

Denbighshire County Council

Register Owner: Corporate Executive Team

[LINK TO POLICY STATEMENT](#)

Updated: 31.01.2013

[LINK TO RISK GUIDANCE](#)

Risk Description	Owner	Impact / Consequence	Inherent Risk	Controls to Manage Risk (in place)	Residual Risk	Further Actions	Action Owner	Action Date
DCC001 <i>Professional / Managerial</i> The risk of a serious safeguarding error where the council has responsibility. This risk is increasing as the environment is changing, with growing expectations around our duties in relation to 3rd party provision. CRB criteria are also changing which may increase the risk.	Sally Ellis <u>Lead Member(s):</u> Cllr Bobby Feeley	Significant reputational loss. Possible intervention by Welsh Government. Legal/compensation costs.	B2	Child protection & Safeguarding Procedures. Regular training of staff in Children & Family Services. Corporate Safeguarding Training Programme. Wales Interim Policy & Procedures for the Protection of Vulnerable Adults from Abuse. Framework of self-assessment for schools in relation to safeguarding has been established. Section 28 Audits, and annual reporting requirement for services to demonstrate how they are discharging their duties in relation to safeguarding. Section 28 audit tool in place for voluntary sector to ensure safeguarding practices are in place.	C2	Incorporate and embed safeguarding employment practices into the HR audits.	Linda Atkin	31-Mar-13
DCC004 <i>Professional / Managerial</i> The risk that the HR framework doesn't support the organisation's aims. The policies and procedures we have in place need to reflect current organisational strategy (e.g. flexible working), and HR	Rebecca Maxwell <u>Lead Member(s):</u> Cllr Barbara Smith	The council is unable to deliver the associated savings incorporated into the MTFP. In addition, this could impact on the delivery of the planned collaboration savings.	B2	There's a CRM in place in HR Direct to enhance efficiency and provide improved management information to identify areas of common enquiry. Workforce Planning is now embedded and the service is happy with its development	B2	Development of the HR Improvement Plan	Linda Aktin	31-Mar-13

need to offer support for those functions where the organisation requires it (e.g. restructures)					
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Additional resource to accelerate the implementation of the Improvement Plan to be secured	Linda Atkin	31-Mar-13
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DCC006	Mohammed Mehmet	The council suffers from a significant reduction in income, leading to an inability to deliver current levels of service provision.	C1	The council has no control over the global economy or the WG settlement. Therefore the inherent risk score likely to remain high. The Medium Term Financial Plan (MTFP) contains different scenarios to ensure it can deal with changes in the external environment. All required savings for 2013-14 have been identified. Communication channels opened with BCUHB	D2	Develop alternative financial plans based on a different scenario, i.e. what would we do if our budget was cut by 5%?. <i>This is currently underway as it part of the MTFP.</i>	Paul McGrady	28-Feb-13
<i>Economic & Financial</i>	<u>Lead Member(s):</u> Cllr Julian Thompson-Hill					Coordinated approach to ensure services consider the implications of significantly reduced income due to the economic environment. <i>This is currently underway and will be reviewed as part of the 2013/14 budget process.</i>	Paul McGrady	28-Feb-13
DCC007	Hywyn Williams	Reputational damage. Criticism from external regulators (e.g. WAO conducting a review of information management across Welsh Authorities in 2012). Fines from the Information Commissioner's Office (precedent of fines of up to £130k for single breach of Data Protection Act).	B3	Our controls are particularly strong on the technical (i.e. electronic side), and work has been undertaken to improve the position with paper. The council achieves GCSX accreditation every year which demonstrated compliance with UK Government Code of Connection. Mobile racking has been installed, which doubled the capacity in the corporate stores, and archiving backlog dealt with. Staff workshops delivered on good archiving practices. Additional post created to manage Freedom of Information (FOI) requests. Where staff with responsibility for different were in different services, they've now been brought together under BPP.	C3	Under Phase 2 of ICT Strategy, continue to move essential paper records to electronic format, utilising EDRMS. This forms part of the Modernisation Programme.	Cara Williams	01-Apr-13
<i>Legislative / Regulatory</i>	<u>Lead Member(s):</u> Cllr Barbara Smith					Create/agree retention schedules for information: paper & electronic.	Alan Smith	01-Apr-13
The risk that the economic and financial environment worsens beyond current expectations, leading to additional demand on services and reduced income. Although we do have a 2-yr indicative settlement, this position could change but, we think, with some warning. The impact of reduced settlements for our partners (e.g. Health) could also be felt by us						Agree timescales for application of agreed retention schedules within each service.	Alan Smith	01-Apr-13
						Recruit to a new Information Manager post	Alan Smith	31-Mar-13
						Ensure that our frameworks for information management are legally compliant (e.g. in relation to FOI, DPA, etc).	Alan Smith Gary Williams	01-Apr-13

