

## **Corporate Risk Register (February 2021)**

Additions, deletions and amendments are included in the text below. Changes are summarised under each Risk title summary.

### **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

#### **February update:**

The action date for the risk below has been extended to 31/03/2022.

#### **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

# Corporate Risk Register (September 2020 including January 2021 edits)

## 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.
- 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, e.g. training and policies & procedures. This includes, for example, working in partnership with North Wales Police on such issues as County Lines.
- 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.

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- 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 contracts 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.
- 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 minor risk. The Risk Owner has confirmed that they are comfortable that the scoring accurately reflects the current risk to the council.

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## **Further Actions**

**1. 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:** 31/03/2022

**Person Responsible:** Nicola Stubbins

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**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

## **February update:**

The risk description has been amended to reflect Covid-19 and anticipate income losses.

The action end date has been extended to 30/09/21.

## **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. Our risk to income because of Covid-19 is

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an ongoing risk over the next year. We are anticipating reduced levels of income for the next 12 months and possibly beyond. This affects a number of income generation initiatives across the Council. The Council is likely to face income losses that could be in excess of £2million.

## **Impact / Consequences**

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

## **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

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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

### **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

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

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

**Person Responsible:** Steve Gadd

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

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

**Person Responsible:** Judith Greenhalgh

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**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

## **February update:**

Risk controls have been updated.

The action concerning the development of a policy to ensure staff take essential equipment home at the end of each day has been removed as it no longer relevant.

## **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.



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## 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.

## 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.
- An annual Emergency Planning Response report is taken to SLT, the Lead Member and Partnerships Scrutiny, as requested, every year.
- Vulnerable people mapping tool is in operation.
- New chairs for the Communications and Operational Response Groups have strengthened arrangements.

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- Gold & Silver training in place for new representatives.
- Deputies for Chairs of response teams appointed.
- Trial business continuity exercise took place in the council 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.
- We have set up a WhatsApp Business Continuity communication network, which has been tested in an internal council Business Continuity exercise (April 2019).
- We attended a joint regional Business Continuity Exercise with Gwynedd in February 2020. Another one was planned but has not taken place due to Covid-19.
- 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 themes for which members of SLT are leading. These are monitored regularly at SLT and have political input by Lead Member and Cabinet. SEMT has recommenced to manage the latest escalation in the Covid-19 situation.
- Once we are out of the emergency response phase of the pandemic we will ensure we will learn from the experience alongside our partners.

## Residual Risk

C3 – Moderate Risk: Possible / Medium Impact

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

Yes

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

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

**Risk Owner:** Judith Greenhalgh

## **February update:**

No changes are being recommended to the risk as a result of this review.

## **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

# Corporate Risk Register (September 2020 including January 2021 edits)

## 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.
- 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 including January 2021 edits)

## 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

### February update:

The risk description now includes a statement on income losses.

### 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 (Alternative Delivery Model) as a result.

Welsh Government has funded losses incurred during 2021 but we have not yet received confirmation for 2022. The income loss would have occurred regardless of the establishment of the ADM – we still would have lost income.

### 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)

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## 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.
- Council is entitled to representation on Boards, and Heads of Service providing strategic advice to facilities.
- Heads of Service advise the council on any emerging issues and risks.
- Financial support and/or subsidies being provided.
- Processes are in place to manage relationships between the council and Arm's Length organisations.
- Intervention measures are exercised by the council 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

## **Corporate Risk Register (September 2020 including January 2021 edits)**

**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.

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**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

## **February update:**

Controls have been added to include the measures put in place under the Covid-19 buildings recovery theme and the measures put in place by schools.

The residual risk score has been upgraded from E2 – Moderate Risk: Rare / High impact to D2 - Major Risk: Unlikely / High Impact (suggested increase because of Covid-19). This is no longer consistent with our new risk appetite statement concerning safeguarding.

## **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



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## 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 the council.
- There is an established H&S Management System in place.
- 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 council activities and the way we manage H&S.
- “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
- A Covid-19 buildings recovery theme (excluding schools and housing stock) has put measures in place to ensure workplaces are safe to work in. These apply to the three main offices and ancillary offices across Denbighshire. Wherever possible, staff are working from home and particular guidance is in place for staff who have been advised to “shield”. Guidance for staff or family members who are displaying Covid-19 symptoms is in accordance with the latest government advice. Where staff are required to attend the office workplace, social distancing of 2m (6ft) should be adhered to at all times, including breaks. Offices have one-way systems, signage on toilets to ensure one person can use facilities at any one time, sanitising stations and ‘high risk’ areas like clocking stations are out of use. Detailed guidance is available for all staff.

