level. Value and benefits considered (not just cheapest price). Resources allocated in order to capitalise on potential opportunities
  - Hungry – Prepared to invest for the best possible reward and accept the possibility of financial loss (although controls may be in place). Resources allocated without firm guarantee of return
- Compliance – legal / regulatory
  - Averse – ‘Play it safe’ with no deviation from legal or regulatory requirements. Avoid anything which could be challenged.

## A guide to risk management

- Minimalist – Consider only activities that could deviate in a very minor way from compliance expectations
- Cautious – Only willing to ‘stick our neck out’ when the risk of challenge is very low
- Open – Some appetite to deviate where challenge is likely , but only if we are likely to win it and where the gain will outweigh the adverse consequences
- Hungry – Chances of losing are high and consequences serious but a win could be seen as a great coup
- People (workforce)
  - Averse – No transformational approaches are considered. Maintenance of status quo is considered the priority. Preference for tight management controls and oversight
  - Minimalist – Willing to consider tried and tested approaches that do not threaten staff morale or terms and conditions
  - Cautious – Will weigh up the potential rewards of new / untested approaches but only where the risk is low and can be managed
  - Open – Likely to choose an option that results in changes to staff morale or terms and conditions where that option results in value for money
  - Hungry – Innovative in taking risks in relation to our workforce that will offer benefits to staff and the organisation. Expectation that staff are highly self-motivated and self-supportive

# A guide to risk management

## Glossary

### Plans

- **Corporate Plan.** The Corporate Plan is the overarching strategic plan for the council, and responds to the Public Services Board's Well-being Plan. It sets out our main priorities for the term of council. This sits above Service Plans.
- **Service Plan.** The Service Plan is really the basis of the Council's Performance Management Framework. It contains all indicators / performance measures and improvement activity relating to the key outcomes that services consider important. Service Plans feed up into the council's Corporate Plan and the Public Services Board's Well-being Plan, and are signed off by the relevant Cabinet Lead Member. Some services also have operational plans beneath their service plans, but these are not monitored corporately.
- **Service Planning.** Service Planning is activity that usually takes place between January and March to agree the content of service plans for the following financial year. Strategic Planning and Performance Officers work with Performance Lead Officers and Heads of Service to develop these in Verto by March 31<sup>st</sup>, though they are live documents that should be kept up to date throughout the year. The activity in Service Plans will inform the council's annual delivery document, which is published in April / May. The template for Service Plans is in Verto, and is based on the Results Based Accountability (RBA) approach. For further guidance on how to build a service plan, speak to the Strategic Planning and Performance Team.
- **Annual Performance Report.** The Annual Performance Report is a statutory requirement for all local authorities and must be published by October 31. This is the overall analysis of the council's performance against its Strategic Plans – primarily the Corporate Plan – for the preceding financial year. Our Annual Performance Report also includes an analysis of our corporate risk management approach during the year.

### Risk Management



## A guide to risk management

- **Control.** An existing process, policy, practice or other action that acts to minimize negative risk or enhance positive opportunities. The word 'control' may also be applied to a process designed to provide reasonable assurance regarding the achievement of outcomes.
- **Corporate Risk Register.** The Corporate Risk Register is owned by Cabinet and Senior Leadership Team. It is monitored by them and Performance Scrutiny on a six monthly basis. It takes the most severe and common risks from Service Risk Registers and Corporate Director portfolios. Like the Service Risk Registers, it is stored on the Verto system.
- **Event.** Occurrence of a particular set of circumstances. An event can be certain or uncertain. An event can be a single occurrence or a series of occurrences.
- **Impact.** Outcome or impact of an event. There can be more than one impact from one event. Impacts can range from positive to negative. Impacts can be expressed qualitatively or quantitatively. Impacts are considered in relation to the achievement of outcomes.
- **Inherent Risk (Gross).** Risk before consideration of existing controls and their effectiveness.
- **Issue.** Refers to the consequences of a risk already with us and management mitigation actions are underway or planned. In a project environment an issue is a point or matter in question or in dispute, or a point or matter that is not settled but is under discussion.
- **Likelihood.** Describes the extent to which an event is likely to occur. Likelihood can be expressed qualitatively or quantitatively. Probability or frequency may be used in describing a risk.
- **Residual Risk (Net).** Risk remaining after consideration of existing controls and their effectiveness.
- **Risk.** A risk is an event that, should it occur, would impact our ability to successfully achieve our priorities. Risk is a measure used to describe the uncertainty surrounding an event and its potential impact.
- **Risk Appetite.** The level of risk we are prepared to tolerate or accept in the pursuit of our long term, strategic objectives.

## A guide to risk management

- **Risk Appetite Framework.** The framework describes the behaviours for each of the risk appetite classifications. This helps the council assess its appetite to take risks.
- **Risk Appetite Statement.** The statement sets out the council's approach to risk taking by defining its risk appetite thresholds.
- **Risk Assessment.** The overall process of risk identification, analysis, action planning and reviewing.
- **Service Risk Register.** The Service Risk Register captures risks within a Head of Service's portfolio. Like the Corporate Risk Register, these are monitored through the Verto system.

|                           |                                        |
|---------------------------|----------------------------------------|
| <b>Adroddiad i'r</b>      | <b>Pwyllgor Craffu Perfformiad</b>     |
| <b>Dyddiad y cyfarfod</b> | <b>26 Tachwedd 2020</b>                |
| <b>Swyddog Arweiniol</b>  | <b>Rhian Evans - Cydlynnydd Craffu</b> |
| <b>Awdur yr Adroddiad</b> | <b>Rhian Evans - Cydlynnydd Craffu</b> |
| <b>Teitl</b>              | <b>Rhaglen Waith Craffu</b>            |

## 1. Am beth mae'r adroddiad yn sôn?

Mae'r adroddiad yn gofyn i'r Pwyllgor Craffu Perfformiad adolygu ei raglen gwaith i'r dyfodol drafft. Wrth wneud hyn gofynnir i'r Pwyllgor adlewyrchu ar oblygiadau'r ffocws ar weithrediadau critigol i fusnes yn ystod cyfnod argyfwng y pandemig COVID -19 a'r gwaith sy'n digwydd neu'n cael ei gynllunio dan y trefniadau adfer, tra ar yr un pryd yn cadw mewn côf yr eitemau busnes hynny oedd eisoes ar ei raglen gwaith cyn y pandemig.