						Use MMC as a vehicle for raising awareness of Information Management and security issues	Alan Smith	30-Sep-13
DCC011	Rebecca Maxwell	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.	D2	The control environment in this area is the joint Emergency Planning Unit (Denbighshire & Flintshire). We also continually review our procedures for winter highways maintenance (e.g. this was the subject of a report to Communities Scrutiny Committee in October 2012, and we recently reviewed our emergency call-out rota system). Secondary rota established and operational. Service disruption is minimised through our arrangements for business continuity and emergency planning, with separate Directors responsible for Response, Recovery, and Information	D2	Review the joint arrangements with Flintshire to provide assurance that they are robust. <i>A partial review meeting has been held with the Civil Contingencies Manager regarding 'on the ground responsibilities'. This has improved the joint arrangements. The Emergency Planning Unit is currently subject to a regional collaboration review.</i>	Rebecca Maxwell	31-Mar-13
<i>Environmental</i>	<u>Lead Member(s):</u> Cllr David Smith					Debrief on the floods and our response to it to be completed and presented with lessons learnt and an action plan, as well as a report on the floods (due April/May)	Steve Parker	31-May-13
The risk of a severe weather, contamination, or public health event. Services plan for the impact of expected seasonal variations in weather, but severe weather events can impact on 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.								
DCC012	Hywyn Williams	Reputational damage. Potential intervention by the WG. Significant resources may be required to be diverted to deliver immediate and substantial change.	C2	The corporate performance management framework (PMF) is the main control in this area. New system of "excellence thresholds" and "interventions" now used which is more robust than traditional target setting. Training on PMF has been delivered to Members, with a specific sessions for Cabinet and Performance Scrutiny. Head of Business Planning & Performance and Corporate Improvement Team Manager meet monthly with Wales Audit Office to understand and respond to their concerns.	D3	Develop a more formal framework for co-ordinating self-assessments to support regulatory activities.	Alan Smith	31-Mar-13
<i>Legislative / Regulatory</i>	<u>Lead Member(s):</u> Cllr Hugh Evans							
The risk of a significantly negative report(s) from external regulators.								
DCC013	Hywyn Williams	Capital liabilities. Reduction in levels of service provided to the community, or increased revenue costs to continue delivery. Reputation damage to the council.	C2	Council representation on Boards, and Heads of Service providing strategic leadership to facilities. Financial support and subsidies being provided. Resources have been committed to improve	C2	A shadow board to be established between Clwyd Leisure and DCC to assist with operational aspects of the company and take forward recommendations from the review, and work through	Jamie Groves	31-Mar-13
<i>Partnership / Contractual</i>	<u>Lead Member(s):</u>							
The risk of significant financial and reputational liabilities resulting from								

management of an Arm's Length organisation Liabilities could arise due to financial, HR, safeguarding, or general management problems				financial monitoring of facilities.		replacement options for declining assets. A further report is due at CET in December 2012.		
DCC014 <i>Physical Hazards and H&S</i>	Hywyn Williams	Serious injury or death of an employee and/or member of public. Significant reputational damage Substantial legal/compensation costs. Criminal prosecution of senior staff.	<div style="background-color: orange; color: white; text-align: center; width: 20px; height: 20px; margin: auto;">C2</div>	New H&S Committee established with representation from each service, plus meetings established with groups of services. Strategic leadership provided by Corporate Director with responsibility for health and safety. Improved efficiency through on-line & phone line incident reporting. Council has existing Health and Safety Management System(s): All DCC teams to identify their activities, consider the hazards associated with the work, describe how the risks are managed and then analyse any gaps in how they are managing the risks. These self analyses are now being monitored by the CH&S team who are going out into the workplaces and providing support, guidance and feedback where it is needed. The H&S training program focuses on in-house provision that is targeted at DCC activities.	<div style="background-color: yellow; color: black; text-align: center; width: 20px; height: 20px; margin: auto;">E2</div>	Deliver cultural change, including ensuring that roles, responsibilities & systems in relation to H&S management are understood by all managers / supervisors.	Steve Parker	31-Dec-12 (review date)
The risk of a health & safety incident resulting in serious injury or the loss of life. This could be as a result of an ineffective H&S management system; inadequate fire control systems (infrastructure); or inadequate fire management planning.	<u>Lead Member(s):</u> Cllr Julian Thompson-Hill					Deliver Strong Leadership Project: Year 2.	Steve Parker	31-Mar-13
						All Heads of Service able to demonstrate that robust managerial control is being exercised in relation to all H&S risks.	Steve Parker	30-Jun-13
						Consolidate and enhance our systems for managing property-related fire risks.	Steve Parker / Paul McGrady	31-Dec-12
						Provide guidance and assistance to managers responsible for developing fire management systems (e.g. building managers)	Steve Parker	30-Apr-13
						Modify the H&S intranet pages to make them more user friendly, provide specific information on roles and responsibilities and radically amend guidance documents to ensure that they provide information that can be easily understood and used to benefit the DCC workforce.	Gerry Lapinton	30-Jun-13
						All Heads of Service able to demonstrate that robust managerial control is being exercised in relation to all (non-infrastructure) Fire management Systems).	Steve Parker	30-Jun-13
DCC015 <i>Partnership / Contractual</i>	Mohammed Mehmet	Denbighshire may end up with a service that's more expensive to deliver, or a reduction in service quality through losing control of its services.		Although it may not be possible to control this risk, we do need to be involved in the discussion in order to influence the agenda. We are represented on the Regional Leadership Board. but the agenda		Put an annual review of the external collaboration environment on SLT agendas	Mohammed Mehmet	31/01/2013.
The risk that the council cannot influence the collaboration agenda, and	<u>Lead Member(s):</u>		<div style="background-color: red; color: white; text-align: center; width: 20px; height: 20px; margin: auto;">B2</div>		<div style="background-color: red; color: white; text-align: center; width: 20px; height: 20px; margin: auto;">B2</div>			