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- Schools have effective health and safety practices. However, schools are reliant on families to follow Welsh Government and school guidance. Schools have had to close as part of wider efforts to reduce community transmission and keep communities safe. There is a wealth of guidance held on a bespoke SharePoint. There are weekly meetings with Education managers. There are safeguarding processes to check the safety and well-being of pupils who are not engaging with school.

## 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 minor 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 including January 2021 edits)

## 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

### February update:

#### Impact/Consequences:

A summary of the impact and consequences of more people accessing Universal Credit has been added to the Impact/Consequences and Controls sections below.

### 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.

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- A consequence of the Covid-19 pandemic is that more people are accessing Universal Credit than ever before. It hasn't caused the council any issues; it has accelerated what was going to be a slow process. The consequences of increased uptake have resulted in more people accessing the Council Tax Reduction Scheme and increased access to free school meals. The losses in council tax income together with the increased free school meal provision have been funded by Welsh Government this financial year. We are uncertain whether this financial support will continue (we anticipate levels of access to Universal Credit staying the same or increasing). A report is going to Scrutiny at the end of January 2021.

## **Inherent Risk**

B2 – Critical Risk: Likely / High Impact

## **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.

## **Corporate Risk Register (September 2020 including January 2021 edits)**

- Demand for the Council Tax Reduction Scheme has increased for some years. We have a £350k budget contingency in place.
- Community Housing has implemented predictive analytics software to enable us to identify tenants at risk of falling into rent arrears. The software identifies risk cases at an early stage and allows us to focus resources on early intervention to prevent households from falling into arrears.

### **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 including January 2021 edits)

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

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

**Risk Owner:** Judith Greenhalgh

## **February update:**

No changes are being recommended to the risk as a result of this review.

## **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:

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- 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
- 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.

## **Corporate Risk Register (September 2020 including January 2021 edits)**

- 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.

### **Residual Risk**

D2 – Major Risk: Unlikely / High Impact

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

Yes



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**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

## **February update:**

The description has been updated to reflect the latest position with our partnership with BCUHB.

The further action to deliver the Community Resources project (to include delivery of two further sites in Denbigh and Prestatyn) has been closed by the Regional Transformation Board. It is being managed as business as usual under Community Support Services' monthly Integrated Health and Social Care Localities meeting.

## **Description**

Whilst BCUHB is no longer in special measures, health at a local level, and the effectiveness of health and social care working together, is subject to increased political and regulatory scrutiny. This requires a level of scrutiny and a strong commitment to partnership. There is a national agenda to drive effective partnership working.

## **Impact / Consequences**

- Inefficient services
- Gaps in service provision
- Delays/failure to deliver joint projects

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- 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)

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

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**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

## **February update:**

A new control has been added to highlight risks associated with the budget in future years.

The action due date has been extended to 30/04/2021.

## **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.

# Corporate Risk Register (September 2020 including January 2021 edits)

## Inherent Risk

B1 – Critical Risk: Likely / Very High Impact

### 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.
- The Balanced Budget report is going to Council. There is no risk for the budget this current year. However, there are risks associated with the budget for 2022 to 2023. It is unlikely we will receive similar levels of funding to previous years.
- All of these controls are in place to ensure good financial monitoring and robust financial planning.

## Residual Risk

C2 – Major Risk: Possible / High Impact

# **Corporate Risk Register (September 2020 including January 2021 edits)**

## **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**

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

**Action Due Date:** 30/04/2021

**Person Responsible:** Steve Gadd

# Corporate Risk Register (September 2020 including January 2021 edits)

## 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

### February update:

The description and impact/consequences sections now include acknowledgement of the pressures our Senior Leadership Team is facing, which can lead to stress and poor health and well-being.

An additional control has been added to outline how we are supporting our staff through this period.

### Description

The current structure of the Senior Leadership Team has been built on the strength and experience of current potholders. 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. There is great pressure on the Senior Leadership Team, who are managing services remotely through the pandemic, whilst trying to manage business as usual.

### Impact / Consequences

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

# Corporate Risk Register (September 2020 including January 2021 edits)

- Stress and poor health and well-being.

## 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
- 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 council's 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.
- Additional support has been put in place through occupational health.

## 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 including January 2021 edits)

**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

## **February update:**

No changes are being recommended to the risk as a result of this review.

## **Description**

Denbighshire County Council employs 2,362 staff as at the last staff survey (2018/19), with a gross revenue budget of £305.8million 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.



# Corporate Risk Register (September 2020 including January 2021 edits)

- Negative audit / inspection reports.