## 2. Beth yw'r rheswm dros wneud yr adroddiad hwn?

Gofyn i'r Pwyllgor adolygu a chytuno ar ei raglen gwaith i'r dyfodol, a rhoi'r wybodaeth ddiweddaraf i aelodau ar faterion perthnasol.

## 3. Beth yw'r Argymhellion?

Bod y Pwyllgor yn:

- 3.1 ystyried yr wybodaeth a ddarparwyd ac yn cymeradwyo, diwygio neu'n newid ei raglen gwaith i'r dyfodol fel y gwêl yn briodol; ac
- 3.2 cytuno ar y prif bwyntiau neu'r themau o'r cyfarfod hwn y dymuna dynnu sylw atynt trwy'r wasg a/neu'r cyfryngau cymdeithasol.

## 4. Manylion yr Adroddiad

- 4.1 Mae Erthygl 7 Cyfansoddiad Cyngor Sir Ddinbych yn nodi cylch gorchwyl, swyddogaethau ac aelodaeth pob Pwyllgor Craffu, yn ogystal â rheolau gweithdrefnau a trafodaethau.
- 4.2 Mae'r Cyfansoddiad yn amodi bod yn rhaid i bwyllgorau craffu'r Cyngor osod, ac adolygu'n rheolaidd, rhaglen ar gyfer eu gwaith i'r dyfodol. Trwy adolygu a blaenoriaethu materion, gall aelodau sicrhau bod y rhaglen waith yn cyflwyno agenda a arweinir gan yr aelodau.
- 4.3 Arfer sydd wedi'i fabwysiadu yn Sir Ddinbych ers nifer o flynyddoedd yw bod pwyllgorau craffu'n cyfyngu ar nifer yr adroddiadau a ystyrir mewn unrhyw gyfarfod i uchafswm o bedwar, yn ogystal ag adroddiad rhaglen waith y Pwyllgor ei hun. Nod y dull hwn yw hwyluso trafodaeth fanwl ac effeithiol ar bob pwnc.
- 4.4 Yn y blynyddoedd diweddar mae Llywodraeth Cymru (LIC) ac Archwilio Cymru wedi tynnu sylw at yr angen i gryfhau rôl craffu ar draws llywodraeth leol a gwasanaethau cyhoeddus yng Nghymru, gan gynnwys defnyddio craffu fel modd o ymgysylltu â phreswylwyr a defnyddwyr gwasanaeth. O hyn allan, disgwylir i graffu ymgysylltu'n well ac yn amlach â'r cyhoedd gyda bwriad i sicrhau penderfyniadau gwell a fydd yn y pen draw yn arwain at well canlyniadau i ddinasyddion. Bydd Archwilio Cymru yn mesur effeithiolrwydd craffu wrth gyflawni'r disgwyliadau hyn.
- 4.5 Gan ystyried y weledigaeth genedlaethol ar gyfer craffu a chanolbwyntio ar yr un pryd ar flaenoriaethau lleol, gwnaeth y Grŵp Cadeiryddion ac Is-gadeiryddion Craffu (GCIGC) argymhell yn ddiweddar y dylai pwyllgorau craffu'r Cyngor, wrth benderfynu ar eu rhaglenni gwaith, ganolbwyntio ar y meysydd allweddol canlynol:
- arbedion ar y gyllideb;
  - cyflawni Amcanion y Cynllun Corfforaethol (gyda phwyslais arbennig ar y modd o'u cyflawni yn ystod cyfnod o galedi ariannol);
  - unrhyw eitemau eraill a gytunwyd gan y Pwyllgor Craffu (neu'r GCIGC) fel blaenoriaeth uchel (yn seiliedig ar y meini prawf profion PAPER - gweler ochr gefn y 'Ffurflen Cynnig gan Aelodau' yn Atodiad 2);
  - Materion brys, na ragwelwyd neu flaenoriaeth uchel; a

- Cefnogi gwaith adfer y Cyngor mewn perthynas ag effeithiau'r argyfwng COVID-19 ar wasanaethau'r Cyngor, yr economi leol a chymunedau'r sir

#### 4.6 Ffurflenni Cynnig ar gyfer Craffu

Fel y crybwyllwyd ym mharagraff 4.2 uchod, mae Cyfansoddiad y Cyngor yn gofyn i bwyllgorau craffu baratoi ac adolygu rhaglen ar gyfer eu gwaith i'r dyfodol. Er mwyn cynorthwyo'r broses o flaenoriaethu adroddiadau, os yw'r swyddogion o'r farn fod pwnc yn haeddu'r amser i gael ei drafod ar raglen fusnes y Pwyllgor, mae'n rhaid iddynt wneud cais ffurfiol i'r Pwyllgor i ystyried derbyn adroddiad ar y pwnc hwnnw. Gwneir hyn trwy gyflwyno 'ffurflen gynnig' sy'n egluro pwrpas, pwysigrwydd a chanlyniadau posibl y pynciau a awgrymir. Does dim un ffurflen gynnig wedi dod i law gan swyddogion i'w ystyried yn y cyfarfod cyfredol.