<p>that further collaboration is forced upon on us rather than entered into voluntarily. Collaboration is not voluntary; it is already a requirement of the Compact. However, it is resource intensive and benefits realisation can be difficult.</p>	<p>Cllr Hugh Evans</p>			<p>is ultimately driven by Ministers. There's a standing agenda item at Cabinet Briefing about external collaboration, and an annual review takes place at SLT</p>				
<p>DCC016 <i>Economic & Financial</i></p>	<p>Mohammed Mehmet</p>	<p>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. Increased recovery action and administrative costs. Increase in tenants' rents. Also an impact to Social Services due to Disability Living Allowance changes. This could also impact on our ability to deliver our Corporate Priorities</p>	<p style="background-color: red; color: white; text-align: center;">B2</p>	<p>DCC Welfare Reform Group has been meeting since April 2012. This group is cross service to ensure that information is shared and pressures identified to support our customers. A joint bid with Flintshire for WG funding for a HB / Housing options co-ordinator officer for 2 years has been successful. Regular contact with Landlords (Private & Social) is being maintained. Letters are being sent to all affected customers advising of changes, with benefit visiting officers available for home visits. Assumptions around the loss of income have been built into the Council's Medium Term Financial Plan.</p>	<p style="background-color: red; color: white; text-align: center;">B2</p>	<p>1. Work in ongoing to advise residents of the benefits they are entitled to claim. <i>At this stage it is difficult to update claimants on what the actual effect will be on them due to the significant uncertainties, numerous changes and the interdependencies and complexities of the benefits system.</i></p>	<p>Paul McGrady</p>	<p>31-Jan-13</p>
<p>The risk that the impact of welfare reforms is more significant than anticipated by the council. Welfare reform 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. The actual impact is difficult to predict.</p>	<p><u>Lead Member(s):</u> Hugh Evans</p>							

DCC017	Sally Ellis	If we decide to invest in technology that does not sufficiently contribute to our Modernisation agenda, not only are we likely to miss our targets, but we're also going to waste money. Even if we do invest in effective technology and implement it, many technological solutions require behavioural change (i.e. working from home; reducing business travel) or process changes (EDRMS, Central Invoice Registration) for the benefits to be realised.	B2	ICT Strategy (developed in conjunction with SLT) agreed. ICT Business Partners work with services to forecast their ICT needs. All decisions for investment taken at Capital Investment Strategy group. ICT Strategy offers a mechanism for estimating net savings that investments can make. Communication of the 'Run, Grow and Transform' theory helps the organisation to understand how projects might benefit the organisation	C2	Review of benefits from Phase I of the ICT Strategy.	Cara Williams	31-Mar-12
<i>Technological</i>	<u>Lead Member(s):</u> Cllr Barbara Smith					Decide whether to invite a peer review to take place for ICT	Cara Williams	31-Mar-13
The risk that ICT investment does not deliver the efficiencies and savings required for the Modernisation priority. The main risk here is around the organisation taking decisions to invest in IT infrastructure that is not effective in reducing overheads. This can happen for two reasons: 1) we don't understand the current and necessary ICT requirements, and 2) we don't accurately predict the anticipated benefits.						Gather user feedback to steer future ICT strategy	Cara Williams	31-Mar-13
						Development of a corporate 'workstyle' for every role (in terms of what technology is required to perform in role)	Cara Williams	31-Mar-13
						Agree (and then deliver) Phase II of the ICT Strategy . <i>This forms part of the Modernisation programme.</i>	Cara Williams	31-Mar-13
DCC018	Sally Ellis	The forecast changes that were alluded to in business cases do not materialise and, hence, neither do their benefits	B2	Corporate Programme Office established. HR resource identified to support restructures. Business Partners involved in workforce planning have identified a need for Change management training, and resource has been identified to support his. Programme Manager in place for the Modernisation priority (to co-ordinate projects). Establishment of a Modernisation Board, which can track projects and their benefits. Introduction of Verto to record benefit tracking.	C2	Change management training	Linda Atkin	31-Mar-13
<i>Professional / Managerial</i>	<u>Lead Member(s):</u> Cllr Barbara Smith							
The risk that change/modernisation projects are not implemented as intended, hindering benefit realisation. The council currently does consistently deliver all benefits from projects. Some of the issues include: inconsistent management; resistance to change; staff behaviour and processes not changing as planned.								