## 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 the council'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

# **Corporate Risk Register (September 2020 including January 2021 edits)**

## **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 including January 2021 edits)

## 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

### February update:

A new control has been added about the pay and conditions of the social care workforce. We have also updated the budget situation to reflect that a £2.4million pressure has been approved as part of the 2021 to 2022 budget setting process.

### 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.

# Corporate Risk Register (September 2020 including January 2021 edits)

- 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.
- Identification of the pressures as part of the medium term financial process.
- Opportunities arising from the Healthier Wales Transformation Programme.
- Our Corporate Director: Communities is a member of WG's Social Care Forum and is examining pay and conditions of social care workforce.
- The social care budget is consistently overspent by over £1million per year, which up until recently, has been mitigated somewhat by the use of reserves of £0.5million per annum towards the overspend. However, the reserves are now depleted. The annual budget process has taken into account the projected pressure in this area: £2.6million was included as a pressure for 2020 to 2021 and the Budget for 2021 to 2022 included a pressure of £2.4million. It is, however, recognised that growth in demand will also 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.

# **Corporate Risk Register (September 2020 including January 2021 edits)**

## **Further Actions**

### **1. 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 including January 2021 edits)

## 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

### February update:

We have added a new control about the use of grant monies.

A new action has been attached to this risk.

### 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

# Corporate Risk Register (September 2020 including January 2021 edits)

## 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.
- 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.
- Continue to look at the use of grant monies in creative and combined ways to deliver better solutions.

# **Corporate Risk Register (September 2020 including January 2021 edits)**

## **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**

### **1. Develop a new Children's Assessment Centre jointly with Conwy CBC**

We are working in partnership with Conwy County Borough Council to develop a new Children's Assessment Centre (currently known as 'Meadow Lodge'), using ICF capitol monies and other transformation monies. Once in place, this should give better quality local care and reduce inappropriate, high cost and out of county placements.

**Action Due Date:** 31/07/2022

**Person Responsible:** Rhiain Morrllle



# Corporate Risk Register (September 2020 including January 2021 edits)

## **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

### **February update:**

The description has been updated to reflect the fact that the Growth Deal has now been signed.

A new control has been added to encompass the governance systems that are in place.

The residual risk has been downgraded in light of these updates, from C2 – Major Risk: Possible to High Impact to D3 - Moderate Risk: Unlikely / Medium.

### **Description**

The Growth Deal has been signed off. The programmes and their associated projects have not yet started. The regional Growth Deal offers opportunity to develop Denbighshire's economy, but there is a risk that there is insufficient engagement to capitalise on these opportunities. Conversely, there is a risk that the council 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.

# **Corporate Risk Register (September 2020 including January 2021 edits)**

## **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.
- A programme of work has been developed. We have recruited a Regional Portfolio Office to ensure robust management and governance systems are in place.

## **Residual Risk**

D3 - Moderate Risk: Unlikely / Medium

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

Yes

# Corporate Risk Register (September 2020 including January 2021 edits)

## 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

### February update:

The description, impact/consequences and controls have been updated to reflect the fact that the UK has moved beyond the transition period.

The residual risk has been downgraded from B1 – Critical Risk: Likely / Very High Impact to B2 – Critical Risk: Likely / High Impact.

### Description

The UK has now left the EU and the transition period has come to an end. The implications of the 'light' trade deal that was reached with the EU are not yet fully understood, but we can anticipate, at least in the short-term, disruption to trade to and from the EU as businesses adapt to new requirements. This could have repercussions on the council in terms of purchasing goods and supplies. Specific long-term implications on Denbighshire businesses, particularly agriculture and the food industry, also need to be better understood. The council must continue, therefore, to be braced for any implications of Brexit in terms of funding (e.g. State-Aid / Shared Prosperity Fund, and current WEFO funded projects), and the likely impact on demand for services. This is developing into an issue but there are risks associated with our exit. Whilst a deal with the European Union is now in place, it is too early to quantify impacts; positive or negative.

### Impact / Consequences

- Lack of clarity on the status of EU citizens living in Denbighshire.

# **Corporate Risk Register (September 2020 including January 2021 edits)**

- EU funded projects (e.g. skills, poverty and regeneration projects; rural and business funding).
- Impact on supply chains and procurement of goods and services.
- Impact on farming and agriculture.
- 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.
- Denbighshire businesses that import / export to European Union areas. For example, Cefndy exports medical equipment products.

## **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.
- Teams within Planning, Public Protection and Countryside Services are available to advise businesses, including the agricultural sector,
- Citizen's Advice Denbighshire have been contracted to engage with EU Citizen's to apply for Settled Status.
- HR have identified and are supporting those within our own workforce who need to apply for Settled Status.
- SLT and Cabinet are regularly briefed on emerging areas of concern.