- 4.7 Er mwyn gwneud gwell defnydd o amser craffu drwy ganolbwyntio adnoddau pwyllgorau i archwilio testunau'n fanwl, gan ychwanegu gwerth drwy'r broses o wneud penderfyniadau a sicrhau gwell canlyniadau ar gyfer preswylwyr, penderfynodd y GCIGC y dylai'r aelodau, yn ogystal â swyddogion, lenwi 'ffurflenni cynnig ar gyfer craffu' yn amlinellu pam eu bod yn credu y byddai'r testun yn elwa o fewnbwn craffu. Mae copi o'r 'ffurflen gynnig gan aelod' i'w gweld yn Atodiad 2. Mae ochr gefn y ffurflen hon yn cynnwys siart lif sy'n rhestru'r cwestiynau y dylai aelodau eu hystyried wrth baratoi i gynnig eitem ar gyfer craffu, ac y dylai pwyllgorau eu gofyn wrth benderfynu ar addasrwydd testun i'w gynnwys ar y rhaglen gwaith i'r dyfodol craffu. Os, ar ôl cwblhau'r broses hon, y penderfynir nad yw'r testun yn addas i'w archwilio'n ffurfiol gan bwyllgor craffu, yna gellir ystyried dulliau eraill o rannu'r wybodaeth neu archwilio'r mater e.e. darparu 'adroddiad gwybodaeth', neu os yw'r mater yn un o natur leol gellir ei archwilio gan y Grŵp Ardal Aelodau (GAA) perthnasol. Ni fydd unrhyw eitemau'n cael eu cynnwys ar raglen gwaith i'r dyfodol heb lenwi 'ffurflen gynnig ar gyfer craffu' a derbyn cymeradwyaeth i'w gynnwys ar y rhaglen gan y Pwyllgor neu'r GCIGC. Mae cymorth ar gael i lenwi'r ffurflenni gan y Cydlynnydd Craffu.

#### Rhaglen Gwaith i'r Dyfodol y Cabinet

- 4.8 Wrth benderfynu ar eu rhaglen gwaith i'r dyfodol mae'n bwysig fod pwyllgorau craffu yn ystyried amserlen rhaglen waith y Cabinet. At y diben hwn, mae copi o rhaglen gwaith i'r dyfodol y Cabinet ynghlwm yn Atodiad 3.

## Datblygiad Penderfyniadau'r Pwyllgor

- 4.9 Yn Atodiad 4 o'r adroddiad hwn mae tabl yn crynhoi penderfyniadau diweddar y Pwyllgor ac yn cynghori'r aelodau ar ddatblygiadau yn sgîl y penderfyniadau.

## **5. Grŵp Cadeiryddion ac Is-Gadeiryddion Craffu**

- 5.1 Dan drefniadau craffu'r Cyngor mae'r Grŵp Cadeiryddion ac Is-gadeiryddion Craffu (GCIGC) yn gweithredu fel pwyllgor cydlynu. Cyfarfu'r Grŵp ar 5 Tachwedd 2020. Yn y cyfarfod hwnnw gofynnodd y Grŵp i'r Pwyllgor hwn ystyried y mater o 'Ddarpariaeth Cludiant i Ddysgwyr i Addysg Cyfrwng Cymraeg a'r Diffiniad o Ysgolion Categori 1 yn y Sir' yn ei gyfarfod ar 28 Ionawr 2021 (gweler Atodiad 1). Cynhelir cyfarfod nesaf y Grŵp ar 21 Ionawr 2021.
- 5.2 Gyda'r bwriad o godi ymwybyddiaeth o waith Craffu a cheisio annog y cyhoedd i ymgysylltu â Chraffu penderfynnodd y Grŵp yn ddiweddar y dylai'r tri phwyllgor craffu dreialu am gyfnod proses o ddynodi prif themau neu bwyntiau a gyfyd yn ystod eu cyfarfodydd at ddiben eu rhannu gyda'r wasg leol ac ar dudalennau gwefanau cymdeithasol yr Awdurdod. Gofynnir felly i'r Pwyllgor gytuno ar ba themau neu bwyntiau o'r cyfarfod hwn y dymuna dynnu sylw atynt.

## **6. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?**

Bydd craffu effeithiol yn gymorth i'r Cyngor gynnal y blaenoriaethau corfforaethol yn unol ag anghenion cymunedau a dymuniadau trigolion. Bydd datblygu ac adolygu rhaglen waith gydlynol yn barhaus yn cynorthwyo'r Cyngor i ddarparu ei flaenoriaethau corfforaethol, i wella canlyniadau i breswylwyr tra hefyd yn dygymod â phwysau ar adnoddau ac ar y gyllideb.

## **7. Faint fydd hyn yn ei gostio a sut y bydd yn effeithio ar wasanaethau eraill?**

Mae'n bosib y bydd yn rhaid i wasanaethau neilltuo amser swyddog i gynorthwyo'r Pwyllgor gyda'r eitemau a nodwyd yn y rhaglen waith a chydag unrhyw gam gweithredu yn dilyn ystyried yr eitemau hynny.

## **8. Beth yw prif gasgliadau'r Asesiad o'r Effaith ar Les?**

Nid oes Asesiad o Effaith ar Les wedi ei wneud mewn perthynas â phwrpas neu gynnwys yr adroddiad hwn. Ond bydd y Pwyllgor Craffu, drwy ei waith yn archwilio darpariaeth gwasanaethau, polisïau, gweithdrefnau ac argymhellion, yn ystyried eu heffaith neu eu heffaith posib ar yr egwyddor o ddatblygu cynaliadwy a'r amcanion o ran lles a nodir yn Neddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015.

## **9. Pa ymgynghoriadau sydd wedi'u cynnal gyda Chraffu ac eraill?**

Does dim angen cynnal ymgynghoriad ar yr adroddiad hwn. Fodd bynnag, mae'r adroddiad ei hun a'r ystyriaeth a roir gan y Pwyllgor i'w raglen waith ar gyfer y dyfodol yn gyfystyr ag ymgynghoriad gyda'r Pwyllgor o ran ei raglen waith.

## **10. Pa risgiau sydd yna ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?**

Nid oes risg wedi ei ganfod o ran y Pwyllgor yn ystyried ei raglen waith. Fodd bynnag, drwy adolygu ei raglen gwaith i'r dyfodol yn rheolaidd, gall y Pwyllgor sicrhau y rhoddir ystyriaeth ac yr archwilir meysydd risg pan eu bod yn cael eu nodi, a gwneir argymhellion gyda'r bwriad o fynd i'r afael â'r risgiau hynny.

## **11. Pŵer i wneud y Penderfyniad**

Mae Adran 7.11 Cyfansoddiad y Cyngor yn datgan y bydd pwyllgorau craffu ac/neu'r Grŵp Cadeiryddion ac Is-gadeiryddion Craffu yn gyfrifol am osod eu rhaglenni gwaith eu hunain, gan ystyried dymuniadau Aelodau o'r Pwyllgor nad ydynt yn aelodau o'r grŵp gwleidyddol mwyaf ar y Cyngor.

### **Swyddog Cyswllt:**

Rhian Evans - Cydlynnydd Craffu

Rhif Ffôn: (01824) 712554

E-bost: [rhian.evans@sirddinbych.gov.uk](mailto:rhian.evans@sirddinbych.gov.uk)

Mae tudalen hwn yn fwriadol wag



**Note: Any items entered in italics have not been approved for inclusion at the meeting shown by the Committee. Such reports are listed here for information, pending formal approval.**

| Meeting         | Lead Member(s)                    | Item (description / title)                                                                                           | Purpose of report                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Expected Outcomes                                                                                                                                    | Author                  | Date Entered                                          |
|-----------------|-----------------------------------|----------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|-------------------------------------------------------|
| 28 January 2021 | <b>Cllr. Huw Hilditch-Roberts</b> | 1. External Examinations/Qualifications 2020 & How Schools Have Adapted to New Ways of Working<br><b>[Education]</b> | To review:<br>(i) the performance of pupils, schools and looked after children in attaining external qualifications in 2020;<br>(ii) GwE's impact on the educational attainment;<br>(iii) the impact of COVID-19 on pupils' attainment and future prospects and proposals for external examinations and teacher assessment for the 2020/21 academic year; and<br>(iv) how schools adapted to the new ways of working in response to COVID-19 restrictions and the impact on future education delivery practices<br><br>The report to incorporate GwE's Annual report and information on the 5 year trend in relation to educational attainment in Denbighshire | Scrutiny of performance leading to recommendations for improvement and the provision of proportionate and effective support for pupils               | Geraint Davies/GwE      | September 2019 (amended October 2020 due to COVID-19) |
|                 | <b>Cllr. Huw Hilditch-Roberts</b> | 2. Learner Transport Provision for Welsh medium education and the definition of Category 1 schools in the county     | To examine the Council's Learner Transport Policy as it applies to Category 1 and 2 secondary schools in the county and the definition of 'suitable school' in relation to Category 1 and                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | To determine whether national education medium categorisation and the Council's present Learner Transport Policy provides equitable access to pupils | Geraint Davies/Ian Land | By SCVCG November 2020                                |

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| Meeting       | Lead Member(s)                    | Item (description / title)                                                                                                | Purpose of report                                                                                                                                                                                                                   | Expected Outcomes                                                                                                                                                                                                                                                                                                                                           | Author                                           | Date Entered                                                                                                         |
|---------------|-----------------------------------|---------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|
|               |                                   |                                                                                                                           | Category 2 if parental preference opts for Category 1                                                                                                                                                                               | who chose Welsh-medium provision                                                                                                                                                                                                                                                                                                                            |                                                  |                                                                                                                      |
|               | <b>Cllr. Tony Thomas</b>          | 3. <b>[Education]</b><br>Library Service Standards 2019-20<br><i>(tbc – WG assessment may be delayed due to COVID-19)</i> | To consider the results of the WG’s annual evaluation of the Council’s Library Service and the progress made in delivering the Council’s Library Strategy 2019-22                                                                   | Identification of any slippages in performance in order to formulate recommendations to redress the situation and ensure that the Service delivers the Council’s Corporate Plan and its priorities in relation to Young People, Resilient and Connected Communities                                                                                         | Liz Grieve/Bethan Hughes                         | January 2020                                                                                                         |
|               | <b>Cllr. Bobby Feeley</b>         | 4. Cefndy Healthcare Annual Report 2019/20 and Annual Plan 2020/21 & Options Appraisal for future business delivery       | To consider:<br>(i) the company’s performance during 2019/20 and its Annual Plan for 2020/21; and<br>(ii) the findings of the Project Board’s work in drawing up an options appraisal for future delivery of the company’s business | (i) An assessment of the company’s performance in delivering its business within budget and meeting targets will assist with the identification of future trends and requirements;<br>(ii) Formulation of recommendations in relation to a future business model that will support the delivery of the Council’s priority relating to Resilient Communities | Phil Gilroy/Ann Lloyd/Simon Rowlands/Nick Bowles | September 2019<br>(Options Appraisal element originally scheduled for 30 April 2020 but rescheduled due to COVID-19) |
| 18 March 2021 | <b>Cllr. Julian Thompson-Hill</b> | 1. Corporate Plan (Q3) 2020/21                                                                                            | To monitor the Council’s progress in delivering the Corporate Plan 2017-22                                                                                                                                                          | Ensuring that the Council meets its targets to deliver its Corporate Plan and the Council’s services in line with its aspirations and to the satisfaction of local residents                                                                                                                                                                                | Alan Smith/Iolo Mc Gregor/Heidi Barton-Price     | March 2020<br>(amended October 2020 due to COVID-19)                                                                 |