# **Corporate Risk Register (September 2020 including January 2021 edits)**

- Services have identified supply chains that could be at risk.
- SLT actively manages risks associated with Brexit, until such time the risks can be managed corporately or at a service-level.
- The Chief Executive is the North Wales representative on the WLGA Brexit Working Group.
- The Statement of Accounts considers Brexit and the impacts of Brexit.

## **Residual Risk**

B2 – Critical Risk: Likely / 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 including January 2021 edits)

## 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

### February update:

#### Impacts/Consequences:

The impact/consequences and controls sections include updates on regional working to manage the Covid-19 pandemic and the pressures facing the front line.

### 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.

# Corporate Risk Register (September 2020 including January 2021 edits)

- There will be greater demands this year to manage recovery from Covid-19, with pressures on the front line.

## Inherent Risk

B1 – Critical Risk: Very Likely / High Impact

## 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.
- Regional working to manage the Covid-19 pandemic through the Strategic Coordination Group is working well with all partners present and working together.

## 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 including January 2021 edits)

## **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

### **February update:**

New controls summarise the Senior Leadership Team's role in monitoring the situation and highlights that budgetary pressures are expected to lessen in the future.

The action concerning consideration of pressures in the 2021 to 2022 budget setting process is complete and has been removed.

### **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.



# **Corporate Risk Register (September 2020 including January 2021 edits)**

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).

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 (SLT) 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.
- SLT will monitor progress through the Corporate Risk Register. The Head of Education and Children's Services will be attending SLT on the 18<sup>th</sup> February 2021, to discuss progress in implementing the Act.

## **Corporate Risk Register (September 2020 including January 2021 edits)**

- There is budget allocation but it will be reviewed annually, although the pressure is expected to be less in subsequent years.

### **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 including January 2021 edits)

## 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

### February update:

The controls have been updated to reflect the budget situation and the shift in approach given a collaborative approach is no longer being pursued.

The action to develop and adopt a corporate action plan has been adjusted and the action to "Agree detail of collaborative project with Conwy to enable our 2 tree inspectors to begin work on 1st Sept 2020" has been closed.

### 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.

# Corporate Risk Register (September 2020 including January 2021 edits)

- 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

## 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 coming months, and agreeing procedures to identify and deal with trees (including replanting initiatives).
- The Head of Service has decided not to pursue a collaborative project with Conwy on ADB. The associated costs of undertaking this work collaboratively, over the long term, were prohibitively expensive. We will instead have our own Project Manager and whilst no formal collaboration will be in place, we will work with Conwy informally. We have agreed to meet regularly to discuss progress informally; to learn from one another's experiences, and to ensure we deal with the problem efficiently - doing things once.
- 2 tree inspectors have been appointed (on 12-month secondments from Countryside Services) to start to inspect/map our tree assets. Our priority is to gain a good sample of the highways network (which pose the highest risks), from which we can extrapolate to determine the overall scale of the problem. The delays due to Covid-19 have resulted in tree inspections taking place during Winter, which is

# Corporate Risk Register (September 2020 including January 2021 edits)

not the optimum time to inspect trees. This work will become much easier during the coming spring and summer, when ash trees will be in leaf.

- The aim is to have a draft corporate ADB Plan in place by the end of the 2021 calendar year, but the impact of ADB will need to be managed for the next 5-10 years.
- A £250k one-off cash amount was allocated within the 2020 to 2021 budget to support initial development of Action Plan. The Head of Service has discussed the implications of ADB for the medium term financial plan. Welsh Government may fund interventions to tackle ADB, although this is conjecture at this stage.
- £250k base budget is included in the budget proposals for 2021 to 2022 to further develop and commence the project.

## 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 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

### 1. Draft Corporate Ash Dieback Action Plan

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.

# **Corporate Risk Register (September 2020 including January 2021 edits)**

**Action Due Date:** 31/12/21

**Person Responsible:** Tony Ward

## **2. 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:** 31/03/2022

**Person Responsible:** Tony Ward

# Corporate Risk Register (September 2020 including January 2021 edits)

## **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

### **February update:**

A new control has been added to highlight the development of a new Corporate Plan.

### **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

# Corporate Risk Register (September 2020 including January 2021 edits)

## 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.
- The development of the new Corporate Plan will be an opportunity for residents, businesses, councillors and partners to consider what to prioritise for the next five years, and to put in place ambitious but deliverable plans.

## Residual Risk

C4 – Moderate Risk: Possible / Low Impact

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

Yes