| Meeting       | Lead Member(s)                    | Item (description / title)                                                                            | Purpose of report                                                                                                                                                                                                                                                  | Expected Outcomes                                                                                                                                                                                                                                                                                                                                            | Author                                        | Date Entered                                                                       |
|---------------|-----------------------------------|-------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|------------------------------------------------------------------------------------|
|               | <b>Cllr. Bobby Feeley</b>         | 2. Hafan Deg, Rhyl<br><i>(tbc)</i><br><br><b>Representatives from KL Care to be invited to attend</b> | To monitor the effectiveness of the transfer of the facility and services to an external provider and the provider's progress in growing and expanding the services available at the centre<br><br>(the report to include an updated Well-being Impact Assessment) | To evaluate the impact of the transfer of the facility and services on all stakeholders and to assess whether the services provided at Hafan Deg are in line with the contract specification, support the Council's vision for adult social care and the five ways to well-being and the requirements of the Social Services and Well-being (Wales) Act 2014 | Phil Gilroy/Ann Lloyd/Katie Newe/Ben Chandler | September 2019<br>(Rescheduled October 2020 due to COVID-19)                       |
|               | <b>Cllr. Brian Jones</b>          | 3. Commercial Waste Service Evaluation Plan                                                           | To consider an the results of an evaluation exercise of the entire commercial waste service, including the performance of the Veolia contract and Waste Technical Team (including proposals for service changes and improvements)                                  | Assurances that the Service is performing well and provides value for money in order to ensure that it aligns to the new waste operating model                                                                                                                                                                                                               | Tony Ward/Tara Dumas/Alan Roberts             | By SCVCG January 2019<br>(rescheduled March, May, Oct 2020 due to COVID-19)        |
| 29 April 2021 | <b>Cllr. Bobby Feeley</b>         | 1. Draft Director of Social Services Annual Report                                                    | To scrutinise the content of the draft annual report to ensure it provides a fair and clear evaluation of performance and clearly articulates future plans                                                                                                         | Identification of any specific performance issues which require further scrutiny by the committee in future                                                                                                                                                                                                                                                  | Nicola Stubbins                               | April 2020<br>(require to submit at the end of 2019/20 was lifted due to COVID-19) |
|               | <b>Cllr. Huw Hilditch-Roberts</b> | 2. <i>Customer Relationship Manager (CRM) System</i>                                                  | <i>To review<br/>(i) the implementation of the new CRM/360 system and its performance in delivering</i>                                                                                                                                                            | <i>An efficient and effective customer enquiries system that deals with enquiries quickly, to a high level of</i>                                                                                                                                                                                                                                            | <i>Liz Grieve/Ffion Angharad</i>              | <i>September 2018<br/>(rescheduled</i>                                             |

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| Meeting | Lead Member(s)                    | Item (description / title)                                                                                                                                                        | Purpose of report                                                                                                                                                                                                                                       | Expected Outcomes                                                                                                                                                            | Author                                       | Date Entered                                                           |
|---------|-----------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|------------------------------------------------------------------------|
|         |                                   | (tbc)                                                                                                                                                                             | <p>efficient and effective customer focussed services in line with the product specification and the Council's expectations; and</p> <p>(ii) service demand in terms of supporting recovery from COVID-19 by moving requests on to C360</p>             | customer satisfaction, whilst realising value for money for the Authority                                                                                                    |                                              | November 2019/rescheduled again March 2020 & Oct 2020 due to COVID-19) |
| 10 June | <b>Cllr. Huw Hilditch-Roberts</b> | <p>1. Implementation of the Donaldson Report 'Successful Futures' – Independent Review of Curriculum and Assessment Arrangements in Wales<br/><b>[Education]</b></p> <p>(tbc)</p> | To consider and monitor the plans to implement the agreed measures adopted by WG following the consultation on the review's findings                                                                                                                    | Better outcomes for learners to equip them with jobs market skills                                                                                                           | Geraint Davies                               | April 2015 (provisionally scheduled for June 2021 in October 2020)     |
|         | <b>Cllr. Julian Thompson-Hill</b> | <p>2. Corporate Plan (Q4) 2020/21/Annual Performance Review</p>                                                                                                                   | To monitor the Council's progress in delivering the Corporate Plan 2017-22                                                                                                                                                                              | Ensuring that the Council meets its targets to deliver its Corporate Plan and the Council's services in line with its aspirations and to the satisfaction of local residents | Alan Smith/Iolo Mc Gregor/Heidi Barton-Price | March 2020 (amended October 2020 due to COVID-19)                      |
| 15 July | <b>Cllr. Brian Jones</b>          | <p>1. Draft Sustainable Travel Plan</p>                                                                                                                                           | To consider the draft sustainable travel plan (including the Council's role in facilitating the locating of vehicle charging points across the county, its work with other local authorities and stakeholders with respect of their availability and in | To provide observations and recommendations that will support the delivery of the corporate priorities relating to the environment and connected communities by              | Emlyn Jones/Mike Jones                       | By SCVCG June 2018 (rescheduled February &                             |

| Meeting                               | Lead Member(s)                    | Item (description / title)                                                                          | Purpose of report                                                                                                                                                                                                                                                                                                                                                                                                                           | Expected Outcomes                                                         | Author                    | Date Entered                                  |
|---------------------------------------|-----------------------------------|-----------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|---------------------------|-----------------------------------------------|
|                                       |                                   |                                                                                                     | relation to other potential alternative travel modes, and in supporting the community to switch to sustainable fuels)                                                                                                                                                                                                                                                                                                                       | reducing CO2 emissions and improving travel connectivity                  |                           | November 2019 & October 2020 due to COVID-19) |
| 30 September                          | <b>Cllr. Huw Hilditch-Roberts</b> | 1. <i>Provisional External Examinations and Teacher Assessments [Education]</i><br><br><i>(tbc)</i> | <i>To review the performance of schools and that of looked after children</i>                                                                                                                                                                                                                                                                                                                                                               | <i>Scrutiny of performance leading to recommendations for improvement</i> | <i>Geraint Davies/GwE</i> | <i>October 2020</i>                           |
| 25 November                           |                                   |                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                           |                           |                                               |
| January 2022<br><br><i>(date tbc)</i> | <b>Cllr. Huw Hilditch-Roberts</b> | 1. <i>Verified External Examinations [Education]</i>                                                | <i>To review the performance of schools and that of looked after children; and GwE's impact on the educational attainment of the County's pupils.</i><br><br><i>The report to include actual figures in addition to percentages along with school absenteeism and exclusion data.</i><br><br><i>The report to incorporate GwE's Annual report and information on the 5 year trend in relation to educational attainment in Denbighshire</i> | <i>Scrutiny of performance leading to recommendations for improvement</i> | <i>Geraint Davies/GwE</i> | <i>October 2020</i>                           |

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Future Issues

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| Item (description / title)                                                          | Purpose of report                                                                                                                                    | Expected Outcomes                                                                                                                                                                                                                                                                                                                                 | Author                                                                           | Date Entered                                         |
|-------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|------------------------------------------------------|
| <i>Dolwen Residential Care Home</i>                                                 | <i>To consider the Task and Finish Group's recommendations relating to the future provision of services at Dolwen Residential Care Home, Denbigh</i> | <i>Pre-decision scrutiny of the task and finish group's findings and the formulation of recommendations for presentation to Cabinet with respect of the future provision of services at Dolwen with a view to ensuring that everyone is supported to live in homes that meet their needs and are able to live independent and resilient lives</i> | <i>Task and Finish Group/Phil Gilroy/Abbe Harvey</i>                             | <i>July 2018 (currently on-hold due to COVID-19)</i> |
| Post 16 provision at Rhyl College (suggested for scrutiny during service challenge) | <i>To examine the post 16 provision at Rhyl College</i>                                                                                              | <i>The development of an effective working relationship between the College and the Council to secure the delivery of courses required to support the delivery of the North Wales Growth Deal and improve the future prospects of the area's students</i>                                                                                         | Rhyl College (and invite Geraint Davies & John Evans – post 16 officer from DCC) | By SCVCG July 2020                                   |
|                                                                                     |                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                   |                                                                                  |                                                      |

**Information/Consultation Reports**

| Date                                                    | Item (description / title)                                                                                                                        | Purpose of report                                                                                                                                                                                                     | Author                                      | Date Entered   |
|---------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|----------------|
| <b>September 2021 &amp; March 2022</b><br>[Information] | Corporate Plan 2017/22 Q1 2021/22 & Corporate Plan 2017/22 (Q3) 2021/20<br><br>To monitor the Council's progress in delivering the Corporate Plan | Ensuring that the Council meets its targets and delivers its Corporate Plan and the Council's services in line with its aspirations and to the satisfaction of local residents                                        | Alan Smith/Iolo McGregor/Heidi Barton-Price | September 2018 |
| <b>Feb/May/Sept/November each year</b><br>[Information] | Quarterly 'Your Voice' complaints performance to include social services complaints                                                               | To scrutinise Services' performance in complying with the Council's complaints and identify areas of poor performance with a view to the development of recommendations to address weaknesses. The report to include: | Kevin Roberts/Ann Lloyd/Phil Gilroy         | November 2018  |

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|                                                                       |                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |              |                                                                                    |
|-----------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|------------------------------------------------------------------------------------|
|                                                                       |                                                                                                                                                                                                 | <p>(i) a comprehensive explanation on why targets have not been met when dealing with specific complaints, reasons for non-compliance, and measures taken to rectify the failures and to ensure that future complaints will be dealt with within the specified timeframe;</p> <p>(ii) how services encourage feedback and use it to redesign or change the way they deliver services; and</p> <p>(iii) details of complaints which have been upheld or partially upheld and the lessons learnt from them.</p> <p><b><i>Consideration of the information provided will assist the Committee to determine whether any issues merit detailed scrutiny</i></b></p> |              |                                                                                    |
| Information Report<br><b>(June 2020 rescheduled to December 2020)</b> | Housing Services – Review of the effectiveness of the new working model for Housing Officers and the development of new ways of working with residents from the lessons learnt through COVID-19 | To review the effectiveness and impact of the new Housing Officer model in delivering personal advice and support to tenants, particularly those who reside in older people’s schemes                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Geoff Davies | March 2019<br>(rescheduled May 2019 at officers request due to COVID-19 pressures) |

**Note for officers – Committee Report Deadlines**

| Meeting         | Deadline   | Meeting  | Deadline       | Meeting  | Deadline        |
|-----------------|------------|----------|----------------|----------|-----------------|
| 28 January 2021 | 14 January | 18 March | <b>4 March</b> | 29 April | <b>15 April</b> |

Performance Scrutiny Work Programme.doc  
 Updated 13/11/2020 RhE

Mae tudalen hwn yn fwiadol wag



| <b>Ffurflen Gynnig ar gyfer Rhaglen Gwaith i'r Dyfodol Craffu</b>                                                                                                    |                    |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| <b>ENW'R PWYLLGOR CRAFFU</b>                                                                                                                                         |                    |
| <b>AMSERLEN I'W HYSTYRIED</b>                                                                                                                                        |                    |
| <b>TESTUN</b>                                                                                                                                                        |                    |
| <b>Beth sydd angen ei graffu arno (a pham)?</b>                                                                                                                      |                    |
| <b>Ydi'r mater yn un o bwys i drigolion/busnesau lleol?</b>                                                                                                          | <b>YDI/NAC YDI</b> |
| <b>Ydi craffu yn gallu dylanwadu ar bethau a'u newid?</b><br>(Os 'ydi' nodwch sut rydych chi'n meddwl y gall craffu ddylanwadu neu newid pethau)                     | <b>YDI/NAC YDI</b> |
| <b>Ydi'r mater yn ymwneud â gwasanaeth neu faes sy'n tanberfformio?</b>                                                                                              | <b>YDI/NAC YDI</b> |
| <b>Ydi'r mater yn effeithio ar nifer fawr o drigolion neu ardal fawr o'r Sir?</b><br>(Os 'ydi', rhowch syniad o faint y grŵp neu'r ardal yr effeithir arni)          | <b>YDI/NAC YDI</b> |
| <b>Ydi'r mater yn gysylltiedig â blaenoriaethau corfforaethol y Cyngor?</b><br>(Os 'ydi' nodwch pa flaenoriaethau)                                                   | <b>YDI/NAC YDI</b> |
| <b>Hyd y gwyddoch, oes yna rywun arall yn edrych ar y mater hwn?</b><br>(Os 'oes', nodwch pwy sy'n edrych arno)                                                      | <b>OES/NAC OES</b> |
| <b>Os derbynnir y testun ar gyfer craffu, pwy fyddai arnoch chi eisiau eu gwahodd e.e. Aelod Arweiniol, swyddogion, arbenigwyr allanol, defnyddwyr y gwasanaeth?</b> |                    |
| <b>Enw'r Cynghorydd/Aelod Cyfetholedig</b>                                                                                                                           |                    |
| <b>Dyddiad</b>                                                                                                                                                       |                    |

## Ystyried addasrwydd pwnc ar gyfer craffu

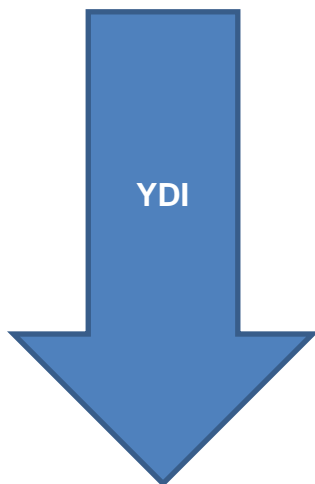
### Ffurflen Gynnig / Cais a dderbyniwyd

(dylid rhoi ystyriaeth ofalus i'r rhesymau dros wneud cais)



### Ydi o'n bodloni'r gofynion canlynol?

- **Diddordeb Cyhoeddus** – ydi'r mater o bwys i drigolion?
- **Effaith**– fedr craffu yn gael effaith ar bethau a'u newid?
- **Perfformiad** – ydi o'n wasanaeth neu faes sy'n tanberfformio?
- **Graddfa** – ydi o'n effeithio ar nifer o drigolion neu ardal ddaearyddol fawr?
- **Ailadrodd** – ydi'r mater yn destun craffu/ymchwiliad gan berson neu gorff arall?



Dim gweithredu pellach gan y Pwyllgor Craffu. Gellir ei gyfeirio at gorff arall neu ofyn am adroddiad er gwybodaeth.

- Penderfynu ar y canlyniadau a ddymunir
- Penderfynu ar gwmpas a swmp y gwaith craffu sydd ei angen a'r dull mwyaf priodol o graffu (h.y. adroddiad pwyllgor, ymchwiliad grŵp tasg a gorffen neu aelod cyswllt ac ati)
- Os penderfynir sefydlu grŵp tasg a gorffen, dylid penderfynu ar amserlen yr ymchwiliad, pwy fydd yn rhan o'r ymchwiliad, beth yw'r gofynion ymchwilio, a oes angen cyngor arbenigol a thystion, a beth yw'r trefniadau adrodd ac ati.

## Cabinet Forward Work Plan

| Meeting       | Item (description / title) |                                                                    | Purpose of report                                                                                                                                     | Cabinet Decision required (yes/no) | Author – Lead member and contact officer                       |
|---------------|----------------------------|--------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|----------------------------------------------------------------|
| <b>15 Dec</b> | 1                          | Contract Procedure Rules                                           | To consider the reviewed contract procedures rules which will require adoption and form part of the council constitution                              | Tbc                                | Councillor Julian Thompson-Hill / Lisa Jones / Helen Makin     |
|               | 2                          | Asbestos Removal Contract                                          | To obtain permission to award the contract to the successful tenderer                                                                                 | Yes                                | Councillor Julian Thompson-Hill / Tom Booty / Sarah Wainwright |
|               | 3                          | DCC Community Benefit Policy                                       | To seek Cabinet approval of the Community Benefits Policy                                                                                             | Yes                                | Councillor Julian Thompson-Hill / Karen Bellis                 |
|               | 4                          | Finance Report                                                     | To update Cabinet on the current financial position of the Council                                                                                    | Tbc                                | Councillor Julian Thompson-Hill / Steve Gadd                   |
|               | 5                          | Items from Scrutiny Committees                                     | To consider any issues raised by Scrutiny for Cabinet's attention                                                                                     | Tbc                                | Scrutiny Coordinator                                           |
| <b>19 Jan</b> | 1                          | Housing Rent Setting & Housing Revenue and Capital Budgets 2021/22 | To seek approval for the proposed annual rent increase for council housing and to approve the Housing Revenue Account Capital and Revenue Budgets for | Yes                                | Councillor Julian Thompson-Hill / Geoff Davies                 |

## Cabinet Forward Work Plan

| Meeting         | Item (description / title) |                                                                   | Purpose of report                                                                          | Cabinet Decision required (yes/no) | Author – Lead member and contact officer                   |
|-----------------|----------------------------|-------------------------------------------------------------------|--------------------------------------------------------------------------------------------|------------------------------------|------------------------------------------------------------|
|                 |                            |                                                                   | 2021/22 and Housing Stock Business Plan                                                    |                                    |                                                            |
|                 | 2                          | Finance Report                                                    | To update Cabinet on the current financial position of the Council                         | Tbc                                | Councillor Julian Thompson-Hill / Steve Gadd               |
|                 | 3                          | Items from Scrutiny Committees                                    | To consider any issues raised by Scrutiny for Cabinet's attention                          | Tbc                                | Scrutiny Coordinator                                       |
|                 |                            |                                                                   |                                                                                            |                                    |                                                            |
| <b>16 Feb</b>   | 1                          | Finance Report                                                    | To update Cabinet on the current financial position of the Council                         | Tbc                                | Councillor Julian Thompson-Hill / Steve Gadd               |
|                 | 2                          | Items from Scrutiny Committees                                    | To consider any issues raised by Scrutiny for Cabinet's attention                          | Tbc                                | Scrutiny Coordinator                                       |
|                 |                            |                                                                   |                                                                                            |                                    |                                                            |
| <b>23 March</b> | 1                          | Awel Y Dyffryn Extra Care Housing – Appointment of Care Providers | To seek approval to appoint 2 care providers for ECH older persons and Learning Disability | Yes                                | Councillor Bobby Feeley / Phil Gilroy / Emily Jones-Davies |
|                 | 2                          | Finance Report                                                    | To update Cabinet on the current financial position of the Council                         | Tbc                                | Councillor Julian Thompson-Hill / Steve Gadd               |

## Cabinet Forward Work Plan

| Meeting | Item (description / title) |                                | Purpose of report                                                 | Cabinet Decision required (yes/no) | Author – Lead member and contact officer |
|---------|----------------------------|--------------------------------|-------------------------------------------------------------------|------------------------------------|------------------------------------------|
|         | 3                          | Items from Scrutiny Committees | To consider any issues raised by Scrutiny for Cabinet's attention | Tbc                                | Scrutiny Coordinator                     |
|         |                            |                                |                                                                   |                                    |                                          |

Note for officers – Cabinet Report Deadlines

| <i>Meeting</i>  | <b><i>Deadline</i></b>    | <i>Meeting</i>  | <b><i>Deadline</i></b>   | <i>Meeting</i> | <b><i>Deadline</i></b>  |
|-----------------|---------------------------|-----------------|--------------------------|----------------|-------------------------|
| <i>November</i> | <b><i>10 November</i></b> | <i>December</i> | <b><i>1 December</i></b> | <i>January</i> | <b><i>5 January</i></b> |

Updated 11/11/2020 - KEJ

Cabinet Forward Work Programme.doc

Mae tudalen hwn yn fwiadol wag

## Progress with Committee Resolutions

| Date of Meeting | Item number and title                                                     | Resolution                                                                                                                                                                                                                                                                                                                                                                                                                                        | Progress                                                                                                                                                                                                             |
|-----------------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 October 2020  | 5. POST COVID-19 RECOVERY PLAN FOR THE BUSINESS SUPPORT RECOVERY PRIORITY | <b><u>Resolved:</u></b> - <i>subject to the observations and suggestions made during the discussion, to support officers in the work undertaken in relation to supporting businesses within the County and also their continued contribution to the regional economic recovery work in partnership with the North Wales Economic Ambition Board Programme Office and Welsh Government (WG)</i>                                                    | Lead Member and relevant officers informed of the Committee's recommendation                                                                                                                                         |
|                 | 6. EMBEDDING NEW WAYS OF WORKING                                          | <b><u>Resolved:</u></b> - <i>subject to the above observations:</i><br>(i) <i>to receive the information provided in relation to the Council adopting new ways of working as part of the recovery process; and</i><br>(ii) <i>support the potential opportunities for the Authority to embed new and more effective ways of working into future working practices.</i>                                                                            | Lead Member and officers advised of the Committee's recommendation                                                                                                                                                   |
|                 | 7. SCRUTINY WORK PROGRAMME                                                | <b><u>Resolved:</u></b> -<br>(i) <i>subject to the above observations and the inclusion of the specified items on the forward work programme to confirm the Committee's Forward Work Programme; and</i><br>(ii) <i>that the Chair be appointed to serve as the Committee's representative on the Strategic Investment Group (SIG), with the Vice-Chair acting as a substitute representative on the Group in the event of the Chair's absence</i> | (i) revised forward work programme attached at Appendix 1<br><br>(ii) SIG officers advised of the appointments and requested to liaise directly with the appointed representative, and in his absence his substitute |

